

Supervisory Training

*People management skills
and assessment*



The FSA requirements.....

Under FSA guidance, all advisors who carry out regulated activities must be appropriately supervised. In addition, supervisors of investment advisers not assessed as competent must:

'have the necessary coaching and assessment skills as well as technical knowledge to act as a competent supervisor and assessor.' (TC 2.1.4G)

For **existing supervisors**, they must be able to show this competence has been maintained (TC2.1.12R)

What about other regulatory areas....?

Of course, within other regulated activities such as mortgages and general insurance, there are no specific exam requirements. However, supervisors within these activities are still expected to be competent and be able to demonstrate coaching and assessment skills.

Other regulatory pressures....?

There are other regulatory pressures to take into account as well – ranging from the need to have adequate systems and controls, to Treating Customers Fairly (TCF). These too can place a premium on having first- rate supervisory skills. For example:

- How do you monitor the discussions your advisers have with customers?
- How do you ensure the advice given to clients is correct?

“..all of us found the day interesting, informative and effective. The facilitation of the day was refreshingly straight and detailed feedback was excellent.”

Richard Mahon, T&C Officer
Compliance, Aon Consulting Limited

“We have found the professionalism of the trainers and assessors excellent. They are proactive and most importantly, they have credibility with my sales force, which is not always true with some organisations.”

Mark Sheldon Dip(PFS), FInstSMM
Training and Competence Manager
Alliance and Leicester

The challenges.....

How do you demonstrate that new supervisors can demonstrate their competence before acting in this role? How do you do it in a way that supports the business?

How do you ensure existing supervisors develop their skills? As a minimum, could you demonstrate they have maintained their competence?

How can we do all of this in a way that develops your business?

Our approach to supervisory training....

Any T&C scheme is only as good as its supervisors. More than this, we believe that good supervision is an essential business driver. High performing businesses have great people managers and a client-centric approach. We believe that if you put this at the heart of your supervisor training, most regulatory requirements will automatically be met.

Our solutions.....*

Supervisor Licensing Course

Target Audience

People new to the regulatory supervisory role.

Learning Aim

To develop and demonstrate the key skills required by the FSA to supervise and enhance business performance.

Learning Outcomes

Delegates will be able to:

Supervisor Update Course

Target Audience

Current supervisors.

Learning Aim

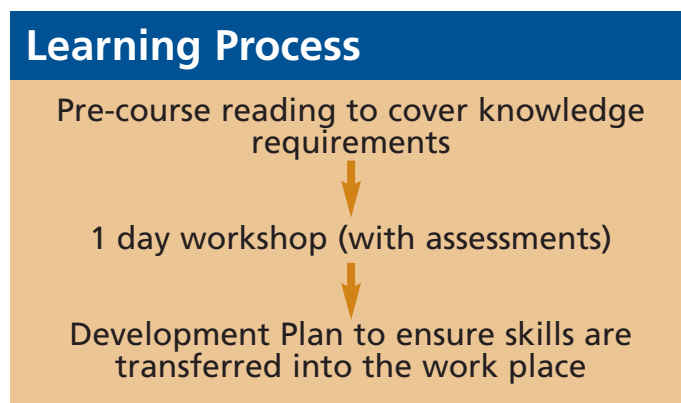
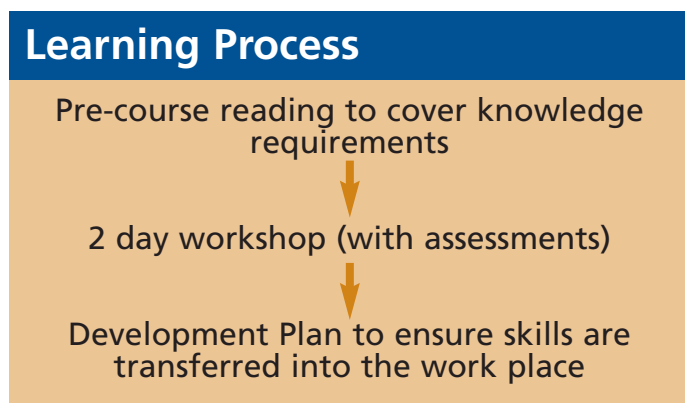
To independently assess and develop key skills and exchange best practice.

Learning outcomes:

Delegates will be able to:

Explain FSA T&C requirements, TCF and key objectives
Assess skills accurately using an observation aid
Prioritise the adviser's development needs
Conduct constructive feedback meetings with the adviser to develop areas of weakness and build on strengths
Conduct effective role-play simulations
Use Key Performance Indicators to indicate trends and potential development needs
Accurately identify development needs
Draw up suitable action plans to address both knowledge and skills
Demonstrate appropriate methods of coaching

Explain current FSA topics/issues, e.g. risk-based supervision, TCF, RDR
Demonstrate the consistent assessment of an advised sale and identify and prioritise development areas
Practice developmental business coaching
Use a four stage question process to probe motivations and influence staff
Optional topics: <ul style="list-style-type: none">● Leading people through change● Overcome resistance to coaching● Planning and strategy● T&C and performance management● Handling difficult conversations



*each workshop can be tailored to meet individual firm requirements.

What we do.....

- Run in-house supervisory workshops for existing supervisors/overseers and new supervisors
- Conduct T&C health checks or rebuilds to reflect current industry best practice, e.g. risk-based, non-tick box observation aids, TCF etc
- Train leadership and people skills (such as coaching skills) in both a regulated and non-regulated environment
- Offer 'off-the-shelf' course material and error DVD material for clients who wish to deliver material themselves
- Offer unique audio CDs covering J07 to support best practice/exam study

Taking the next step.....

To discuss your requirements, call us today on 01253 732298, email info@pstgroup.co.uk or visit our website for further details at www.pstgroup.co.uk

Our credentials.....

Experience

Ian Patterson conducts much of the supervision and people skills training. He has trained several thousand supervisors in all regulatory areas over the past 13 years (in fact, since T&C rules were introduced in 1993). This has involved working with a wide range of prestigious organisations.

H15 / J07

Ian Patterson is the author of the CII's J07 study text: Supervision in a regulated environment. He has also previously authored the H15 study text for BPP Publishing and worked with the CII with their H15 case study workbook.

Qualifications

Regulatory training usually involves assessments and the documentation of this. Ian Patterson is a D32/D33 qualified assessor as well as being a Chartered Insurance Practitioner and qualified trainer and coach.

Research

We look closely at what regulated businesses do with a view to understanding and then helping them to be even better. See our website for a summary of the research on how regulated firms monitor adviser performance.

“Excellent. Ian needs a medal for putting up with us. How does he do it? Only course I have ever enjoyed.”

SW
Stratford-Upon- Avon