

# Supervisor Training

*People management skills:  
assessment and developing  
competence*



## 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 that competence has been maintained (TC 2.1.12R)

To quote the FSA:  
*'For the avoidance of doubt: a file check is not supervision.'*

### What about other regulatory areas....?

Of course, within other regulated activities such as mortgages and general insurance, there are no specific supervisor requirements. However, supervisors within these activities are still expected to be competent and should 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?
- How do you develop an adviser's client-facing skills?

“..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

“I certainly feel more confident... the pace was good, Ian's style is very easy to listen to and it felt as if we were getting a real insight....”

Course Delegate

## The challenges.....

How do you show 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?

Last but not least, how can you do all of this in a way that develops your business?

## Our approach to supervisor 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. It's not just about monitoring and record keeping; lasting value comes from the development of skills and confidence.

# Our solutions.....\*

## Supervisor Accreditation 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 develop staff performance.

### 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

## Supervisor Update Course

### Target Audience

Current supervisors.

### Learning Aim

To independently assess and develop key skills and benchmark these against industry best practice.

### Learning outcomes:

Delegates will be able to:

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 four different management styles to reflect the approach and support needed by different staff

### Optional topics:

- Leading people through change/RDR
- Overcome resistance to coaching
- T&C, planning and strategy
- T&C and culture
- Handling difficult conversations

## Learning Process

Pre-course reading to cover knowledge requirements



2 day workshop (with assessments)



Development Plan to ensure skills are transferred into the work place

## Learning Process

Pre-course reading to cover knowledge requirements



1 day workshop (with assessments)



Development Plan to ensure skills are transferred into the work place

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

## What we do.....

- Run 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
- Run in-house approved person training/senior management training

## Taking the next step.....

To discuss your requirements, call us today on 01253 732298, email [info@pstgroup.co.uk](mailto:info@pstgroup.co.uk) or visit our website for further details at [www.pstgroup.co.uk](http://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 since T&C rules were introduced in 1993. This has involved working with a wide range of prestigious organisations.

### J07 / AF6

Ian Patterson is the author of the CII's J07 study text: Supervision in a regulated environment. He is a senior examiner and author of the forthcoming CII study text AF6-Senior Management and Supervision.

### 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, qualified coach, and a prestigious CII Accredited Trainer.

### 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