Ethics, Conduct Risk, and Culture Workshop Training Course

Professional Development Training Course Outline

Category	Risk Management	**Duration**	5 Days
Base Fee	$1,500 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

In today's highly scrutinized and rapidly evolving global business landscape, maintaining strong Ethical Standards, mitigating Conduct Risk, and cultivating a positive organizational Culture are not merely compliance requirements but foundational pillars of sustainable business success and stakeholder trust. Organizations face unprecedented challenges from regulatory complexity, digital transformation, and shifting public expectations, making the human element employee behavior, decision-making, and collective values the most critical variable in risk management. This workshop moves beyond rote rule-following, embedding an Integrity Framework that empowers every employee to be a frontline risk manager. We aim to translate abstract concepts into tangible, day-to-day behaviors, ensuring a purpose-driven culture thrives alongside high performance.

Ethics, Conduct Risk, and Culture Workshop Training Course outlines a high-impact workshop designed to drive genuine behavioral change and establish a Speak-Up Culture. It leverages Interactive Scenario-Based Learning and real-world case studies to address the intricate interplay between individual ethics, regulatory expectations, and the underlying cultural drivers of poor conduct. By focusing on Accountability, Psychological Safety, and Leadership Role-Modeling, the course equips participants from frontline staff to senior executives with the Ethical Decision-Making tools necessary to navigate complex dilemmas, protect the firm's reputation, and deliver fair outcomes for customers and markets. This is an investment in reputational resilience and long-term operational excellence.

Programme Curriculum

Ethics, Conduct Risk, and Culture Workshop Training Course

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Course Objectives

1. Embed a Culture of Integrity and Ethical Leadership at all organizational levels.
2. Master the Ethical Decision-Making Frameworks for navigating complex, grey-area dilemmas.
3. Proactively identify, assess, and mitigate emerging Non-Financial Risks (NFRs).
4. Understand the interconnectedness of Conduct Risk, Culture, and Customer Outcomes
5. Enhance organizational Accountability through effective application of Individual Accountability Regimes
6. Foster a robust Speak-Up Culture by promoting Psychological Safety and protecting whistleblowers from Retaliation.
7. Analyze the role of Incentives and Remuneration in driving or undermining good conduct.
8. Identify and manage potential Conflicts of Interest and prevent Market Abuse.
9. Address new ethical challenges posed by Digital Ethics and the use of AI in Finance.
10. Differentiate between legal Compliance and truly Ethical Behavior that is above the rules.
11. Develop a Conduct Risk Appetite statement and understand its practical implementation.
12. Cultivate a mindset of Personal Responsibility and Moral Courage in the face of pressure.
13. Leverage Behavioral Science insights to understand and influence ethical organizational norms.

Target Audience

1. Senior Managers and Certified Persons
2. Board Directors and Non-Executive Directors
3. Compliance, Risk, and Audit Professionals.
4. Team Leaders and Department Heads
5. Frontline Sales and Customer-Facing Staff.
6. Human Resources (HR) and Talent Management Teams.
7. Legal Counsel and Regulatory Affairs Specialists.
8. All Employees

Course Modules

Module 1: Foundational Ethics and the Integrity Mandate

- Defining Business Ethics, Values, and the Code of Conduct.
- The Ethics and Law Continuum
- Introduction to Key Ethical Theories
- Case Study: The Wells Fargo Cross-Selling Scandal
- The business case for integrity

Module 2: The Core Concepts of Conduct Risk

- Defining Conduct Risk and its impact on Market Integrity and Customer Outcomes.
- The Four Drivers of Conduct Risk
- Mapping Conduct Risk across the product lifecycle
- Case Study: The Mis-selling of Payment Protection Insurance
- Measuring and monitoring conduct.

Module 3: Shaping and Sustaining Organizational Culture

- The difference between espoused and actual culture.
- The role of Tone at the Top and Middle Management in culture cascade.
- The importance of Culture Audits and employee surveys.
- Case Study: The LIBOR Manipulation Scandal
- Strategies for cultural change

Module 4: Effective Ethical Decision-Making

- Introduction to practical Ethical Decision-Making Frameworks
- Recognizing and mitigating Behavioral Biases
- Techniques for overcoming Moral Muteness and exercising Moral Courage.
- Case Study: The Boeing 737 MAX Disasters.
- Anticipating and preparing for ethical dilemmas.

Module 5: Accountability and Governance Regimes

- Deep dive into Individual Accountability principles and regulatory expectations.
- The concept of Reasonable Steps and the burden of proof for managers.
- Developing clear Responsibilities Maps and Statements of Responsibilities.
- Case Study: The SM&CR Enforcement Action.
- The role of the Board and Conduct Risk Committees.

Module 6: Managing Conflicts of Interest and Market Conduct

- Identifying and classifying different types of Conflicts of Interest
- Best practices for Disclosure, Mitigation, and Management of conflicts.
- Understanding and preventing Insider Trading, Bribery, and Corruption.
- Case Study: The Goldman Sachs 1MDB Scandal.
- The firm's policy on Gifts, Entertainment, and Hospitality.

Module 7: Speaking Up and Non-Retaliation

- Building an environment of Psychological Safety where issues are raised early.
- Establishing and promoting effective Whistleblower Hotlines and reporting channels.

- The critical importance of Non-Retaliation policies and protection for reporters.
- Case Study: The Theranos Fraud.
- The manager's role in receiving and escalating concerns professionally.

Module 8: Digital Ethics and the Future of Conduct

- Ethical implications of Data Privacy, Algorithmic Bias, and Automated Decision-Making.
- The responsible use of Artificial Intelligence in compliance and customer interaction.
- Managing employee conduct on Social Media and protecting company information.
- Case Study: The Cambridge Analytica Data Scandal.
- ESG (Environmental, Social, Governance) Ethics.

Training Methodology

This course employs a participatory and hands-on approach to ensure practical learning, including:

- Interactive lectures and presentations.
- Group discussions and brainstorming sessions.
- Hands-on exercises using real-world datasets.
- Role-playing and scenario-based simulations.
- Analysis of case studies to bridge theory and practice.
- Peer-to-peer learning and networking.
- Expert-led Q&A sessions.
- Continuous feedback and personalized guidance.

Register as a group from 3 participants for a Discount

Send us an email: info@fineskilltrainingcenter.org or call +254769199797

Certification

Upon successful completion of this training, participants will be issued with a globally- recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

a. The participant must be conversant with English.

b. Upon completion of training the participant will be issued with an Authorized Training Certificate

c. Course duration is flexible and the contents can be modified to fit any number of days.

d. The course fee includes facilitation training materials, 2 coffee breaks, buffet lunch and A Certificate upon successful completion of Training.

e. One-year post-training support Consultation and Coaching provided after the course.

f. Payment should be done at least a week before commence of the training, to Fineskill Training Center account, as indicated in the invoice so as to enable us prepare better for you.

Upcoming Scheduled Sessions

Start Date	End Date	Location	Price
23 Nov 2026	27 Nov 2026	Online	$1,000
23 Nov 2026	27 Nov 2026	Physical	$1,500
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$4,500
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$6,000

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