Chartered Insurance Institute

Standards. Professionalism. Trust.

Online Training Workshop

Non-Financial Misconduct (NFM)

Course overview

The Financial Conduct Authority's (FCA) overhauled framework on Non-Financial Misconduct (NFM) is fully in force, post September 2026. Moving beyond traditional, "tick-box" exercises, firms are now legally required to operate under an evidential, fact-based model where serious personal misconduct—such as bullying, harassment, and violence—directly impacts regulatory standing.

This practical, post-implementation workshop shifts the focus from preparation to live operations. It equips firms with a clear framework to police the legal perimeters between an employee's professional role and their private life, protecting the organisation from regulatory breaches, severe reputational fallout, and systemic cultural failures under the live regime. It will reference relevant and recent FCA commentary.

Who should attend

This course is designed for individuals managing compliance, culture, and accountability frameworks within the insurance and financial advice sectors, including:

- Senior Management Function (SMF) holders and directors.
- Compliance Officers and Risk Managers.
- HR Professionals and Internal Investigators.
- Line Managers and Supervisors

What will I achieve by attending the workshop?

Attending this workshop provides participants with:

- A comprehensive operational understanding of the live regulatory requirements for handling NFM within the insurance and financial advice sectors.
- Practical skills to identify, assess, and evidence defensible decision-making when determining if an incident falls within the scope of NFM.
- The confidence to apply a structured, fair, and consistent approach to live NFM issues, mitigating regulatory and employment law risks.
- Practical insights to audit and maintain an appropriate long-term oversight and reporting framework.

Workshop overview

This workshop is designed to provide you with practical techniques and a clear framework for addressing NFM.

By the end of this workshop, participants will be able to:

- Navigate Live Controls: Manage NFM day-to-day within the wider Senior Managers and Certification Regime (SM&CR) framework.
- Apply Regulatory Thresholds: Differentiate confidently between live Conduct Rules (COCON) applicability for work-related behaviour and Fit and Proper (FIT) assessments for wider conduct.
- Assess Seriousness: Identify and evaluate the regulatory thresholds of "seriousness" for internal workplace behaviours using established Equality Act standards.
- Police Boundaries: Safely evaluate and manage the boundaries of external conduct, including transit, social media, and work-adjacent events.
- Execute Defensible Triage: Run objective, internal triage and investigation processes when handling real-time NFM allegations.
- Evidence Reasonable Steps: Fulfil ongoing Senior Manager accountability and "reasonable steps" obligations to actively prevent a hostile work environment

Course details

Date

6 October 2026

Timings

09:30 - 13:00 (UK time)

Duration

One half-day

Number of attendees

Up to 14

Format

Online - Virtual delivery

CPD

Recognised

Trainer

Steve Fairclough

Price

£139 members / £199 non-members

How to enrol

To enrol, visit our website:
https://www.cii.co.uk/learning/training/leadership-and-professional-development-skills/non-financial-misconduct-nfm/

Contact Customer Service

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