



Training
Brochure
November 2020



Why Go Comply?

With experience of designing and delivering compliance and quality training for over 10 years, we're best placed to assist with all your compliance training needs. By engaging us you'll know that:

- All training is designed/ delivered by suitably qualified staff with experience in appropriate sectors;
- The Director & Principal Consultant has held FCA Senior Manager (previously Approved Person) compliance, risk and quality posts in several regulated UK firms. He has also been the Data Protection Officer (DPO) and Money Laundering Reporting Officer (MLRO) at two FCA regulated businesses;
- Before developing and delivering our courses we'll spend time talking to you, understanding your environment, culture and challenges;
- We can deliver training remotely. However, we are centrally based in the UK and available to deliver training on-site at your request;
- We want to build a relationship with your firm and would be happy to assist with ongoing training requirements at market-beating rates; and
- We offer extensive compliance consultancy services which complement our training.



Our Training & Approach

Whether you're a new or established firm, our training services are designed to engage and educate learners. Training can be delivered on-site or online (or via a mix of formats). We specialise in several areas of FCA and Data Protection Compliance. We'll get to know you first to make sure the content is relevant and value for money.

FCA

- Senior Managers and Certification Regime (SM&CR) – Range of courses available
- Complaints Handling (DISP)
- Treating Customers Fairly (TCF)
- Vulnerable Customer Handling
- Responsible Lending (Consumer Credit & Mortgages)
- Quality Assurance
- Financial Promotions
- Regulatory Interview/ Visit Preparation

Data Protection

- Data Protection (GDPR) for all employees
- Data Protection (GDPR) for Senior Managers
- The Role of the Data Protection Officer (DPO)
- Data Protection – Auditing & Reporting on Data Protection Compliance

The following pages further detail the training courses available across these areas along with associated costs.



What's Included?

Bored of training companies rolling out the same old content. We make it engaging and relevant with some great additional services.

Pre-course consultation service before sessions

Interactive sessions with real life case studies/ calls/ files

Copies of all course material

Desk aids & Handouts

Ongoing Q&A with us relating to the course

Course Overviews & Costs – FCA 1/2



Below is a catalogue of courses along with indicative pricing. If you don't see what you are looking for please get in touch and we will can a solution around you.

Whole team prices are also available. Had a cheaper quote? Call us and we'll look to beat it!

Financial Conduct Authority (FCA) Compliance Course Catalogue

Course	Overview	Audience	Duration	On-site Cost	Online Cost
Introduction to FCA Regulation	Overview of the Financial Conduct Authority, their remit, powers and approach to regulation	All staff/ those new to working in an FCA regulated environment	90 Mins	£105	£75
Complaint Handling (DISP)	The rules relating to fair and effective handling of complaints, the role of the Financial Ombudsman Service (FOS) along with the skills needed to complete effective complaint investigation and response	Complaint Handling staff Monitoring/ Compliance Staff	1 Day	£275	£180
Treating Customers Fairly	The rules and principles of the TCF framework with practical examples/ scenarios of how it should be implemented	Customer facing staff Management & Senior Management Monitoring/ Compliance Staff	2 Hrs	£140	£95
Vulnerable Customer Handling	The rules and guidance relating to identification and fair treatment of vulnerable customers, with practical examples/ scenarios	Customer facing staff Management & Senior Management Monitoring/ Compliance Staff Vulnerable Specialist Staff	½ Day	£210	£140
Responsible Lending (Consumer Credit & Mortgages)	The rules and guidance relating to responsible lending in consumer credit and mortgage firms, with practical examples/ scenarios	Lending/ Underwriting staff Management & Senior Management Monitoring/ Compliance Staff	½ Day	£210	£140

Course Overviews & Costs – FCA 2/2



Financial Conduct Authority (FCA) Compliance Course Catalogue

Course	Overview	Audience	Duration	On-site Cost	Online Cost
Financial Crime	Introduction to key financial crime management processes for FCA regulated firms. Covering AML, Bribery & Corruption & Fraud. How to identify and report Suspicious Activity	Customer facing staff & Management	2 Hrs	£140	£95
Positive Customer Outcomes in Collections	How to effectively apply the TCF framework in collections, ensuring collections are fair and effective and defining positive customer outcomes. Includes practical examples/ scenarios	Collections Staff Collections Management	½ Day	£210	£140
Quality Assurance for FCA Firms	The principals of quality assurance along with the skills needed to complete effective monitoring	Quality Assurance/ Monitoring Staff Team Managers	1 Day	£275	£180
Quality Assurance for Managers in FCA Firms	As above but also; How to build an effective QA Policy/Approach, Sample Selection, QA scorecard, maintaining regulatory awareness & effective reporting	Quality Assurance/ Monitoring Managers	1 Day	£475 (Unlimited attendees)	Please Call for Price
Financial Promotions	The rules relating to compliant Financial Promotions with practical examples and scenarios	Marketing/ Advertising Staff Management Compliance Staff	½ Day	£210	£140
Regulatory Interview/ Visit Preparation	Helping Senior Managers prepare for a visit from the regulator. Generally completed as a “mock visit” around a pre-agreed topic to best replicate the real thing.	Senior Management/ Board	½ Day	£350 (Unlimited attendees)	Please Call for Price

Course Overviews & Costs – SM&CR



Senior Managers & Certification Regime (SM&CR) Compliance Course Catalogue

Course	Overview	Audience	Duration	On-site Cost	Online Cost
Conduct Rules	Training for all staff subject to the SM&CR Conduct Rules including Certified Staff.	All Staff	90 mins	£105	£75
Senior Managers	Covering the Conduct Rules, Statements of Responsibilities, Senior Management responsibilities under the new regime and how this differs from the previous Approved Persons Regime. What constitutes “Reasonable Steps” and how they should be documented	Senior Managers Compliance Staff	2hrs	£140	£95
SM&CR for HR Professionals and Training Teams	Covering Recruitment and Selection processes, best practices for interviews , vetting, Regulatory References and Certification	HR, Recruitment & Training Staff	90 mins	£105	£75
SMF Interview Preparation	Designed to help SMF and potential SMF’s prepare for interviews by the regulator, covering key issues likely to be discussed such as effective governance and “Reasonable Steps”	Senior Managers	2hrs	£140	£95

We offer a range of additional FCA & SMCR compliance services which go hand in hand with our training such as Policies, Templates, SM&CR Project Management and Post Implementation Reviews.

See <https://gocomply.org.uk/services> or get in touch for more details.

Course Overviews & Costs – Data Protection



Data Protection (GDPR) Compliance Course Catalogue

Course	Overview	Audience	Duration	On-site Cost	Online Cost
Data Protection (GDPR) for all employees	Introduction to the principals of Data Protection/ GDPR and how they apply. Data Protection do's and don'ts and Breach Reporting. The Information Commissioners Office, their remit, powers and approach to regulation	All Staff	90 mins	£105	£75
Data Protection (GDPR) for Senior Managers	As above with addition of: Effective Data Protection Management and Controls and Breach Management and Reporting and completion of Data Protection Impact Assessments (DPIAs)	Operational Management Project Managers	2hrs	£140	£95
The Role of the Data Protection Officer (DPO)	The role and expectations of a DPO, their position and influence in the business. DPO do's and don'ts. Details on managing an effective Data Protection Management Framework	DPO's Board Members/ Senior Management	90 mins	£105	£75
Auditing & Reporting on Data Protection Compliance	How to effectively plan and conduct an audit of data protection compliance within your organisation	DPO's Senior Management Compliance Staff	2hrs	£140	£95

All costs are per participant unless stated otherwise but **whole team prices are available.**

Minimum attendee numbers apply. All prices are subject to VAT at the current rate.

Prices may vary depending on individual engagements – **Please contact us to obtain a detailed quote.**



November 2020 Recommended Courses & Offers



What’s happening right now and how we can help:

Subscribe to our Newsletter this month and you’ll will receive **10% off any courses booked this year!**

Course	Overview	Cost
TCF Collections During Coronavirus Crisis (Consumer Credit & Mortgages)	How to effectively collect in line with updated FCA guidance/expectations. Suitable for collections teams and management	On-site ½ Day for £255 Online ½ Day for £175 <u>Unlimited attendees</u>
Effective Oversight of 3 rd Parties	How to build an effective oversight framework. From Due Diligence to Ongoing Monitoring. Suitable for anyone involved in the oversight of 3 rd parties (1 st and 2 nd line teams and management)	2hrs (Online only) £100 <u>Unlimited attendees</u>

To review our full range of compliance support and training services go to <https://gocomply.org.uk/services>

Don’t forget to **subscribe** to our monthly newsletter for all things regulatory direct to your inbox!



Contact



Please get in touch for detailed course content or to discuss any bespoke training needs. Our training packages are based around your needs and always very competitively priced.

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