

Understanding and dealing with The Financial Ombudsman Service



Part II – Effective complaints governance in your firm

15 June 2021



Working within a complaints handling function for a regulated business, is now much more than just reviewing complaints. With the FCA's push for cultural change, a large part of which involves working with vulnerability, there is now a need for firms to demonstrate their working policies and procedures to reflect this changing landscape.

If you are responsible for oversight within a complaint handling function or a customer facing area, in an FCA regulated firm, this course will help you:

- Understand the importance of fostering a positive firm culture and demonstrate how this is being delivered.
- Focus on the need to imbed policies that support effective complaints handling, including those that cover vulnerability, forbearance and escalation.
- Be able to define, understand and encourage empathy and resilience in front line staff.
- Review and understand the importance of record keeping and how this feeds into a positive culture.
- Understand and demonstrate the ability to undertake due diligence and Root Cause Analysis.

This very practical half day online course will help you understand how you can work with and demonstrate the positive cultural changes that the regulator is looking for in future. Your increased awareness of this piece of work by the FCA will ensure you're ahead of the curve before the FCA implements their changes and new measures, reducing the likelihood of causing a cultural change 'shock', with a reduced amount of time to implement them.

Course Fees:

Members Price: £199 + VAT

Non-Member Price : £299 + VAT

To book online click the link below

[FOS Part II](#)

Please note: all FLA events are subject to the application of competition law. Details will be available on the day.

Understanding and dealing with The Financial Ombudsman Service



Part II – Effective complaints governance in your firm

15 June 2021

Programme (10.00 - 13.30)

Prior to the session

'Prep' document A two-page document including:

- DISP – the basics for why firms need to ensure they keep up with changes from the FCA
- What does effective complaint governance look and feel like?
- What information is already out there to help you?
- Some pre-work to get delegates thinking

Session

Introduction

- Objective of training
- What you'd like to know by the end of the day

What does positive culture look like?

- A group exercise about what it means to the delegates and how it's demonstrated at their businesses
- Is their board on board?

Keeping staff engaged and resilient

- Exploring what resilience is and why it's a multi-dimensional concept
- Impact of changes in working arrangements and staff resilience

The three ingredients that motivate us

- Exploring what motivates us and how we can implement them in the work place for staff wellbeing

The phases that make up a crisis

- Defining and exploring where we are when we work through a crisis and the impact on staff, ourselves and customers

Record keeping

- Why we need everyone to be on board with record keeping from start to finish of the complaints process
- What DISP says about record keeping and how this impacts on your customer if you don't

Policies that support effective complaints handling

- Discussion about issues around the way FOS has looked at evidence in their complaints
- Focus on a 'hierarchy of evidence'

FOS and the media

- Review and exploration of complaints processes and documentation

Please note: all FLA events are subject to the application of competition law. Details will be available on the day.