

Identify & Apply Best Practice Approaches to Managing **Outsourcing** in Financial Services

9.30am to 4.30pm | 14 September 2017 | City of London



A focused one day workshop for **Compliance, Risk, Audit, Operations** and **Relationship Management** professionals in both client firms and Third Party Administrators.

Attending this practical workshop will help you to:

- Understand the regulators' expectations of your firm at all stages of the outsourcing lifecycle
- Employ risk mitigation techniques at due diligence and contract initiation
- Carry out effective risk identification and scoring
- Design a risk based control framework
- Develop and use **timely, appropriate and meaningful MI**, including SLAs, Key Risk and Key Control indicators
- Demonstrate **robust governance and monitoring** to the regulators
- Develop resilient exit plans
- Anticipate and manage risks at contract termination

CPD
6 hours

CTP.

For more information
please visit:
www.ctp.uk.com/out1709
Email:
emmabond@ctp.uk.com
Tel: 0330 303 9779

Course Outline & Objectives

This focused workshop will help financial services organisations identify and apply best practice in the governance and management of outsourcing arrangements and understand and satisfy PRA / FCA expectations in this area of high regulatory risk.

"A well provided course with excellent content."

SunLife Financial of Canada

Who will benefit?

This course will be of value to financial services professionals new to outsourcing management, experienced outsourcing managers from other industries, individuals from outsourcing service providers who need to understand the regulatory environment, as well as **Compliance, Audit, Risk and Relationship Management** specialists in firms that use or may be about to use outsourced services.

"Extremely relevant and interactive – time well spent."

Royal London Asset Management

Training Approach

This workshop uses a combination of trainer input, interactive syndicate work and case studies. Group size is kept to a maximum of 16 to ensure the quality of learning and facilitate sharing of experience among the trainer and delegates.

"Excellent training seminar, pitched appropriately and delivered professionally."

Allianz Ireland

Workshop Leader

Eithne McManus

Eithne has over 20 years' experience in the financial services industry in a variety of risk and financial management roles, and is now a consultant specialising in risk and capital management, particularly in relation to outsourcing. A qualified actuary, Eithne spent much of her career with City of Westminster Assurance, the UK arm of Irish Life and Permanent, where she was Chief Financial Officer before becoming Chief Executive. Among Eithne's responsibilities as Chief Executive, were the governance and risk management of CWA's material outsourcing arrangements, including the negotiation of the company's original outsourcing arrangement and the transition of that outsourcing arrangement to a new provider. After the sale of CWA to Chesnara, Eithne assumed responsibility for risk management and capital assessment within the Chesnara group as a whole, before leaving in 2007 to establish her own consultancy.

How to book

The course fee is **£595 per person + VAT**, including lunch and refreshments. A **10% discount** is available when registering 3 or more delegates.

There are various ways to register:

Website: **www.ctp.uk.com/out1709**

Email: **emmabond@ctp.uk.com**

Telephone: **0330 303 9779**

Post: **Complete and return booking form over page.**

When booking please quote reference

OUTWEB

THIS PROGRAMME CAN ALSO BE ADAPTED AND DELIVERED IN-HOUSE.

Course Programme

Session	Objective	Content
Outsourcing in financial services: the business and regulatory environment	<i>To understand why financial services organisations outsource and what the regulators expect of the regulated firm and the service provider</i>	<ul style="list-style-type: none"> ■ Key business drivers for outsourcing ■ Overview of regulatory requirements for the control and monitoring of material outsourcing arrangements, including recent FCA thematic reviews and OWG guidance ■ Assessing materiality of outsourcing arrangements
New outsourcing arrangements – contract initiation	<i>To understand the risks around the initiation of outsourcing arrangements and to explore some techniques to control these</i>	<ul style="list-style-type: none"> ■ Techniques for carrying out due diligence in advance of entering into outsourcing contracts ■ Regulatory expectations for new contracts ■ Transition issues
Risk management of outsourcing arrangements	<i>To explore techniques for the identification of outsourcing risks and their control</i>	<ul style="list-style-type: none"> ■ Identification of outsourcing risks ■ Identification of controls ■ Case Study: designing effective controls in financial services outsourcing
Governance frameworks and relationship management	<i>To understand techniques for managing outsourcing arrangements and to develop tools to enable this management to be evidenced</i>	<ul style="list-style-type: none"> ■ Typical lifecycle of an outsourcing arrangement ■ Evidencing good monitoring and management to the regulator ■ Dynamic relationship management
Management Information and SLAs	<i>To understand why outsourcing can affect MI requirements and to explore appropriate MI for an outsourcing arrangement</i>	<ul style="list-style-type: none"> ■ Regulatory expectations for MI and outsourcing ■ Key risk indicators and key control indicators ■ Case Study: the design and use of appropriate MI
Contract termination	<i>To understand the particular risks around the termination of outsourcing arrangements and to identify control strategies to address these</i>	<ul style="list-style-type: none"> ■ Regulatory expectations on contract termination ■ Exit planning ■ Reasons for contract termination and how these can impact exit plans ■ Mitigation of exit risks

COURSE BOOKING FORM

Please post, fax or email completed form to addresses listed below.

CTP.

Thank you for registering to a CTP event. Once the completed booking form is received, your place/s will be reserved and you will receive confirmation by email. Joining instructions will be sent 2 weeks before the event date. Please note all **delegate fees are payable prior to the course**.

There is a 10% discount when registering 3 or more attendees. Please complete another form for additional delegates.

Course Title	OUTSOURCING IN FINANCIAL SERVICES
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Date	14 September 2017	Event code	OUT 1709
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Delegate 1	Mr / Mrs / Miss / Ms / Other		Name	
	Tel		Role	
	Email			

Delegate 2	Mr / Mrs / Miss / Ms / Other		Name	
	Tel		Role	
	Email			

Delegate 3	Mr / Mrs / Miss / Ms / Other		Name	
	Tel		Role	
	Email			

Company Name			
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Address		Invoice Address (if different)	
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Booking Contact (if different)			
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Email		Purchase Order No / Vendor No	
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Cancellations, Substitutions and Transfers. The following cancellation charges apply: 30+ days before the course date = no charge; 15-29 days before the course date = 50% of the course fee; 0-14 days before the course date = 100% of the course fee. If the registered delegate cannot attend, we shall be pleased to welcome a substitute at no extra charge – please advise us beforehand. If a delegate fails to attend without prior notification, the course fee is payable in full. Please note CTP is unable to accept any liability for non-attendance caused by severe weather or travel disruption. Requests to transfer to the next available course date may be accepted, subject to availability. The option to transfer is only available if received prior to the original course date, once the original course fee has been paid in full and to a course taking place within 12 months. Transfers made 1-30 days prior to the course date, will be charged at 25% of the course fee. For substitutions, cancellations and transfer enquiries, please contact info@ctp.uk.com

CTP is a trading style of Corporate Training Partnerships Ltd, registered in England and Wales (no. 04440798)

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