

Effectively Handling Complaints under DISP

9am to 5pm | 3 June 2020 | City of London



If you are responsible for the handling, monitoring or oversight of complaints in a FCA regulated firm, this practical course will help you:

- Update and refresh your knowledge of the regulatory framework for complaints (including DISP, relevant FCA principles and FOS rules) and examine how they apply in practice
- Benchmark your complaint processes against FCA expectations and industry best practice, from identifying complaints to final responses
- Know how to achieve good relations, and outcomes, with FOS
- Make better use of Root Cause Analysis and complaint MI
- Demonstrate the effectiveness of your monitoring and governance framework for complaints



CTP

For more information

Email:

emmabond@ctp.uk.com

Visit:

www.ctp.uk.com/complaints

Tel:

0330 303 9779

Outline & Objectives

The Financial Conduct Authority's complaint rules (DISP) are fiddly, easy to break and regularly changing (having undergone significant revisions in 2015 and 2016) and need to be a central feature of every business' complaints procedures.

Complaints can help firms learn about their customers, processes and staff and offer an opportunity to put things right which they would not have otherwise. With FOS upholding over half the complaints made to it in 2015/6, this is unfortunately an opportunity many firms are failing to embrace.

This practical course will help you know your way around both the complaints rules and "best practice", set up and use the complaints process effectively, optimise your chances of keeping your customers and maintain your reputation with the public, the Ombudsman and the regulator.

"Great knowledge and learning materials. I am leaving the course with a wider skill set and a better understanding."

1st Central

Who will benefit?

This course will be of value to those responsible for the handling, monitoring or oversight of complaints, including **Complaints, Customer Services, Operations, Compliance, Conduct, Legal and Internal Audit** professionals.

This course complements our practical skills workshop on **The Art of Handling Complaints** and focused half day on **De-Mystifying the Financial Ombudsman Service**.

"Interesting and relevant - excellent knowledge and engaging presentation manner."

Ecclesiastical

Training Approach

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

Course Presenter

Adam Samuel is a compliance specialist and lawyer who has spent much of the last 20 years training and advising firms from major banks to small one-man firms on complaint handling. Qualified as a lawyer on both sides of the Atlantic and proud holder of an AFPC, the MAQ and CISI compliance diploma, Adam wrote the only major book on financial services complaint handling in 2005 and is in the process of producing a new one. His expert evidence on investment risk and compliance has been accepted by the English High Court and the Gibraltar Supreme Court.

"Very knowledgeable and engaging trainer - thank you!"

Tokio Marine Kiln

How to book

The course fee is **£675 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/complaints

Email: emmabond@ctp.uk.com

Telephone: 0330 303 9779

Post: Complete and return booking form over page.

When booking please quote reference

COMWEB

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

For more information please visit: www.ctp.uk.com/complaints

Email: emmabond@ctp.uk.com Tel: 0330 303 9779

Course Agenda

Session	Content
Introduction	<ul style="list-style-type: none"> ■ Objectives of training and complaints handling ■ FCA, FOS rules and materials ■ FCA Principles 1, 2, 6, 7, 9 and 11 in complaint handling ■ Treating Customers Fairly outcomes and complaints
Before complaints are received	<ul style="list-style-type: none"> ■ Preparing and updating the procedures ■ Summary details and disclosure at the point of sale
Identifying Complaints	<ul style="list-style-type: none"> ■ Definition of complaints and the limits of DISP ■ End of next (three) business day(s) rule ■ Record-keeping and reporting responsibilities ■ Acknowledgement
Investigation	<ul style="list-style-type: none"> ■ Need for independence ■ Obtaining authorities ■ Obtaining the version of events of all people involved ■ Relationship between discipline and investigations ■ 8 week and keep-in-touch letters
Relevant rules on deciding cases	<ul style="list-style-type: none"> ■ Grounds for upholding complaints and the FOS Technical Resource ■ Calculation of compensation, interest and tax
Final Response	<ul style="list-style-type: none"> ■ Regulatory requirements - standards and letter form ■ Structure and live demonstration of the letter ■ Dealing with obstructive customers
Financial Ombudsman Service	<ul style="list-style-type: none"> ■ Jurisdiction & FOS' powers ■ FOS procedure ■ Time-limits for complaining
Root cause analysis and MI	<ul style="list-style-type: none"> ■ DISP 1.3 rules ■ Techniques for root cause analysis ■ Reporting and recording
Systems and controls	<ul style="list-style-type: none"> ■ Risk management, three lines of defence ■ Competent employee rule

COURSE BOOKING FORM

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



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	EFFECTIVELY HANDLING COMPLAINTS UNDER DISP
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Date	3 June 2020	Event code	COMWEB
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	Tel		Role	
	Email			

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

Delegate 3	Mr / Mrs / Miss / Ms / Other		Name	
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Cancellations, Substitutions and Transfers. The following cancellation charges apply: 15+ days before the course date = no charge; 1-14 days before the course date = 100% of the course fee or you may transfer under the terms listed below. If the registered delegate cannot attend, they may send 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 accepts no liability for non-attendance caused by 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 1-15 days prior to the course date, will be charged an administration fee of £50 plus VAT. For substitutions, cancellations and transfer enquiries, please contact info@ctp.uk.com.