



KPMG CASS Training

July 2024



Navigating the ever changing landscape of CASS compliance can prove challenging and with the increased regulatory focus on firms' CASS arrangements, the requirement to ensure all staff are aware of CASS risks and requirements is more important than ever.

KPMG have designed multiple training services which we offer to our clients to help them meet their specific training requirements.

The KPMG CASS team are helping clients with services such as traditional classroom based training for face to face sessions led by specialist presenters, or specifically tailored online learning modules.

KPMG CASS Training Services



Classroom based training

Executive-Level CASS overview sessions:

To provide higher level CASS training to the Boards of each firm, both executive and non-executive directors, to provide them with the most up-to-date context in which CASS is being supervised by the FCA along with key CASS principles necessary to support the Boards in their oversight roles.

SMF / CF10a interview training: To coach and prepare a newly appointed SMF with their meetings and interviews with the FCA and PRA on CASS related matters.

Operational awareness workshops: The workshops will explore case studies and real life examples in more detail to provide users insight of CASS in action. These workshops are intended for operational staff who need generic knowledge and skills.

Tailored 'deep dive' sessions: To provide bespoke training which demonstrate the CASS impacts and risks embedded in BAU processes. Training will be scenario based allowing the participants to relate the CASS rules directly to the activities of their teams.

Targeted 2nd and 3rd line training offering:

To provide Compliance Monitoring and Internal Audit teams with a tailored session in particular to draw out the specific expectations of the approach expected.



Online Modules

Bite size online modules: To provide core awareness training focused on business activities and the application of the CASS rules. Training will be delivered as four 15 – 20 mins bite-sized online learning modules.

Online assessments: To evaluate and measure learners' knowledge and understanding against the objectives set for the programme for the main audience groups: CASS Oversight & Middle Office, Compliance and Operations teams.

Our approach

- **Clear training strategy:** We will sit with you to understand your training needs and formulate a CASS training strategy which will demonstrate the right level of focus across the business – from headline summaries to detailed sessions for specific topics.
- **Tailored design:** Training will be tailored to your activities so that you receive maximum value through training which applies CASS to your business models, processes and your oversight requirements.
- **Delivery by specialists:** Our approach is practical and hands-on so that our SMEs share real examples of the challenges of CASS in your environment. Our presenters are at the forefront of our CASS discussions with clients and the FCA therefore we will share insights which reflect the latest industry and regulator expectations.
- **Flexible options:** The online learning modules give you flexibility, especially for the training which needs to be provided to a large audience. The assessment tools are built into our offering to allow for system-based tracking of course completion and the results of the testing where required.

Our experience

Our training approach is practical and hands-on to ensure that the right team members receive the right training to bring CASS to life for them in context of their day jobs. It marries up the core technical principles with real examples of the challenges of CASS in your environment.

KPMG is a leading provider of specialist training both in classroom settings and provider of impactful, tailored online modules. Our CASS training maximises the impact to learners by presenting key principles and technical requirements in context of your operations.

We have extensive experience of giving CASS training sessions to boards and executives as well as to front line staff across a range of teams such as finance, operations, compliance and third party oversight.



How is CASS and this training important to me?

It is important that a context is set to the learners before they start the programme. This primes them, and makes them more receptive to the training. Using a senior, trusted person to set the context increases the effectiveness of the message.



Alright, but what is CASS? And how does it affect my firm?

It is important that a context is set to the learners before they start the programme. This primes them, and makes them more receptive to the training. Using a senior, trusted person to set the context increases the effectiveness of the message.



But is it relevant specifically to my role?

Tailored to the specific learner, the deep-dive sessions are an opportunity for the learners to have face to face interaction with the experts. These sessions are designed to the learners' roles, so that they can be guided to analyse the information and apply it in their day to day jobs.



Great training. But have I understood and retained all of the knowledge and skills?

Bespoke assessments based on random questions from a question bank help to test the learners' knowledge and retention of the training while reinforcing the concepts and applications. This is also a measure of the effectiveness of the entire training package. These assessments can be hosted on your own learning management systems.

If you would be interested in finding out more about how KPMG could assist you with your specific CASS training needs, please do not hesitate to contact us via any of the contacts listed on the following page.

Contacts



Jennifer Duncan
Director
FS R&RA Retail
T: +44 (0)13 1527 6798
E: jennifer.duncan@kpmg.co.uk



Hanish Arora
Director
FS R&RA Retail
T: +44 (0)20 7694 2366
E: hanish.arora@kpmg.co.uk



Matthew Humphrey
Director
Financial Services Audit
T: +44 (0)20 7311 1870
E: matthew.humphrey@kpmg.co.uk

kpmg.com/uk



The information contained herein is of a general nature and is not intended to address the circumstances of any particular individual or entity. Although we endeavour to provide accurate and timely information, there can be no guarantee that such information is accurate as of the date it is received or that it will continue to be accurate in the future. No one should act on such information without appropriate professional advice after a thorough examination of the particular situation.

© 2024 KPMG LLP, a UK limited liability partnership and a member firm of the KPMG global organisation of independent member firms affiliated with KPMG International Limited, a private English company limited by guarantee. All rights reserved.

The KPMG name and logo are trademarks used under license by the independent member firms of the KPMG global organisation.

CREATE: CRT156801A | July 2024