



Course Brochure





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## Regulatory Visits Masterclass

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**29 - 30 September - 1 October 2021**

# Programme Overview

-  3 x 0.5 days, 29/09 - 01/10 2021
-  1:00 - 4:30 pm BST
-  Beginner / Intermediate Level
-  Live - Online Interactive

## Training Objectives

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Taught by former UK regulators, this Masterclass course delivered over 3 half-days demystifies regulatory visits, clarifies regulatory expectations, and prepares firms for a better relationship with their regulatory bodies, whether in the UK or anywhere in the world.

At its centre is an interactive case study (over days 2 and 3) of a simulated visit to review operational risk management, where delegates will role-play a visit from receipt of the letter and pre-visit information request through to the day of the visit and post-visit actions and learnings. On completion of this course, participants will have gained an advanced understanding of:

- The mindset of Regulators and their key objectives;
- Regulatory expectations of firms and their Senior Management;
- How to manage regulatory visits (through an interactive case study);
- Dealing with different types of questions and what to do when things go wrong.

## Who should attend

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- Senior Managers who will engage with Regulators;
- Compliance and Legal Officers;
- Operational Risk Managers ;
- Regulatory Coordinators;
- IT/Operations/Business Continuity Staff who interact with Regulators;
- Internal Auditors;
- Consultants.

## Why choose Chapelle?

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We are a team of experienced and passionate risk specialists dedicated to providing our clients and community with the best advisory and training services in operational and enterprise risk management. A multi-awarded organisation recognised for its expertise and innovative way of delivering training in risk management, we strive to simplify risk management, focusing on its priorities and value for the decision-makers and their organisations.

### **Our trainers**

Our trainers are experienced professionals delivering course content designed by world-leading experts in the field.



## Day 1

### Regulatory Relations – Context and Expectations

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- Global and UK regulatory structure and institutions and post GFC Reforms
- Prudential and Conduct Supervision
- FCA and PRA – organisation, statutory objectives and key activities
- Regulatory Priorities
- Accountability – UK SM&CR regime and the 3LOD
- Conduct and Culture
- Building a reputation for identifying problems and fixing them
- Supervisory tools e.g. information requests, supervisory or specialist team visits, capital add-ons, S166, enforcement

## Day 2

### Regulatory Visit Management – Training to the Test (Part 1)

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- Types of visits
- Principles of visit management
- Interactive Case Study:
  - Preparing for a supervisory visit to review operational risk
  - Receipt of the visit letter
  - Dealing with the Information Request
  - SWOT analysis
  - Forward planning for the visit

## Day 3

### Regulatory Visit Management – Training to the Test (Part 2)

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- Interactive Case Study:
  - Logistics – planning for the day
  - Types of questioning
  - The day of the visit
  - What to do when things go wrong
  - Do's and Don'ts
  - Post-visit Management – learning lessons for next time and information sharing

## Andrew Sheen (Day 1)

*Andrew Sheen is best known for the 8 years he spent at the UK regulator, firstly in the FSA and subsequently at the PRA. Andrew was manager of the Operational Risk Policy Team before moving to head the team responsible for providing Operational Risk subject matter expertise to supervisors. This involved assessing Operational Risk frameworks in a wide variety of financial institutions. Andrew also represented the UK on the Basel Committee for Banking Supervisors Operational Risk Working Group and the European Banking Authority's Operational Risk Working Group.*

Before joining the FSA Andrew implemented Operational Risk frameworks in an international bank and a UK investment bank. After the PRA, Andrew became Head of Operational Risk Use and Embedding at HSBC and subsequently Head of Operational Risk Regulatory Risk Management at Credit Suisse.

## Lydia Bailey (Days 2 and 3)

*Lydia Bailey has a career spanning over 30 years in financial services. Lydia spent five years as a risk specialist on the Traded Risk and Operational Risk review teams at the Bank of England / FSA carrying out over 90 on-site visits. She spent three years as a Head of Compliance at BP and nine years as European Head of Regulatory Management at JPMorgan. While at JPMorgan she was responsible for the management of many regulatory visits of all types.*

Lydia has very extensive experience of regulatory visits from the perspective of regulatory interviewer, interviewee, and through providing support for firms in their regulatory visits. She is passionate about helping firms and individuals perform at their best under the artificial conditions of regulatory visits and interviews. She has led webinars, workshops and courses on this topic for UK Finance, The Institute of Operational Risk, Op Risk Europe, and the Building Society Association.

## Jimi Hinchliffe (Days 1 – 3)

*Jimi has 25 years of experience in operational risk and regulation. Jimi has held several roles at the UK regulator, including in risk as an operational risk policy SME, Basel 2 Technical Specialist and manager of the Basel 2 Implementation team. Jimi was also a supervisor of GSIFI banks and investment firms at the UK regulator. Jimi then held senior positions within the GSIFI MUFG, including as Head of EMEA Regulatory Affairs and Head of Compliance Policy and Risk.*

Jimi's main areas of expertise and interest are operational risk and regulatory affairs, and in addition to consulting projects, Jimi has published a number of journal articles on his specialist subjects and spoken at international conference. Jimi has also developed and delivered training including for the IIF, Risk.net and CefPro. Jimi is a former director of the Institute of Operational Risk (IOR), and between May 2017 to March 2021 was Chairman of the Executive Committee of IOR in England & Wales. Jimi is also a Fellow of the Institute and Technical Specialist Member of the IRM and a Member of the CISI. In 2017, Jimi partnered with Chapelle Consulting to secure a place on the S166 panel under Chapelle.

 **Dates**

**29/09 - 30/09 - 01/10  
2021**

 **Time**

**1:00pm - 4:30pm BST**

 **Price**

**870 £**

## Registration Form

Please return this form to [training@chappelleconsulting.com](mailto:training@chappelleconsulting.com)

The invoice will be sent by email to the address provided in the billing details section below.

### Participant Information

First Name	Surname
Mobile phone number	Email
Company	Job Title
Sector	Country

### Billing Information

First Name	Surname
Email	VAT Number
Billing Address	
Additional information	

I accept the terms and conditions available on [www.chappelleconsulting.com/training-terms-and-conditions](http://www.chappelleconsulting.com/training-terms-and-conditions)

Signature:

Date:

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