

Ruleguard are proud sponsors of The CASS Academy

# Escape CASS Complacency!



Why disrupt and create challenges and problems when things are smooth sailing? Prove your legacy and efforts when things are calm:

**1 Rehearse and be ready** - demonstrate to the FCA that you are still looking for risks and breaches.

**2 Run a mock resolution event** - especially when you're confident on current processes.

**3 Change your auditor** - don't be forced to change your auditor when you don't have capacity.

## Checklist

- ☰ *Focus your mind* - what can go wrong, where are the gaps, how will you prevent mistakes?
- ☰ *What is the impact* - for you and your clients?
- ☰ *Consumer duty* - how will you continue to deliver good outcomes and prevent harm?
- ☰ *Design a visual heatmap* - what are the CASS risks with and without controls, how you are mitigating these risks?
- ☰ *Support with data* - what breaches or near misses were recorded? What info did you provide to the regulators?

➔ Rehearse, Mitigate, Pass!

BOOK A DISCOVERY CALL