

## Case study: Supporting A General Insurer

Equiniti Hazell Carr was selected by a well-known general insurer to assist with the requirements of a Section 166 enforcement. The enforcement meant that the insurer's salesforce had been suspended, pending the implementation of a new training and competency scheme.

Equiniti Hazell Carr provided a Subject Matter Expert (SME) to assist with the design of a new training and competency scheme and to support its delivery to the insurer's salesforce.

Equiniti Hazell Carr conducted an initial gap analysis, cross-referenced with the FSA report on the reasons for the insurer's failings, and devised a new scheme, fully compliant with all relevant ICOBS requirements. An independent audit from one of the 'Big 4' consultancies provided additional approval and sign-off to the process.

Equiniti Hazell Carr also conducted a procedural review exercise. This identified areas of weakness in the existing procedures and recommended additional or revised procedures to ensure all processes were both robust and fully compliant.

Once all staff were fully trained, Equiniti Hazell Carr delivered coaching and feedback training to all team leaders, ensuring that the redesigned training and competency model would be cascaded and adhered to fully in future.

During this process, the Equiniti Hazell Carr SME acted as interim Quality Manager, providing full support for the insurer's quality team, until a permanent replacement was signed-off as competent and a fully robust handover could take place.