

THE
INVESTMENT
ASSOCIATION
IA LEARNING

IA
E-Learning
Library

2024



Included with IA learning

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[theia.org/events-training/welcome-ia-learning](https://www.theia.org/events-training/welcome-ia-learning)

Enquiries: training@theia.org

DELIVER A CONTINUOUS LEARNING CULTURE WITH OUR AWARD-WINNING LMS

The IA Learning LMS is a scalable platform that can be tailored to meet your specific business needs. It's an end-to-end solution on which you can build and evidence a learning culture.

One single instance gives you access to an easy-to-navigate, customisable learning platform delivering a wealth of industry-leading training courses. It enables a culture of continuous learning with content that is accessible from any device, anywhere, at any time.

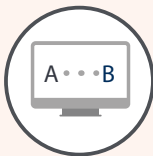
But, more importantly, it goes well beyond even that. It delivers a host of powerful tools to manage and evidence competency across your organisation.



LMS highlights



Collaborative and social learning



Intuitive user friendly design



Reviews, 1:1s and managing competence

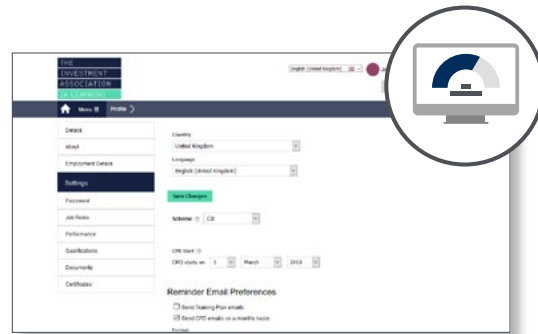


Diagnostics



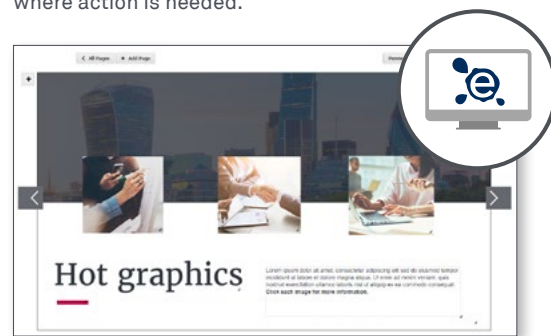
Powerful reporting & audit tools

Quickly highlight knowledge gaps or areas of non-compliance by using the integrated report generator to identify how staff are performing against their training requirements, with the ability to drill down to an individual level to see where action is needed.



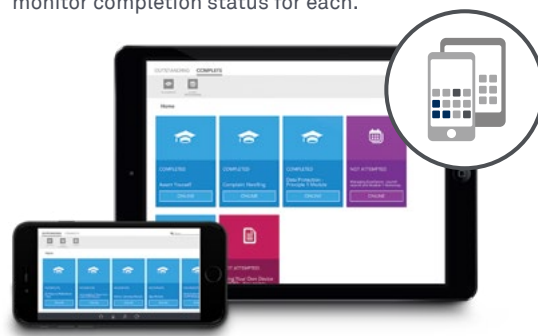
Continuing Professional Development (CPD) tracking

Use the standard scheme or configure your own. Automatically log CPD time accrued from online learning activities, or manually add offline time. Record qualifications held by individuals and monitor completion status for each.



eCreator authoring tool

Create your own microlearning with eCreator – an authoring tool available with every subscription. Build and tailor your own courses or add custom modules to existing pathways.



On-the-go access

Deliver learning content anytime, anywhere and on any device with the free Learning Path app.

LMS highlights

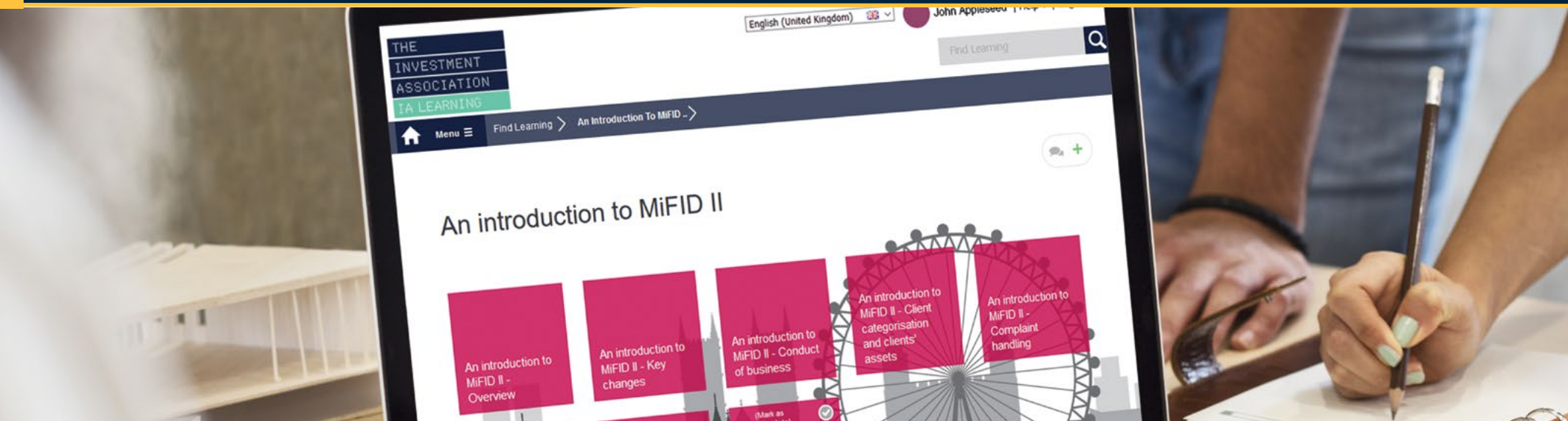


Specialist tools

e.g. Senior Managers & Certification Regime for financial services

Other standard features

- Event management
- Auto-enrolment rules
- Activity ratings
- Job roles and responsibilities
- Question banks and assessments
- Integration tools
- Custom portal branding
- Secure, unlimited hosting



FUNDAMENTALS

The Fundamentals suite provides users with a base level of knowledge to assist with compliance when working in the financial services sector.

It introduces the financial services regulators – providing an understanding of who they are, what they do and why they are there. It takes a high-level view of what is required of firms to comply with the regulations and, the consequences of non-compliance.

It also looks at the key legislation around data protection and the security of information, including the wide-reaching implications of GDPR.

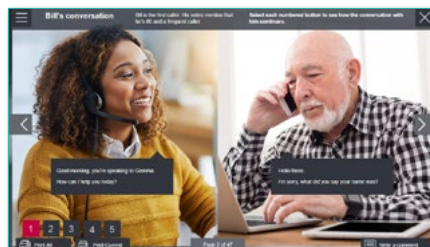
FUNDAMENTALS	Target Audience		Recommended CPD
	Sector	Job Role	
General Data Protection	All	All	1 hr
Introduction to the Financial Conduct Authority (FCA)	Financial services	All	1 hr 10 mins
Introduction to the Prudential Regulation Authority (PRA)	Financial services	All	1 hr
Maintaining information and cybersecurity	All	All	1 hr 15 mins
Risk and operational resilience	All	All	1 hr 15 mins

CONDUCT

The Conduct suite is aligned to the core principles and objectives of the Financial Conduct Authority (FCA).

Conduct rules apply to staff at all levels of financial services firms. This eLearning suite focuses on ensuring all users operate with the appropriate duty of care and due diligence and is aimed at helping to build the right organisational culture.

The suite covers consumer protection, systems, controls and governance. It also offers insight on how to spot and act on wrongdoing such as insider trading or miss-selling – protecting the firm and its customers and ultimately protecting the market and the economy.



CONDUCT	Target Audience		Recommended CPD
	Sector	Job Role	
COBS Appropriateness	Investment banking & insurance	All	1 hr 15 mins
COBS Best Execution	Investment banking & insurance	All	1 hr 25 mins
COBS Client Categorisation	Investment banking & insurance	All	1 hr 30 mins
COBS Dealing and Managing	Investment banking & insurance	All	1 hr 30 mins
COBS Essentials	Investment banking & insurance	All	1 hr 10 mins
COBS Suitability	Investment banking & insurance	All	1 hr
Conduct Risk and Treating Customers Fairly	All financial services	All staff with customer interaction	1 hr 25 mins
Consumer Credit - Handling Arrears	Firms that offer consumer credit	Credit control & arrears handlers	1 hr 25 mins
Culture and Ethics	All financial services	Management	1 hr 20 mins
Financial Promotions	All financial services	Marketing & product development	1 hr
How to handle regulated complaints	All financial services	All	1 hr
Introduction to BCOBS and the PSRs (Banking)	Retail banking	All	2 hrs
Introduction to BCOBS and the PSR (Building societies)	Building societies	All	2 hrs
Managing Conflicts of Interest	All financial services	All	1 hr 10 mins
The Conduct Rules	All financial services	All	1 hr
Understanding vulnerable consumers	All financial services	All	45 mins
Whistleblowing with Confidence	All financial services	All	1 hr 30 mins

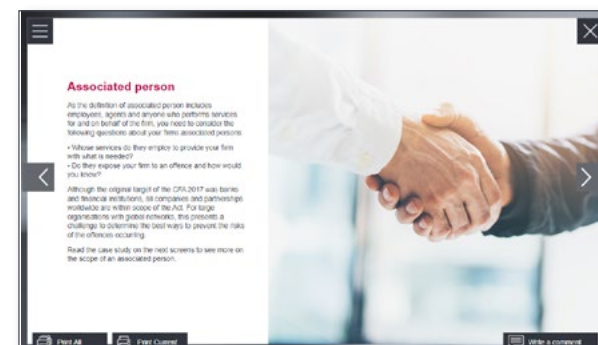
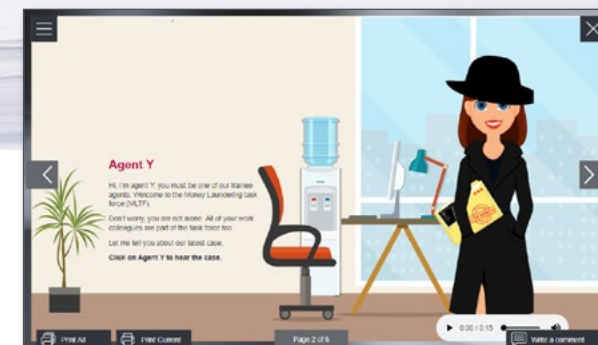


FINANCIAL CRIME

The Financial Crime suite is essential eLearning for all financial services firms – and indeed all organisations that handle money.

It shows how to protect your firm from exposure to financial crime. Ultimately it helps ensure that your firm is not being used as a tool by criminals, which in turn will protect consumers and the wider economy.

Covering off the key legislative frameworks, including Anti-Money Laundering (AML) IV – and the regulations that firms are required to satisfy under the legislation, it also ensures compliance alongside assisting with prevention.



FINANCIAL CRIME (CONT)



FINANCIAL CRIME	Target Audience		Recommended CPD
	Sector	Job Role	
Anti-money laundering and countering terrorist financing	All	All	1 hr 15 mins
Combating Market Abuse	All financial services	All	1 hr
Compliance with the Criminal Finances Act 2017	All financial services	All	1 hr
Complying with Sanctions	Financial services with offshore operations	All	1 hr
Countering Bribery and Corruption	All	All	1 hr 25 mins
Customer Due Diligence	All financial services	All staff with customer interaction	1 hr 25 mins
Fighting Fraud	All	All	1 hr 30 mins
Financial Crime: The Basics	All	All	1 hr
MLRO The Role of the Money Laundering Reporting Officer	All financial services	MLRO & deputy	1 hr 45 mins

SENIOR MANAGERS & CERTIFICATION REGIME

The Financial Conduct Authority (FCA) believes that holding individuals to account is a key component of effective regulation.

This is shown through the Senior Managers and Certification Regime (SM&CR) which currently applies to dual-regulated firms, insurers and reinsurers - and is being extended to solo-regulated firms from 9 December 2019.

This suite covers the training requirements for all staff under the new regimes. From the Introduction to the Regulatory Framework, training for Senior Management Functions (SMF) and Certificated Individuals through to case studies on Conduct Rules split out by sector, function and job role – it has all the key topics covered.

SENIOR MANAGERS & CERTIFICATION REGIME	Target Audience		Recommended CPD
	Sector	Job Role	
Certification Regime	All financial services	Certificated individuals	1 hr
Senior Management Arrangements, Systems and Controls	All financial services	Senior Managers	1 hr 20 mins
Senior Managers Regime	All financial services	Senior Managers	1 hr 25 mins
The Regulatory Framework in Financial Services	All financial services	All	1 hr 15 mins

Specialist tools are available to address the additional demands of the Senior Managers & Certification Regime.



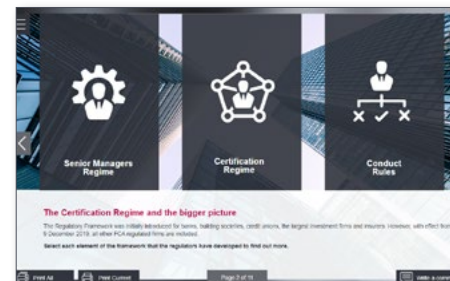
SMR

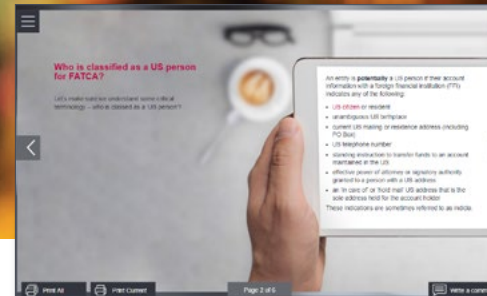
The powerful SMR tool helps with the easy planning, building and maintaining of Responsibilities Maps and Individual Statements of Responsibilities with full auditing capability.



CR

The CR tool enables the identification and management of CR roles, including the definition of criteria that must be met to achieve certification.





SPECIALIST

A range of specialist eLearning courses are available for particular financial services firms.

These highlight essential rules that apply to distinct sectors such as investment banking and consumer credit.

Each course is designed to provide a clear overview of the specific regulation or requirement and includes relevant role-related case studies bringing the content to life and covering training called for by the regulation.

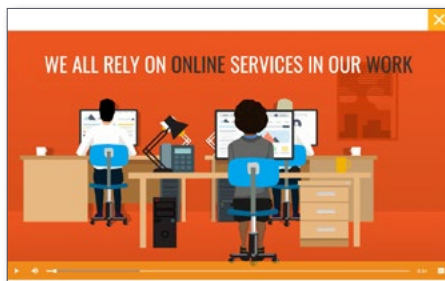
SPECIALIST	Target Audience		Recommended CPD
	Sector	Job Role	
An Introduction to MiFID II	Investment banking	All	1 hr 15 mins
Consumer Credit Regulations (Motor Finance)	Consumer credit for motor finance	All	1 hr 10 mins
Consumer Credit Regulations (Personal Loans and Credit Cards)	Consumer credit for personal loans and credit cards	All	1 hr
FATCA	Financial services with operations in the USA	All	1 hr
The Basics of CASS	Asset management firms	All	1 hr 25 mins
The regulatory regime for claims management companies		All	45 mins
Transaction Reporting	Investment banking	Compliance managers	1 hr

MAKE YOUR PEOPLE YOUR MOST EFFECTIVE DEFENCE AGAINST CYBER-ATTACKS

Access Cyber Awareness & Resilience helps your people to become your greatest information security asset.

Ensuring your most valuable and precious information remains secure from a cyber-attack or data breach is a critical business risk. But your resilience to these growing threats can only be as good as the vigilance and behaviours of your people, especially when 90% of cyber-attacks succeed because of human error. That's where Access Cyber Awareness & Resilience can help.

Access Cyber Awareness & Resilience provides your people with *National security centre approved* courseware for cyber security and data protection awareness training. Written and designed by cyber security experts and learning specialists, the modules help your people embed and sustain cyber resilient behaviours across your organisation.



MANAGER AWARENESS	Recommended CPD
Data Protection and GDPR: For Data Controllers and Managers	15 mins
Preparing for a Cyber Incident	15 mins
Managing your supply chain risk	15 mins

KEEPING SAFE ONLINE	Recommended CPD
Online Safety	15 mins
Social Media Protection	15 mins

SAFE DEVICE USE	Recommended CPD
Bring Your Own Device (BYOD)	15 mins
Business E-mail Compromise	15 mins
Password Safety	15 mins
Remote & Mobile Working	15 mins

MANAGING ONLINE RISKS	Recommended CPD
Payment Diversion Fraud	15 mins
Phishing	25 mins
Social Engineering	25 mins

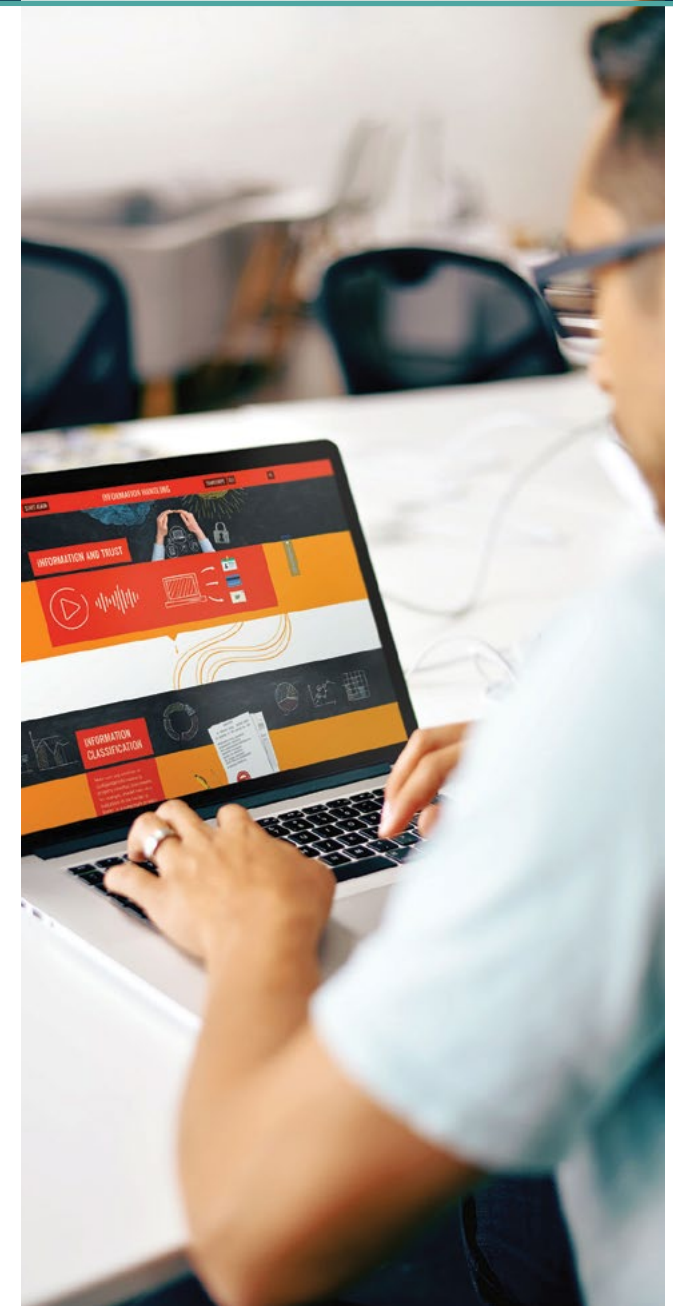
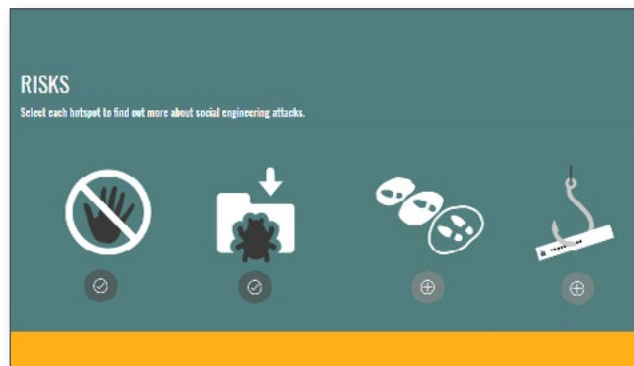
“Access Cyber Awareness & Resilience helps us stay ahead of the threats.”

CEO, Financial Services

PROTECTING INFORMATION	Recommended CPD
Add Data Protection and GDPR: All Staff General Awareness	15 mins
Personal Information	15 mins
Information Handling	15 mins
Removable Media	15 mins

AUDIO STORIES	Recommended CPD
Banana Drama	6 mins
Grazing the Free WiFi	5 mins
Lily's Amazing Birthday Cake	6 mins
One Born Every Click	7 mins
One Nil to the Hackers	5 mins
Online Safety: Fine Margins	6 mins
Shoulder Surfing	6 mins
Speared	6 mins
Stating the Obvious	6 mins
'Too Shiny, Too Easy'	5 mins

LEARNING ANIMATIONS	Recommended CPD
Ransomware animation	5 mins
Sending information to the wrong person animation	5 mins
Sextortion animation	5 mins
Themed Phishing animation	5 mins



WORKING IN THE 'NEW NORMAL'

Returning to work in the 'new normal' may seem difficult...

Returning your workforce to shared work spaces after either furlough or remote working is a challenge. Not only are the challenges internal but also external with clients, customers and consumers alike. Here at Access we have curated a content bundle to assist with these ongoing challenges all being faced by you and your staff.

ACCESS LEARNING LITE INCLUDES OUR WORKING IN THE 'NEW NORMAL' PACKAGE:

Coronavirus Awareness

COVID Response: Senior Leaders

Health and Safety for Homeworkers (Employees)

Health and Safety for Homeworkers (Managers)

Managing Virtual Teams

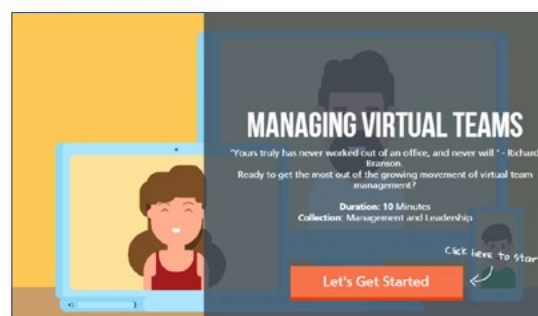
Mental Health

Phishing

Remote Working

Whaling for Beginners

Workstation Setup



AVAILABLE FOR AN ADDITIONAL COST

PERSONAL, BITE-SIZED LEARNING TO SUIT YOUR ORGANISATION



MicroLearn's Soft Skills library is made up of 10 suites, covering an increasing range of essential professional skills.

An organisation's greatest assets are its people, with soft skills development proving invaluable to organisations who strive to be increasingly dynamic, interconnected and flexible, attracting and retaining talented employees as well as increasing business with both new and existing clients.

Although soft skills are often harder to develop and less quantifiable than traditional hard skills, they are essential to developing strong interpersonal, communication and personal development skills which contribute immeasurably to the overall success of an organisation.

MicroLearn's effective and engaging Soft Skills catalogue features over 70 courses, covering a growing range of professional skills and topics as well as the popular Workplace Wellbeing range, developed in collaboration with the learning architect, Liggy Webb.

MANAGING CHANGE

The Need for Strategy
Challenging the Status Quo
Making the Change
Thriving in Change
Experiencing Change
Seeing Change Through

LITERACY SKILLS

The English Sentence
Spelling & Punctuation
Planning Your Report
Writing Your Report

CUSTOMER SERVICE

Caring for Vulnerable Customers
Career Planning
First Impressions
Inducting a New Team Member
Networking
Handling Complaints
Email Etiquette
Telephone Manner
Maintaining Customers
Managing Expectations
Approaching New Customers
Know Your Customer
Brand & Reputation

COMMUNICATION & SOCIAL SKILLS

How to be Assertive
Fluent in Body Language
What's Not Being Said?
Effective Writing
Asking the Right Questions
Expressing Yourself
Active Listening
Presenting with Confidence
Presenting Data
Communicating with Emotional Intelligence
Social Media Awareness
Communicating Under Pressure
Workplace Diplomacy

MANAGEMENT & LEADERSHIP

Developing Leadership

Training for Non-trainers

Project Management

The Effective Leader

Coaching & Mentoring

Giving & Receiving Feedback

Taking Action

Planning & Monitoring
Team Performance

Motivation & Effective Feedback

Managing Virtual Teams

Coaching

Mentoring

Flexible Leadership

Operational Agility

Performance Management

Planning for a Crisis

Taking the Lead

Workplace Ethics

CAREER DEVELOPMENT

Tips for the Interviewee

Career Planning

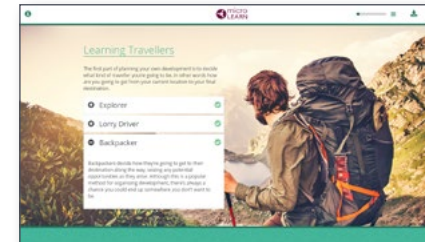
First Impressions

Inducting a New Team Member

Networking

Hiring Right First Time

Appraisal Interviews



PERSONAL DEVELOPMENT

Making Objectives Happen

Problem Solving

Setting Objectives

Dealing with Stress

Time Management

Planning Your Own Development

Negotiation Skills

Decision Making

Confidence

Remote Working

Productivity

SAFEGUARDING

Safeguarding Children
(England & Wales)

Safeguarding Vulnerable Adults
(England & Wales)

Safeguarding Children (Scotland)

Safeguarding Vulnerable Adults
(Scotland)

Safeguarding Children
(Northern Ireland)

Safeguarding Vulnerable Adults
(Northern Ireland)



TEAMWORK

Working in Teams

Dealing with Conflicts

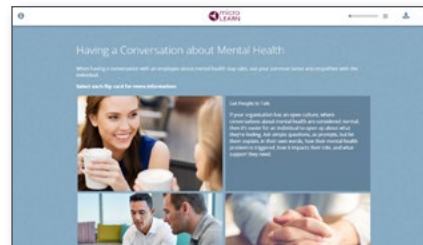
Effective Delegation

Find Your Role

Effective Meetings

Performance Troubleshooting

Collaborative



WORKPLACE WELLBEING

Great Conversations

Everyday Energy

Mental Health

Sickness & Absence

Healthy Living

Impact & Influence

Value & Purpose

Positive Thinking

Resilience

Empathy

Life Balance

Relationship Building

Relaxation

Changing Behaviours

Creativity

Benefits of Good Sleep

Personal Agility

Flexible Leadership

Managing Emotions

Mindset

Ambiguity

Better Judgements

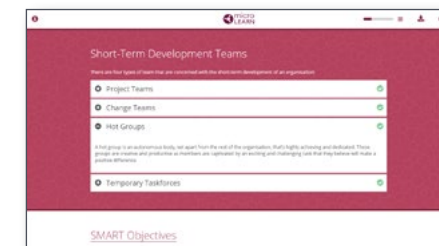
Critical Thinking

Curiosity

Letting Go

Mindfulness

Winter Wellbeing



AVAILABLE FOR AN ADDITIONAL COST

BLENDED MICROLEARNING TO PROMOTE COMPLIANT BEHAVIOUR

Each course
25
minutes
CPD

With six comprehensive suites, covering a broad range of compliance topics, MicroLearn effectively supports organisations in promoting compliant workplace behaviours.

Compliance training is a crucial part of creating a safe and respectful working environment, recognising the importance of ensuring staff understand the laws and regulations which apply at work to help your organisation detect and minimise potential risks.

MicroLearn's comprehensive Compliance catalogue of over 40 courses, covers a range of topics including Equality & Diversity, Social & Corporate Responsibility, Finance, Health & Safety and Food Safety & Hygiene.

By utilising accessible and effective compliance training, your organisation will ensure that a productive and informed environment is established, where the welfare of your team is protected.

“
Compliance training is a crucial part of creating a safe and respectful working environment.
”

DATA PROTECTION

- Data Protection Act 2018
- GDPR Module
- An Introduction to GDPR
- Lawful Basis for Processing
- Individual Rights
- Accountability & Governance
- Freedom on Information UK
- Freedom of Information Scotland

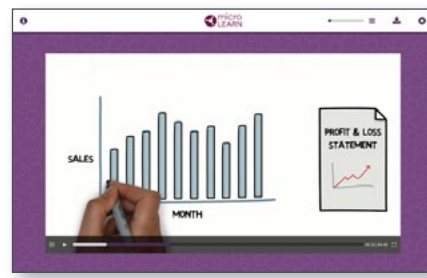


EQUALITY & DIVERSITY

- Workplace Bullying
- Introduction
- Age
- Race
- Religion or Belief
- Gender Reassignment
- Sex Discrimination
- Sexual Orientation
- Marriage & Civil Partnership
- Pregnancy & Maternity
- Disability
- Unconscious Bias

UNDERSTANDING BUDGET & FINANCE

- Finance for Non-Financial
- Insider Trading
- PCI - DSS
- Bribery & Corruption
- Budgeting Basics
- Managing Personal Finance



FOOD SAFETY & HYGIENE

Introduction

Food Law

Food Safety Hazards

Food Safety Management

Food Allergy

Food-borne Illness

Personal Hygiene

Hygienic Premises

Temperature Control

HEALTH & SAFETY

Introduction

Fire

First Aid

COVID Response for Leaders

COVID Response for Managers

COVID Response for Employees

Dangerous Substances

Display Screen Equipment

Electricity

Manual Handling

Moving or Falling Objects

Office Health & Safety

Remote Health & Safety

Slips & Trips

Vehicles In & Around
The Warehouse

Work At Height

SOCIAL & CORPORATE RESPONSIBILITY

Absence Management

Fair Treatment of Customers

Fraud Awareness

Workplace Security

Bribery Act 2010

Anti-Money Laundering

Competition Law

Right to Work

Whistleblowing

Sustainability

Cyber Security

Anti-Slavery

Driving at Work

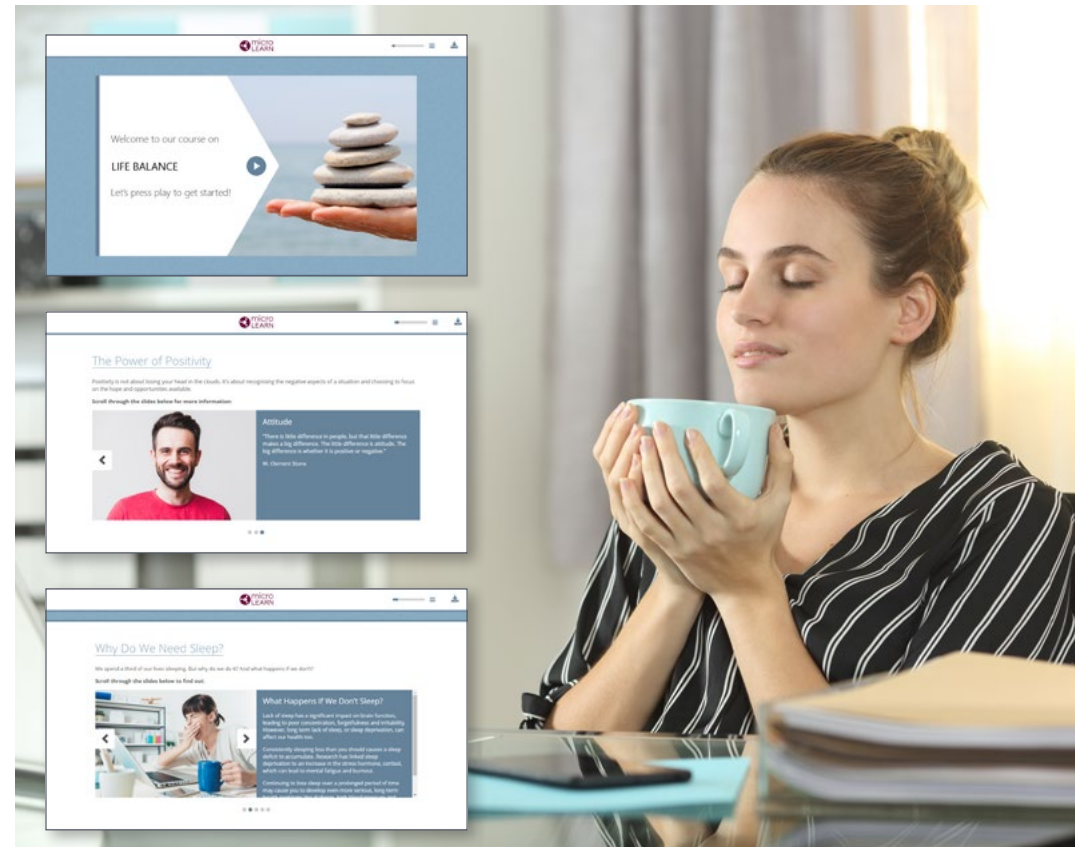
AVAILABLE FOR AN ADDITIONAL COST

The current situation is putting a greater strain on the mental wellbeing of our employees than ever before. It is our duty as responsible employers to do all we can to help our people to navigate through these turbulent times and come out the other side with our wellbeing intact.

The positive effects of having a mental health strategy includes lower sickness absence and presenteeism, better employee morale and increased engagement, as well as forging a healthier and more inclusive culture within the workplace.

Our mental health and wellbeing resources allow you to pick and choose the content that suits your people and your organisation. The resources come in bite-sized modules, videos, infographics and factsheets which can help your organisation educate and support teams with their mental health. The wide selection of information means you don't have to be an expert on mental health to create an effective wellbeing campaign.

COURSE TITLE	COURSE TITLE
Ambiguity	Letting Go
Benefits of Good Sleep	Life Balance
Better Judgements	Managing Emotions
Changing Behaviours	Mental Health
Creativity	Mindfulness
Critical Thinking	Mindset
Curiosity	Personal Agility
Empathy	Positive Thinking
Everyday Energy	Relationship Building
Great Conversations	Relaxation
Healthy Living	Resilience
Impact and Influence	Value and Purpose





GET STARTED WITH IA LEARNING



THE NEW HOME OF ELEARNING FOR THE
INVESTMENT MANAGEMENT INDUSTRY

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theia.org/events-training/welcome-ia-learning

Contact us:

e. training@theia.org

w. theia.org/events-training/welcome-ia-learning

