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<b>08. SMCR Program</b>	<b>11. Risk Management</b>
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***\*Policy Templates Included in Main Manual (and Standalone Folder where applicable)***

Compliance Policy	Appointed Representative Monitoring Procedures
Conduct of Business Policy	Management Information Policy
Compliance Breach Policy & Procedure	Financial Difficulties Policy
Audit & Monitoring Policy & Procedures	Responsible Lending Policy
Quality Assurance & Performance Policy & Procedures	Affordability & Creditworthiness Policy & Procedures
Outsourcing & Supplier Policy & Procedures	Distance Marketing Policy
Records Management Policy	Pre-Contract Disclosure Policy
Change Management Policy	CPA Policy & Procedures
Conflict of Interest Policy	Post-Contract Policy
Whistleblowing Policy & Procedures	Cancellation & Refund Policy
Remuneration Policy	Arrears & Default Policy & Procedures
Threshold Conditions Policy & Controls	Debt Recovery Policy & Procedures
Debt Advice Policy & Procedures	Advising & Selling Policy ( <i>*MCOB version only</i> )

## CONTENTS FOR GDPR & INFORMATION SECURITY TOOLKITS

*The documents in this list are included in the GDPR versions of the FCA Manual*

### **GDPR BUNDLE**

1. Instruction GDPR Bundle
2. Toolkit Guidance Document
3. GDPR Implementation Plan
  
- 4. GDPR Templates Folder**
  - 4.1 Consent & Withdrawal Templates
  - 4.2 Consent Checklist
  - 4.4 Employee GDPR Communication Summary
  - 4.5 Employee Privacy Notice Template
  - 4.6 GDPR Compliance Statement Template
  - 4.7 Information Audit
  - 4.8 Legitimate Interests Assessment Template
  - 4.9 Privacy Notice Template
  - 4.1 Privacy Notices Register
  - 4.11 Processing Activities Register
  - 4.12 Processor Agreement Template
  - 4.13 Processor Notification Template
  - 4.14 SAR Response Templates
  
- 5. GDPR Documents Folder**
  - 5.1 Data Breach Incident Form
  - 5.2 Data Breach Policy & Procedures
  - 5.3 Data Protection Policy & Procedures
  - 5.4 Data Retention & Erasure Policy (*inc. Retention Register*)
  - 5.5 Data Protection Officer (DPO) Responsibilities
  - 5.6 International Transfer Policy
  - 5.7 Subject Access Request Procedures
  - 5.8 CCTV Policy
  
- 6. Checklist & DPIA Folder**
  - 6.1 DPIA Assessment Templates
  - 6.2 GDPR Checklist (Excel)
  - 6.3 GDPR Checklist (Word)
  - 6.4 DPIA Procedure
  - 6.5 CCTV Checklist
  
- 7. PECR Folder**
  - 7.1 PECR Guidance Document
  - 7.2 Cookie Policy
  - 7.3 Direct Marketing Notice Template
  - 7.4 Direct Marketing Policy

- 7.5 PECR Audit Checklist
- 7.6 PECR Data Breach Incident Form
- 7.7 PECR Electronic Communications Policy
- 7.8 Personal Data Breach Log

### **INFORMATION SECURITY TOOLKIT**

- Information Security Checklist
- Access Control & Password Policy
- Asset Management Policy
- BOYD & Remote Access Policy
- Clear Desk Policy
- Email Usage & Archive Policy
- Information Asset Register
- Information Security Policy
- Secure Disposal Policy
- Anti-Virus & Malware Policy
- Firewall Policy
- Business Continuity Plan Template