AI GOVERNANCE KIT · FCA EDITION · ESSENTIALS

Essentials: the rules, the register and the paperwork, ready to fill in

For financial advice firms. Mapped to published guidance from the FCA.

Everything you need to put written AI rules in place yourself: a policy, a register of approved tools, a usage log, client wording, tool checks, a staff survey and a prompt library.

PRICE	£249 One payment. Licensed for one firm.
DELIVERY	Delivered by email as a zip file straight after payment.
LAST REVIEWED	Kit content last reviewed September 2026.

What you'll have when you've finished

If your team already uses AI tools, often on personal accounts, this kit gives you written rules to follow and the records to show how you work.

01	A written AI use policy, owned by the senior manager responsible for AI
02	A register of the AI tools your team may use, and which of them may see client information
03	A quick way to record AI use on client work, so you can show who checked what
04	Wording for your client agreements and privacy notice, and answers for clients who ask
05	A set of checks to run before any new AI tool is approved, including a DPIA screening
06	An anonymous staff survey, so you know what's already in use before you write the rules
07	15 prompts for everyday jobs, each marked safe or unsafe for client data

HOW LONG IT TAKES

Plan for a few hours in total, spread over a week or two while the staff survey answers come in.

The start here guide takes you through it step by step, and a 20-minute video walks through the whole kit.

What's inside

11 documents to edit in Word or Google Docs, with spreadsheets where they help. Every document has your firm's name and other details in square brackets to fill in, and the date the content was last reviewed.

FILE	WHAT IT'S FOR
Start here guide	Your step-by-step plan, with the link to the walkthrough video
AI use policy	The rules everyone follows
Approved AI tools register	Which tools are allowed, and for what (Word and spreadsheet)
AI usage log	A light record of AI use on client work (Word and spreadsheet)
AI wording for your client agreements	Wording for your client agreements and privacy notice
AI tool assessment and DPIA screening	Checks to run before any tool is approved
Staff AI survey	The anonymous staff survey, plus a script that builds it as a Google Form
Client AI FAQ	Answers for clients who ask about AI
Prompt library	15 prompts for everyday jobs, each labelled for client data
Regulator mapping	How each document lines up with what the FCA expects
Licence and terms	What you can and can't do with the kit

A LOOK INSIDE

3. Client and personal data

- The default rule: don't put client information, personal data or anything confidential into an AI tool.
- The only exception is a tool marked "Approved for client data" in the register.
- Even in an approved tool, share only what the task needs. Remove names and identifiers where you can.

FROM THE AI USE POLICY, SECTION 3

Mapped to the FCA

Each document lines up with published guidance from the FCA. The full table, with links, is in the kit.

01	No new AI-specific rules: existing rules apply to AI, including the Consumer Duty and the Senior Managers and Certification Regime. (FCA, AI and the FCA: our approach, updated February 2026)
02	Consumer Duty: products meet customer needs, provide fair value, and communications support understanding; relevant to using AI safely. (FCA, AI approach page)
03	Accountability and governance: a senior manager is responsible for how AI is used. (FCA, AI approach page (SM&CR))
04	How existing rules apply to AI in financial services. (FCA, AI Update, 2024)
05	Personal data processed lawfully and securely, with processor contracts and impact assessments where needed. (UK GDPR and ICO guidance)

PLEASE NOTE

The kit is general guidance, not legal advice. Your compliance officer or compliance consultant should review each document before you adopt it.

Choose your kit

You're looking at: **Essentials**.

	THIS KIT ESSENTIALS £249	COMPLETE £495	COMPLETE WITH REVIEW £795
Policy, register, usage log, client wording, tool checks, staff survey, prompt library	■	■	■
Start here guide and 20-minute walkthrough video	■	■	■
Recorded team training, quiz and completion record		■	■
AI vendor checklist and scoring sheet		■	■
My written review within five working days, optional 30-minute call			■

UPGRADE

Upgrade to a higher tier at any time by paying the difference.

TEAM AI ROLLOUT

Prefer me to do it for you? The team AI rollout covers everything in the kit plus choosing and setting up your tools, a live workshop and a handover. It's £1,950, and if you book it within 60 days of buying a kit, the price you paid comes off.

Buy the Essentials kit at guyhabgood.co.uk/kits

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