

# Compliance Officer Training Programme



## Welcome

Like many other Compliance Officers, I learned my trade on the job. Thrown in at the deep end with the Guide to Professional Conduct of Solicitors, the Law Society Practice notes and the phone number to Professional Ethics and Practice Advice.



I went on a couple of half day courses, which ran through the rules, but I didn't feel equipped to process practical issues, and I didn't have enough detail to be able to determine whether we had the right things in place to be compliant.

With the Teal Compliance Officer Training Programme, I wanted to make sure there was enough detail to give new, and existing officers the confidence that they had not just an awareness of the rules and regulations, but also a practical framework within which to assess what you have in place.

With over 15 hours of content, practical exercises and an exam, you'll have the confidence to know you have invested time in making sure you're fully prepared or updated for the coming years and months.

I look forward to welcoming you onto our programme.

*Amy*

Teal Compliance CEO

## The Programme

The Teal Compliance Officer Training Programme covers the main areas of compliance for Law Firms. Over 18 modules you will gain a working knowledge of the requirements around Regulatory Compliance, Financial Crime, Risk Management and Data Protection.

### Regulatory Compliance

- Roles and Responsibilities of Compliance Officers
- Client Care Responsibilities
- Relationships with Third Parties
- Transparency Rules
- Solicitors Accounts Rules Compliance
- Equality and Diversity

### Financial Crime

- AML – Proceeds of Crime Act
- AML – Money Laundering Regulations Compliance
- AML – Dealing with Financial Crime Investigations and the NCA
- Bribery, Corruption and the Facilitation of Tax Evasion

### Risk Management

- Compliance that works
- Risk Management Strategies
- How to avoid the common causes of claims
- Business Continuity Planning
- Training and Continuing Competence

### Data Protection

- Effective Governance
- Avoiding common data protection issues
- What to do if things go wrong

## What to expect from the Programme

Each session on the course is delivered via a recorded webinar, which students can access for up to 6 months. The webinars are presented by one of our friendly team, and whilst they can be technical in terms of the law and regulation, we keep the focus on being practical.

### Each session is accompanied by a workbook which includes

- A copy of the slides
- Exercises
- Scenario based questions
- Checklists
- Further Recommended Reading

Together these workbooks will build into a go-to resource for you.

As a result of feedback we have received from previous students, we have introduced an optional examination. Exams will be held once a quarter, and will consist of 36 multiple choice questions.

In order to receive your completion certification you will need to achieve a pass rate of 80%, so whilst not an easy to achieve standard, by reaching it you will have confidence you can apply the learning in the course to real life examples.

## Our Compliance Officer Training Programme is built around our Compliance That Works method, which consists of 6 elements.

**Clarity** - Everyone in the firm needs absolute clarity about what is required for compliance, and why it is important. This course will provide Compliance Officers with that knowledge, but we will also cover what needs to be covered in staff training.

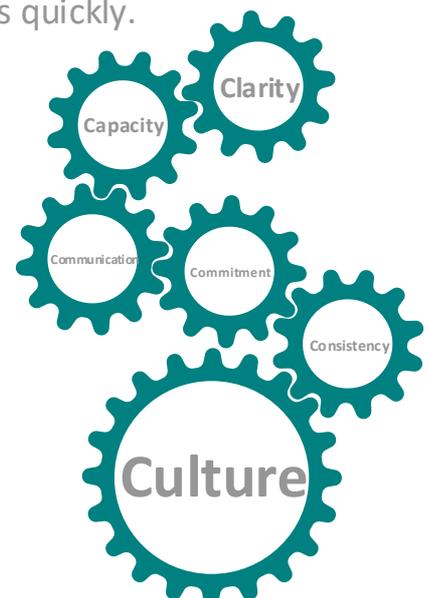
**Capacity** - Compliance needs to be resourced properly. In the programme we look at the roles and responsibilities of all compliance role holders and explore building a team internally and how outsourcing can help.

**Communication** - We believe it's important that policies are clear, and procedures can be followed. In the programme we share our experience of the common mistakes which are made, and how to ensure that your communication with the firm is listened to and actioned.

**Commitment** - For each session, we outline what commitment looks like and how to secure it from your colleagues.

**Consistency** - The quickest way to undermine a compliance programme is lack of consistency, whether that is application of procedures, or letting some people get away with not complying. We will consider the consequences of non-compliance, and how to build systems to flush out any issues quickly.

**Culture** - In a recent poll of compliance professionals 43% said they wanted to know how to build a compliance first culture. Whilst not a simple answer, it is achievable. Through clear communication, consistency, and sometimes consequences, we will take you through the fundamentals you need to have in place to build that compliance culture.





## Ask Teal

At Teal Compliance our team have a wide range of legal experience.

We know that there are times when it would be helpful for you to discuss compliance issues to find a solution. Whether it's something you've never come across before, or you just need a second opinion you can access our popular "Ask Teal" service where our team will be on hand to guide through your query.

Here are some of the ways we have helped our clients already:

### AML

- Discussing suspicious activity and red flags;
- Guiding firms on reporting obligations and seeking consent;
- Reviewing CDD documentation and evidence of source of funds and source of wealth;
- Tipping off and what you can and can't say.

### Standard and Regulations

- Discussing potential conflict situations;
- How to deal with a complaint;
- Potential breaches of the Code.

### GDPR/Data Protection

- Handling a Data Breach;
- Data Retention in practice.

Clients will have 6 months access to the Ask Teal service from the commencement of the Compliance Officer Training Programme.

Just give us a call on

**0333 987 4320**

Or email

**[askteal@tealcompliance.com](mailto:askteal@tealcompliance.com)**



**Specialists in:**

- Anti-Money Laundering
- Data Protection
- Regulatory Compliance
- Risk Management

**Providers of:**

- Policies & Procedures
- Training
- Audit Services
- Compliance Helpline

**0333 987 4320**

**hello@tealcompliance.com**

**www.tealcompliance.com**

Registered Office: Office 6, Spark Studio 208-210 Great Clowes Street, Salford,  
Greater Manchester M7 2ZS

Teal Compliance Limited registered in England and Wales under company number  
11152076. VAT Registration number 287 8798 11.