



Compliance Officer Training Programme

Providing new and existing compliance officers with a practical framework, giving them confidence that their compliance works.

Teal
Compliance

Compliance specialist and CEO of Teal Compliance, Amy Bell, leads a team of expert consultants with over 100 years' combined experience, providing new and existing compliance officers with a programme that ensures their compliance works.



I've been building effective compliance programmes for over 15 years, and as a member of, and current Chair of, the Law Society's Money Laundering Task Force, I fully understand the problems that can be faced and how simple and effective training can be the solution.

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 attended 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.

That's why I developed Teal's Compliance Officer Training Programme. I wanted to make sure there was enough detail to give new and existing officers confidence that not only did they have an awareness of the rules and regulations, but they also had a practical framework in place, giving them confidence that their compliance worked.

With over 15 hours of content, practical exercises and an exam, you'll know the time you've invested will ensure you're fully prepared and updated for the coming years and months, giving you peace of mind that you, your firm and your clients are safe.

I look forward to welcoming you onto our programme.

A handwritten signature in black ink that reads "Amy". The script is fluid and cursive.

Amy Bell, CEO of Teal Compliance

Our Approach to Compliance

When we look at the root causes of compliance issues within a firm, it's rarely because of a lack of policies and procedures. In fact, the recipe for success requires quite a few ingredients.

Our Compliance Officer Training Programme is built around our "6Cs of Compliance" method, which guides you through making a practical compliance framework.

The method consists of 6 elements.

1. Clarity

Everyone in the firm needs absolute clarity about what's required for compliance, and why it's important. This course will provide compliance officers with that knowledge, and we'll also provide guidance of what needs to be covered in staff training.

2. Capacity

Compliance needs to be resourced properly. In the Compliance Officer Training Programme, we look at the roles and responsibilities of all compliance role holders, and explore building a team internally and how outsourcing can help.

3. Communication

It's important that policies are clear, and procedures can be followed. In the Compliance Officer Training 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.

4. Commitment

For each session within the Compliance Officer Training Programme, we outline what commitment looks like and how to secure it from your colleagues.

5. Consistency

The quickest way to undermine a compliance programme is lack of consistency, whether it's an application of procedures, or letting people get away with not complying. We'll consider the consequences of non compliance, and how to build systems to flush out any issues quickly.

6. Culture

In a recent poll of compliance professionals, 43% said they wanted to know how to build a 'compliance first' culture. Although it's not a simple answer, it is achievable. Through clear communication, consistency, and sometimes consequences, we'll take you through the fundamentals you need to put in place to build a 'compliance first' culture.





The Programme

The Compliance Officer Training Programme covers the main areas of compliance for law firms. Over 18 modules, you'll 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
- Equality and diversity



Financial Crime

- Proceeds of Crime Act
- Money Laundering Regulations compliance
- 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
- Subject access requests
- Breaches and reporting

What to expect from the Programme



Webinars

Each session of the Compliance Officer Training Programme is delivered via a recorded webinar, which students can access for up to 6 months.

Each webinar is presented by one of our friendly team of training specialists. Whilst they can be technical in terms of the law and regulation, they always keep the focus on being practical.



Workbooks

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.



Exams

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

To receive your completion certification, you'll need to achieve a pass rate of 80%. Whilst not easy to achieve, by reaching it you'll have the confidence to apply what you've learned to real life.



Our 'Ask Teal' Service

Our compliance specialists at Teal have a wide range of legal experience. We know there are times when it would be helpful for you to discuss compliance issues with an expert, to help find a solution.

When you book onto the Compliance Officer Training Programme, you'll receive 6 months' access to our popular 'Ask Teal' service. Whether it's something you've never come across before, or you just need a second opinion, our team of compliance specialists will be on hand to guide you through your queries.

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

Anti-Money Laundering

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

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



Meet our Training Team



Amy Bell
Founder and CEO

Amy is the Founder of Teal Compliance and Teal Legal. As a compliance consultant with a passion for helping firms adapt to the changing legal landscape, Amy has many years' experience working with law firms. In 2017, she launched Amy Bell Compliance Limited followed by Teal Compliance Limited in January 2018.

Amy is the author of 'Solicitors and Money Laundering and Compliance That Works', published in 2021. She's also the author of the Law Society's Anti-Bribery Toolkit and their Anti Money Laundering Training courses. She's also a regular speaker for the Law Society, the ARK Group, MBL Seminars as well as local Law Societies.



Eilish Cullen
Consultant

Eilish is a Compliance Associate working in the Consulting and Auditing team. She brings to the team her former experience as role as a Salaried Partner, Head of Department, Deputy COLP and Complaints Partner. She has a keen interest in risk management, gap analysis, carrying out root cause analysis exercises and implementing the required improvements.

Eilish has been responsible for carrying out compliance training on a range of topics such as data protection, cyber security, anti-money laundering as well as ethics and integrity, and is able to deliver the training in an engaging and easy-to-digest manner. She understands the importance of having a compliance plan that works, and that it's understood and adhered to by firms' employees.



Simon Harbord
Consulting and Auditing Team Leader

Simon began working in the legal sector for a top 100 law firm in 2004, having previously been a compliance officer and MLRO for regional and national IFA's. He also has experience of working in an advisory capacity as a financial planner and mortgage advisor, positions he held prior to working in compliance.

From client on-boarding, auditing, the provision of training (both to colleagues and previously on behalf of the Law Society – at regional MLRO meetings) and advising colleagues in respect of their AML and POCA obligations, dealing with Suspicious Activity Reports and liaising with law enforcement, Simon brings a wealth of experience in the field and a practical, down to earth approach to providing advice.



Ellie Shute
Associate

Ellie is an associate who specialises in anti-money laundering, with a vast amount of experience in all areas of AML and compliance.

She's a skilled analyst who previously worked in large international law firms, conducting extensive research and GAP analysis.

As well as this, Ellie has worked with firms, both in the UK and overseas, to draft policies in line with their local laws and regulations. She is highly skilled in running AML audits to ensure clients are compliant with their regulators and producing and delivering bespoke training courses and masterclasses. She also regularly hosts webinars, and blogs, on a full range of AML topics and compliance.



Kayleigh Smale
Associate

Kayleigh started her compliance career over 10 years ago as a Conflicts and AML Analyst at an international law firm. She has a wealth of knowledge surrounding client due diligence for individuals, corporate entities and entities overseas. She's highly experienced in AML audits, AML training and helping clients with their AML queries through our 'Ask Teal' service.

Kayleigh is highly experienced in AML Audits, AML Training and helping clients with their day-to-day AML queries through Teal's Ask Teal Service. She has been teaching Teal courses since she joined the firm, and now is involved in writing and updating all our AML courses. She is an accomplished speaker appearing on webinars, at conferences and most recently in interviews for a podcast.

Our Clients' Feedback

We've received some fantastic feedback from our clients over the years. But don't just take our word for it. Here's what they have to say...



"We have been using Teal to support our compliance frameworks and every aspect of our experience with them has been fantastic. From the training to the audits and especially the 'Ask Teal' helpline, nothing is too much trouble and you get quick support from some of the industry's best compliance experts. Just having them there to support our continued growth takes a huge weight off my mind. Highly recommend to firms of all size and structure!"

Right Legal Group

"We have worked with Teal for several years. They have provided us with AML training and also helped us put together our firm-wide AML risk assessment and our updated AML policy, along with assisting us with various issues as and when they arose. We have always found them to be very helpful, friendly, responsive and knowledgeable, and are happy to recommend them."

Streathers Solicitors LLP

"We rely on Teal Compliance to provide responsive, practical compliance services to Constantine Law (we do not have an in-house compliance officer/function). I would encourage all solicitor firms without their own resource to engage with Teal: they know what they are doing and they provide peace of mind regarding day-to-day compliance matters as well as responses to unforeseen (tricky) compliance matters. They have become an indispensable partner to Constantine Law in our growth journey."

Constantine Law Limited

"We have had a relationship with Teal for a number of years and they have provided a valuable resource to our compliance team. Teal combine the delivery of a personal and friendly service with city level expertise."

Wilkin Chapman LLP

"We worked with Teal Compliance who undertook a legal compliance audit for us. We had no hesitation in instructing them to carry out the audit as it was clear that their knowledge in this area is extensive. They were very impressive from the moment of our first interaction with them, right through to receipt of their final report. In fact, we have been so impressed that we will be engaging with them again to undertake bespoke training for our staff. We would have no hesitation in recommending them."

Lester Aldridge LLP

Get in touch

If you'd like to talk to us about our Compliance Officer Training Programme, please get in touch.

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tealcompliance.com