

Risk and Compliance Accreditation: Training programme

Fraud and Bribery and Risk Management (Day one)

Monday, 12 September 2022 - 9.30am to 5pm

Trainer: Laurence Howland

Time	Syllabus area	Topic	Level
	Fraud and bribery	Competence in identifying current methodology in property and mortgage fraud Competence in undertaking fraud risk assessments and reviewing their effectiveness Understanding client due diligence for fraud, ID requirements for HM Land Registry (HMLR) and ID requirements under the UK Finance Handbook Competence in undertaking a bribery risk assessment	Legal Practice
	Business risk management	Competence in managing business continuity Understanding business resilience Understanding succession planning Competence in managing strategic resources	Legal Practice
	Risk management as top-down culture	Competence in effectively communicating risk within the practice, both to and from management level Competence in proactive risk management and review at management level Competence in identifying and managing material risks Competence in analysing risk data, and identifying, and then monitoring, corrective actions (the risk "cycle") Competence in influencing the business's compliance strategies and compliance culture	Legal Practice

Record keeping, People management and Client communications (Day two)

Tuesday, 13 September 2022 - 9.30am to 5pm

Trainer: Laurence Howland

Time	Syllabus area	Topic	Level
	Risk management as top-down culture continued	Competence in analysing risk data, and identifying, and then monitoring, corrective actions (the risk “cycle”) Competence in influencing the business’s compliance strategies and compliance culture	Legal Practice
	Addressing risk within the client journey	Competence in managing standards of service Understanding client care good practice Understanding the importance of managing client expectations Understanding factors which typically result in reports of poor service/client care Competence in identification requirements for clients under Solicitors Regulation Authority (SRA) Codes of Conduct Understanding who is your client (with focus on corporate/joint/entity issues) Competence in identifying and managing conflicts of interest Competence in managing client confidentiality Competence in managing referrals, fee sharing and commissions Competence in making and recording initial and ongoing operational risk assessments and, separate to that, a client and matter risk assessment for AML (anti-money laundering) purposes	Legal Practice

		Competence in declining instructions and ending the retainer appropriately	
	File reviews and file management	<p>Competence in managing file reviews</p> <p>Competence in analysing file review data in time to identify and address trends</p> <p>Understanding file reviews as part of an appropriate risk culture</p> <p>Understanding the continuous improvement objective</p> <p>Competence in managing file dormancy</p> <p>Competence in managing file allocation/workloads</p> <p>Competence in managing handovers and absences</p> <p>Competence in managing and controlling work types</p> <p>Understanding the importance of file organisation and file organisation protocols</p> <p>Understanding why file strategy must be apparent</p>	Legal Practice
	Use of practice manuals and establishing audit trails	<p>Competence in implementing SRA requirements for business systems</p> <p>Competence in drafting plans, policies and procedures</p> <p>Competence in evidencing and audit-trailing compliance</p> <p>Competence in updating plans, policies, controls, and procedures</p> <p>Understanding the importance of controlling content and ownership</p> <p>Competence in managing regular/annual reviews</p>	Legal Practice