



Our Compliance Services

Our range of services offers security and peace of mind for you, your business and your clients

Teal
Compliance

Compliance specialist and CEO of Teal Compliance, Amy Bell, leads a team of expert consultants with over 100 years' combined experience, providing support to law firms and compliance officers on the rules and regulations they need to know.



I founded Teal in January 2018 and was determined to deliver practical solutions to the compliance issues that law firms face.

Investing time and money into compliance is important, as it ensures that your clients and your business are safe. When the services you provide are protected from risk, you're able to deliver them at the highest standards.

The team at Teal are experts, and are passionate about their specific areas of compliance. Many of us previously had compliance roles in law firms for a number of years. This gives us a unique insight, as we know exactly what you're looking for, and what you need.

At Teal, we believe in:

- [Being honest with our clients](#) - we'll never recommend a solution which doesn't fit with a firm's risk profile.
- [Giving our clients practical help](#) - we'll implement our solutions quickly and apply our guidance immediately.
- [Sharing what we have](#) - we share our knowledge and experience and provide valuable support to our clients when they need it.

This guide helps you understand a little more about the services we offer, and the ways in which we can work together to secure your business. If you'd like to know more, simply get in touch.

A handwritten signature of Amy Bell in black ink, written in a cursive style.

Amy Bell, CEO of Teal Compliance



Why We Care About Compliance

For us, compliance is simply a framework for delivering a great service to your clients and protecting your firm. Our role is to advise people of the risks their business, their staff and their clients face. We explain what's in place to protect them and we check if it's still working. It's really that simple.

Compliance officers tell us all the time that despite a framework being in place, simple mistakes are still being made. As a result, they're still getting complaints from clients and, sometimes, claims are being made against them.

We know how frustrating this can be and understand how much it affects your lawyers, and your clients. After all, clients come to you for help, and your staff come to work to help them.

That overwhelming sinking feeling you have when you know something's gone wrong is one of the worst you can have. Not to mention the loss of productivity, loss of fees, penalties and fines.

That's why we want to help. We care about making sure businesses, staff and clients are all protected and have peace of mind.

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, it's not that straightforward. In fact, the recipe for success requires quite a few ingredients. Our "6 Cs of Compliance" methodology drives everything we do. So, whatever service you need from us, you can rest assured that it will be building towards a successful compliance programme.

Our 6-step method guides you through making a practical, compliance framework.

1. Clarity

We explain what the law means and how to apply it to your firm.

2. Capacity

We take the firm through the options for resourcing an effective compliance function.

3. Communication

No-one likes reading policies or coming to compliance training. We change that. With readable, practical policies and procedures, staff know what the requirements are and, through our interactive live training sessions, they find out why it's relevant and important.

4. Commitment

Buy-in from staff is so important and without it, compliance is very difficult. We make it real and change the mindset of staff, so it isn't just a 'tick box' process, but a meaningful and necessary endeavor.

5. Consistency

Firms need to know their compliance works, and by introducing a control framework, compliance officers will know where processes are being followed and, more importantly, where they're not.

And, most importantly...

6. Culture

Underpinning all of these is a compliance culture, with clear leadership, as well as an incentivisation programme to maintain momentum and protect the firm.



Our SORTED Services

Our SORTED services are designed to support compliance officers and managers. We've created a rolling programme delivered, initially, over 2 years. This will provide you with confidence that your firm has everything in place, and that your colleagues understand why they should be compliant, providing you with proof that your controls are working. Our programme consists of:



Stage 1: Groundwork

Diagnostic Gap Analysis: We'll ask you to send us all of the policies and procedures which your firm has to manage your compliance. We'll then prepare a report of recommendations to improve compliance and how to resource the compliance function.

Masterclass: We'll run a half-day masterclass with your compliance team and take them through the legal requirements. After this session, everyone will be much clearer on the task ahead.

Briefing for Management Team: We'll arrange a meeting with the management team to present our findings and the agreed plan of work.



Stage 2: Design

Policies, Controls and Procedures: We'll work with your firm to produce all of the documentation required by the Regulator, ensuring that it's easy to read and understand, and that it's relevant to the needs of your business.

Finalise the Design of the Compliance Framework: Once we have all the information we need, we'll produce the final compliance framework, together with a brochure for your staff to launch the service.



Stage 3: Delivery

In-House or Remote Staff Training: We'll deliver training on the policies and the regulations to ensure that everyone's aware of the expectations and how they're embedded within the firm.

Quarterly Review: Every quarter we'll meet with the compliance officer to discuss any forthcoming changes, check processes are being followed and deal with any issues which we've identified

Quarterly Newsletter for Staff on Compliance: We'll send you a quarterly newsletter for your staff, which will keep them up to date on compliance issues.



Stage 4: Monitor and Review

Annual Audit: At the 12-month anniversary of the implementation of the policies and training, we'll conduct an audit to test them. This will be similar to the initial diagnostic.

Annual Presentation to the Management Team: Following our audit, we'll present our findings to the management team, along with any recommendations for further improvements or remedial activity.

Ask Teal Service for your Compliance Officer: Throughout the programme, your compliance officer will have access to our 'Ask Teal' service helpline for any compliance issues which may arise.



Our Anti-Money Laundering Services

We're passionate about preventing criminals from using law firms to launder their dirty money, earned from drug dealing, tax evasion and human trafficking. Lawyers work hard to serve their clients, but can often be targeted by these criminals. This puts them at significant risk of criminal consequences.

Having an effective AML programme requires effective policies, controls and procedures, as well as everyone in the business keeping a keen eye open for the warning signs. Our AML services consists of:



AML Review

We'll provide, or update, your firm's policies and procedures, ensuring that they're written in clear terms, have practical application, and comply with the law.

Our AML Review includes a half-day consultation, resulting in a written report with recommended actions.



AML Audit

If you need an audit to comply with the Money Laundering Regulations, or wish to have a robust test of your processes, we'll provide an independent AML Audit service.

The AML Audit takes place over several days and includes a policy review, staff interviews and a review of files. You'll then receive a report which can be disclosed to the Regulator.



AML Training

We'll deliver practical and engaging training, with courses for all staff within your firm. Our Masterclasses, can be delivered live, or pre-recorded and are perfect for MLROs, MLCOs and senior compliance staff.

Our memorable staff training uses real life examples to explain the methods of money laundering that your firm could encounter, and how to spot them.

Our Regulatory Compliance Services

The regulations that law firms operate under, regardless of the Regulator, have many things in common. When we look at compliance with those regulations, we can see it's basically about doing the right thing. Above all, firms must act in their clients' best interests.

The regulations are simply there to provide a framework that guarantees great client service and protects both them and the firm. It really does read like common sense, but in practice, balancing the various regulations can be difficult.

Our Regulatory and Compliance Services concentrate on making compliance simple to understand, deliver, and monitor. Practical and accessible policies and procedures, and clear information for clients, is essential to meet the regulatory obligations.

We help firms develop comprehensive documents, which provide clarity for the reader, as to what's required and why. We've designed various training courses to educate on the regulatory requirements, all of which can be tailored to your firm's policies and procedures.

Subjects include:



Code of Conduct



Accounts Rules



Role and Responsibilities of Compliance Officers



Equality and Diversity



Complaint Handling



Risk Management and Effective Supervision

One of our most popular services is our 'Compliance Gap Analysis Audit'. This service is for when you're looking to test your processes and procedures or looking to develop your compliance function and are seeking guidance on where to focus.



Our Data Protection Services

With the introduction of the GDPR in January 2021, all businesses in the UK had to think very carefully about how they use their clients' and employees' data.

We have various Data Protection Services to assist you.



Identifying Risks

We'll work with you to make sure you've identified the risk to the data you process, and put policies, procedures and controls in place to protect it.



Training Courses

We provide training courses which bring the risks to life and explain how your staff can protect their clients, and also themselves, from cybercrime and data loss.



Audit Service

If you already have policies and procedures up and running, we provide an audit service to check that everything is working. The most valued part of this process is the dedicated time you'll receive with our experts, who can answer any questions that you have, and share their experience of good practice.

Our Compliance Officer Training Programme

Our 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

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'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 Additional Training Courses

At Teal, we love compliance, but we know not everyone feels the same about compliance training. That's why we make our compliance training courses as practical as possible, to keep the attendees engaged and interested.

We work with firms to tailor our courses to include their specific policies and procedures, as well as the regulatory requirements.

We offer training for all staff, as well as specialist courses for those responsible for compliance. Training courses we offer include:

- Compliance Officer Training Programme
- AML Online Masterclass
- MLRO Masterclass
- COLP and COFA Masterclass
- Data Protection Masterclass
- Anti Money Laundering Update
- Data Protection and Cybersecurity
- Code of Conduct
- Equality and Diversity
- Complaints Handling
- Anti Bribery and Corruption
- Prevention of Tax Evasion

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.

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 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



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



Keeping you, your firm & your clients safe

We're expert legal consultants providing support to law firms on the rules and regulations they need to follow. Whatever your compliance needs, we're here to help keep you, your firm and your clients safe.

Specialists in:

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

Providers of:

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

If you'd like to talk to one of our experts about any of our services, and learn more about how they can help you, simply get in touch.

0333 987 4320

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