



WARNER CONSULTING

IN ASSOCIATION WITH UMD PROFESSIONAL LTD

LAW FIRM RISK AND COMPLIANCE PROGRAMME VIA DISTANCE LEARNING

**Leading to the
Institute of Leadership and Management's
Level 7 Certificate in Executive Management**

PROSPECTUS 2013

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1 INTRODUCTION

The Law Firm Risk and Compliance distance learning programme is one of the most comprehensive programmes of its nature available. It provides a sound and comprehensive grounding in the major elements of compliance and risk management required in the successful law firm. The programme is highly practical and has been designed to integrate with the demands of practice as well as providing extensive and in-depth learning of the principles and practical application of compliance and the SRA regulatory framework. In addition there is the option to carry out assignments in practice and gain the ILM Level 7 Certificate in Executive Management which provides excellent evidence of the effective management of the firm for a regulator.

The one year distance learning course is suitable for those holding the position of the COLP and COFA , Partners, Risk and Compliance Managers and practice managers. It focuses on the practical application of business and senior management tools to achieve a high level of compliance with the SRA Handbook within the individual's firm.

Warner Consulting are experts in SRA Compliance, with a wealth of experience on both sides of the fence from working for law firms and regulators. UMD Professional have been providing business and management training in the professions for more than twenty years and are a leading provider of management qualifications. Their programmes for professional practices have twice won National Training Awards, and their courses are widely recognised for their success in helping participants to develop more effective management skills.

2 THE OPTIONAL QUALIFICATION

The programme can be taken as a comprehensive stand-alone management course but it also

- provides 40 hours of accredited CPD,
- leads to a post-graduate level qualification, the Institute of Leadership and Management (ILM) Level 7 Certificate in Executive Management. The ILM is a respected national management institute with a track record in the delivery of management training and qualifications, and successful completion of this provides eligibility for membership of the Institute (MInstILM) (subject to a minimum number of years of management experience).

3 ENTRY REQUIREMENTS

To undertake this programme you should be:

- A principal, partner, or director of a law firm
- COLP or COFA
- Risk and Compliance Manager
- A practice manager

- A practice manager aspiring to work at a senior level within a law firm.

4 WHAT DOES THE COURSE INVOLVE?

This course has been developed for participants who are unable to or do not wish to attend regular workshops and take time away from their firms. It comprises a series of 12 distance learning modules, studied monthly and preceded by an online induction.

The course provides candidates with distance learning materials in clearly defined modules. These materials provide much of the theoretical background to the course and include notes, reading, video material and exercises for completion, but also include other practical activities (known as guided learning activities) for candidates to work on and complete. Candidates are assigned a tutor/mentor whom they can contact by telephone, Skype or e-mail for support throughout the course for up to two hours per month, and candidates are also encouraged to participate in monthly webinars. Candidates submit work via e-mail at the end of each month for feedback. All course materials are downloaded from our website and candidates therefore need access to a PC, a good standard of computer literacy and an e-mail address.

The modules are followed in strict monthly order, and work needs to be submitted by the deadlines provided in order to complete the course successfully

The webinars are usually held at lunchtime or in the early evening to fit around business commitments but are also recorded for later viewing.

The management mentor provides one-to-one support and advice on issues related to the programme content, and on how to tackle the assignments which form the optional assessment part of the course. They can also act as a useful sounding board for how to implement what is covered in the programme in practice.

Alongside this, candidates can opt to complete a number of assignments which form the assessment part of the optional qualification (see below).

One deferment of up to three months can be accommodated during the course on written application by the delegate in advance of the proposed deferment.

5 WHAT DOES THE COURSE COVER?

The course covers the following subjects:

<p>PERSONAL MANAGEMENT SKILLS</p> <p>Duties of compliance officers (COLP and COFA) and regulatory requirements Leadership Problem-solving and decision-making Interpersonal relationships Influencing skills</p>	<p>FINANCIAL MANAGEMENT</p> <p>Understanding and improving financial performance Financial control Financial decision-making Complying with SRA Accounts Rules</p>
<p>PUBLICITY, MARKETING & CLIENT NEEDS</p> <p>Organisational analysis Market analysis Planning to fulfil client care requirements Marketing techniques and compliance Complaint handling</p>	<p>EFFECTIVE HR MANAGEMENT</p> <p>Managing teams Meeting Equality and Diversity requirements Performance management Policies for training and CPD</p>
<p>INTEGRATED MANAGEMENT</p> <p>The regulatory environment Strategy and planning Organisation structure and culture</p>	<p>COMMUNICATION</p> <p>Managing meetings Decision-making skills Organisational communication</p>
<p>CHANGE MANAGEMENT</p> <p>Planning and implementing change Economic and political influences and external factors and stakeholders Implementing strategy successfully</p>	<p>MANAGING QUALITY</p> <p>Ensuring quality Managing efficiently Managing business risk Knowledge management</p>

6 THE TUTORIAL AND TRAINING TEAM

The team comprises experienced Warner Consulting and UMD Professional trainers and assessors, approved by the ILM, and the team is led by Peter Warner, solicitor and expert on compliance issues. The team also includes Fiona Stuart-Wilson, John Shepherd, Roger Lilley, and Mike Grace. The team has extensive experience of working with law firms and professional practices and in interpreting regulatory requirements, and all have significant practical senior management experience.

8 THE DISTANCE LEARNING MODULES

A schedule of the distance learning modules is set out below. The order of modules may change depending on the start date of the programme. The first module is an induction and introduction to the course which will require approximately three hours to complete. Each subsequent module is downloaded at the beginning of the month for completion by the end of the month. You will be provided with a schedule of webinars at the start of the programme.

Induction
The regulatory environment and managing change
Equality and diversity
Managing change
Managing client requirements
Third parties and regulation
Managing complaints
Financial management
Complying with SRA Accounts Rules
Managing financial risk

Business Management
Risk management approaches
Managing quality

8 WHAT SUPPORT CAN I EXPECT?

You will be assigned a tutor/mentor, and will have access to them for two hours a month over the course of the programme on-line, via e-mail or by telephone for support.

9 IS DISTANCE LEARNING RIGHT FOR ME?

Distance learning requires a high degree of self-discipline and organisation, and you should consider this, the support you have, and the time commitment involved in a course of this nature carefully before you embark on this method of learning. In addition, you will also need an e-mail address, and access to a PC and the Internet in order to complete the course successfully.

10 HOW IS THE CERTIFICATE ASSESSED?

If you decide to work towards the ILM Level 7 Certificate in Executive Management, there is no examination. Instead, participants will need to complete satisfactorily a series of work-based assignments in line with the deadlines given. The assignments are based on the management of compliance within your firm and are designed to help you put theory into practice. You will need to submit these in line with the timescales set, and you will receive written feedback on your work.

Much of the study for the assignments centres around systems and procedures that you will introduce or review as part of the regulatory framework and is therefore work-based learning, but candidates for the Certificate should allow expect to allow approximately three hours a week to study for the Certificate.

UMD Professional's role is to lead and support you through the whole learning process. Most importantly, we believe that you should be able to implement what you have learned in your firm, and your tutor/mentor and the rest of the delivery team are concerned to ensure that you are able to achieve this.

11 FEES

The fees for the course are **£3000 plus VAT**. Course fees are due in full at the start of the course, but as a concession can be paid in **twelve monthly instalments of £275 by Standing Order** after the initial deposit of £300 has been paid.

There is a 5% discount on the fees, if these are paid in full at the beginning of the course, which means that the fees are reduced to £2857 plus VAT.

These fees exclude registration fees for the qualification with the ILM which are currently £164 and are paid separately at the start of the course.

A non-refundable deposit of £300 is required with each booking.

12 BOOKING A PLACE

The programme may be started at any time. To book a place on the programme, please complete the attached booking form and the agreement and terms and conditions, and return both of them to Penny Parry together with a deposit cheque for £300.

Please make sure that you read the terms and conditions carefully before you sign as they constitute a legally binding document and contract with UMD Professional Ltd and contact Penny Parry if you have any questions.

**APPLICATION FOR ENROLMENT
LAW FIRM RISK AND COMPLIANCE
DISTANCE LEARNING PROGRAMME 2013**

ILM LEVEL 7 CERTIFICATE IN EXECUTIVE MANAGEMENT

Delegate Name

Firm

Address

.....

.....

Daytime telephone number

E-mail address.....

I wish to enrol on the Law Firm Risk and Compliance Distance Learning Programme starting in
(state month)

Please register me for the qualification. I understand I will be invoiced for this separately.

Invoicing details

I am paying my own fees The firm is paying my fees

Name and address for invoicing purposes if different from delegate name and address

.....

.....

I confirm that the firm is paying for this delegate named above.

Authorised signatory for firm

Please enrol the delegate on the programme indicated above

I would like to pay for the course by:

Cheque (in full) Standing Order (12 instalments)

I enclose my deposit of £300 (cheque payable to UMD Professional Ltd) and the signed terms and conditions.

SignedDated.....

AGREEMENT AND TERMS AND CONDITIONS OF BUSINESS

1. UMD Professional Ltd will be referred to as the Company from this point forward. **This agreement will refer to the firm or the individual responsible for paying the invoice as the client and the participant on the course as the delegate.**
2. Once a booking has been confirmed by the Company then the Company cannot accept any responsibility or liability if the client or delegate defaults from the booking. No fees will be refunded if the delegate does not complete the course, or the qualification element of the course, and fees will remain payable in full, unless point 11 applies.
3. The full course fee becomes due when the Company confirms the delegate's place on the course and can be paid in full on presentation of invoice by cheque or BACS transfer, or by Standing Order. ILM registration fees are payable in full prior to the commencement of the course and no refund in respect of the ILM registration fees can be made if the delegate withdraws from the course or does not proceed to the full Diploma.
4. The Company cannot accept responsibility or liability if the delegate fails to complete the course because of an effect or omission on the part of the client or delegate. Therefore, the delegate must ensure that s/he is able to meet the requirements of the course before the commencement of the course.
5. The delegate can exercise the right to one deferment during the course of up to three months upon application in advance in writing
6. The Company reserves the right to make appropriate changes to the course timetable and content or to allocate a different tutor or to cancel a course due to circumstances beyond its control and liability shall be limited to the refund of fees paid in this instance.
7. The Company reserves the right to postpone a course due to unforeseen circumstances or to offer alternative arrangements without liability for any consequential or indirect loss.
8. If the Company cancels the whole course all monies paid by the client to UMD Professional Ltd in respect of the course fees will be returned to the client.
9. Where the client applies to pay course fees by Standing Order the Company reserves the right to check the Client's credit worthiness prior to confirming the delegate's place, and to refuse the option of paying by Standing Order.
10. Where the client elects to pay for the course fees by Standing Order, if the client cancels the Standing Order or misses a Standing Order payment, the remainder of any fees outstanding will be payable in full within 30 days of the missed Standing Order payment date .
11. If a delegate withdraws from the course or cancels their place after their booking has been confirmed the client will be charged up to the full fee for the course depending on the length of notice given. All notifications of cancellation must be given in writing to the Company

Days notice of cancellation prior to the commencement of the course	% of fee to pay
More than 42 days prior to the start of the course	Deposit
28 – 41 days prior to the start of the course	50% of fee
14 – 27 days prior to the start of the course	75% of fee
Less than 14 days prior to the start of the course	100% of fee

Please read the above, sign this copy and return to Penny Parry at UMD Professional Ltd, SBC House, Restmor Way, Hackbridge Road, Wallington, Surrey, SM6 7AH, together with your application form for enrolment and deposit cheque.

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Delegate Name

.....
Delegate signature or Client signature if sponsored

.....
Name and position of signatory

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Date