



Management & Supervision *Arrangements* Code

In this Code 'you' refers to individuals and bodies regulated by the **CLC**; all individuals and bodies regulated by the **CLC** must comply with this Code. You must not permit anyone else to act or fail to act in such a way as to amount to a breach of this Code.

Outcomes-Focused

The **Code of Conduct** requires you to deliver the following **Outcomes**:

- **Clients are provided with a high standard of legal services (Outcome 2.1);**
- **Client matters are dealt with using care, skill and diligence; (Outcome 2.2)**
- **Appropriate *arrangements*, resources, procedures, skills and commitment are in place to ensure Clients always receive a high standard of service. (Outcome 2.3)**

Appropriate management and supervision **arrangements** help you deliver these **Outcomes** and require you to act in a principled way:

1. **Maintain high standards of work. (Overriding Principle 2)**
2. You ensure all individuals within the entity are competent to do their work. (CoC P2c)
3. You supervise and regularly check the quality of work in **Client** matters. (CoC P2d)
4. You **systematically** identify and mitigate risks to the business and to **Clients**. (CoC P2f)
5. You promote ethical practice and compliance with regulatory requirements. (CoC P2g)
6. You enable staff to raise concerns which are acted on appropriately. (CoC P2h)
7. You maintain proper governance, management, supervision, financial and risk management **arrangements** and **controls**. (CoC P2i)

8. You maintain proper records to evidence your **arrangements** and how they are applied. (CoC P2o)

You must also comply with the following **specific requirements**:

9. A **Manager** who is an **Authorised Person** is responsible for ensuring that all of the entity's **employees** are properly supervised. (CoC P2m)
10. You make provision for alternative supervision **arrangements** in case of illness, accident or other unforeseen event. (CoC P2n)
11. You **systematically** identify, monitor and manage risks to the delivery of this Code's [the **Code of Conduct**] **Outcomes**. (CoC P5j)

Should you require information on how to meet your responsibilities under this Code, please see the **CLC's Management and Supervision Arrangements Guidance**.