



Management & Supervision *Arrangements* Code

This Code must be read with the Code of Conduct. The Code of Conduct is the parent document of the CLC Handbook and Frameworks; it sits above all other Codes in our regulatory arrangements. The Code of Conduct prescribes six Ethical Principles of behaviour which are essential to delivering the specific Outcomes which sit beneath each of the Ethical Principles. All CLC regulated individuals and bodies are expected to comply with the Code of Conduct in the delivery of authorised reserved legal activities and permitted non-reserved legal activities.

The CLC also publishes several topic specific Codes addressing important areas of practice, including this Management and Supervision Arrangements Code. Topic specific Codes underpin the Code of Conduct and support regulated individuals and bodies in delivering the Ethical Principles and Outcomes of behaviour defined in the Code of Conduct. Topic specific Codes apply to all regulated activities carried out by the individuals or bodies specified in that Code.

In this Code 'you' refers to individuals and bodies regulated by the **CLC**. You must ensure that you always comply with the Code of Conduct and topic specific Codes and must not permit anyone else to act or fail to act in such a way as to amount to a breach of this Code, the Code of Conduct, or the Ethical Principles. Should circumstances arise in which there is an apparent conflict between a topic specific Code, the Code of Conduct, or any other regulatory requirement, you must ensure that you comply with the Code of Conduct. If in doubt, contact the CLC for advice.

You must ensure that you have appropriate management and supervision *arrangements* in place and that:

1. You ensure all individuals within the entity are competent to do their work.
2. You supervise and regularly check the quality of work in **Client** matters.
3. You **systematically** identify and mitigate risks to the business and to **Clients**.
4. You promote ethical practice and compliance with regulatory requirements.
5. You enable staff to raise concerns which are acted on appropriately.
6. You maintain proper governance, management, supervision, financial and risk management *arrangements* and **control and maintain proper records to evidence how they are applied**.
7. A **Manager** who is an **Authorised Person** is responsible for ensuring that all of the entity's **employees** are properly supervised.
8. You make provision for alternative supervision *arrangements* in case of illness, accident or

other unforeseen event.

9. You ***systematically*** identify, monitor and manage risks to the delivery of the ***Code of Conduct Outcomes***.
10. You carry on Reserved Legal Activity only through a person entitled to carry on that activity.

Should you require guidance on how to meet your responsibilities under this Code, please see the **CLC's** Management and Supervision [Arrangements Guidance](#).