



Risk and compliance office manual

Welcome to our template risk and compliance office manual.

We've split the content into three sections:

- a business and risk management manual;
- a staff compliance manual;
- a set of accompanying template compliance logs.

The policies, processes and logs are there for you to tailor to your needs. Your compliance systems should suit your business and seek to help not hinder you and your team. The precise standards and processes which are put in place will vary from business to business. Sole traders can obviously afford to have much simpler processes in terms of staff standards than set out here. Very large firms may find that they need to have more sophisticated arrangements in place in some areas. Generally though this manual is an excellent platform for a (Compliance Officer for Legal Practice) COLP looking to implement or review the compliance systems and arrangements which they are required to put in place by the SRA. It should ideally be read in conjunction with our SRA Handbook checklist for COLPs to aid understanding of the approach proposed.

Where we have made additions to the manual primarily in order to meet requirements of the Lexcel or Specialist Quality Mark standards we have coloured the entries in green and orange respectively.

We provide hands-on support for those wishing to implement compliance systems so don't hesitate to contact us via the website if you need some help putting this manual into practice. We also provide firm-wide online training via website, including a conduct compliance package which has been designed to complement this manual. Take a look at our free training guide to see the areas fee earning staff should be periodically trained on.

If you would like separate assistance with implementing other processes and standards such as for accounts rules, anti-money laundering or information management then please do get in touch. Care should also be taken in implementing these policies around HR / employment law implications (including if seeking some of the information suggested in this manual from staff), health and safety and other legal requirements.

We hope that you find this manual helpful and wish you every success with its implementation.

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Office handbook

This manual sets out how we run our organisation. It is split into the following sections:

A. Business and risk management manual - this sets out how we set our strategy and manage our organisation and the risks posed to us.

Sections:	A1	About us
	A2	Governance
	A3	Risk management
	A4	Quality and risk assurance
	A5	Compliance officer roles
Annexure	AA1	Management Committee terms of reference
	AA2	Business continuity plan
	AA3	Local file review form
	AA4	Central file review form

B. Staff compliance manual - this sets clear ethical and compliance standards for our staff, including restrictions on activities which we have identified as high risk.

Sections	B1	Our ethical values
	B2	Information we need from our staff
	B3	New client instructions
	B4	Confidentiality and keeping our client informed
	B5	Service standards, record keeping and key dates
	B6	Undertakings
	B7	Publicity

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	B8	Litigation, advocacy and our duties to the Court
	B9	Working with third parties
	B10	Client complaints and claims against us
	B11	Reserved legal activities and financial services
	B12	Ceasing to act for the client and matter closures
	B13	Staff training
Annexure	AB1	Equality and Inclusion policy
	AB2	Client feedback and complaints
	AB3	Outsourcing policy
	AB4	Procurement and Bribery Act policy
	AB5	Sharing concerns policy
	AB6	Potential breach notification form

C. [enter other sections of your handbook as appropriate, i.e. financial management, people management and information management]

Schedule of compliance logs

Central logs		Staff training log
		Potential compliance breach log
		Local file review log
		Complaints log
		Undertakings log
		High risk matters log
		[Legal aid referrals log]
		Key dates log (matter related)

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		Key dates log (business management related)
		Log of known experts and barristers
		Gifts and entertainment log

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