

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.

We provide hands-on support for those wishing to implement compliance systems so don't hesitate to contact us via the website (www.complianceoffice.co.uk) 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.

Please take care in implementing these policies in the context of HR / employment law implications (including if seeking some of the information suggested in this manual from staff), health and safety, information security and other legal requirements. Specialist advice is recommended.

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

Lexcel, CQS and SQM

The majority of this manual is based upon good practice and SRA requirements. However, 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. The majority of the **Conveyancing Quality Scheme** requirements are covered by the Lexcel provisions but some additional suggestions appear in blue in this respect.

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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. It is primarily intended for our management team **[and for Lexcel purposes our compliance plan]**.

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
	AA5	Anti-money laundering and financial crime policy
	AA6	Information management and security policy

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. It is to be read by all of our staff.

Sections	B1	Our ethical values
	B2	Information we need from our staff
	B3	New client instructions

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	B4	Confidentiality and data protection
	B5	Service standards
	B6	Undertakings
	B7	Publicity
	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	Learning and development
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	Acceptable use policy
	AB7	Anti-money laundering procedures and forms
	AB8	Potential breach notification form

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

Schedule of compliance logs

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Central logs	Staff training log
	Potential compliance breach log
	Local file review log
	Complaints log
	Undertakings log
	High risk matters log
	Key dates log (matter related)
	Key dates log (business management related)
	Log of known experts and barristers
	Third party suppliers log
	Gifts and entertainment log
	[Referral arrangements]
	[Separate businesses]
	[Character and suitability issues log]
	[Subject access requests log]
	[Risk register]
	[Lexcel information assets register]
	[Lexcel software register]
	[Legal aid referrals log (SQM)]

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