



## Measure your risk footprint

Get bespoke support from the Law Society's Risk and Compliance Service to help you meet your regulatory obligations.





## Get the support you need

Every legal practice is unique but all practices face the pressures of:

- Organising and implementing appropriate compliance plans
- Demonstrating compliance to regulators
- Preparing for regulatory visits
- Providing assurance to insurers and banks
- Driving down practice costs.

Making sure you have a risk and compliance plan that meets your practice's needs is essential. The Law Society's Risk and Compliance Service offers practical support to help you meet your compliance obligations and to address the pressures facing your practice.

## Who can join

Risk and compliance issues and obligations stretch beyond your practice's COLP and COFA. Any individual working in your practice with responsibilities for the following areas should consider joining the Risk and Compliance Service:

- Risk and compliance
- Complaints handling
- Client care
- Information security
- Operations
- Practice management

Membership is also recommended for in-house counsel, particularly for heads of legal departments.

## How to join

Complete and return the membership form on this leaflet with your payment. You can also download an application form from [www.lawsociety.org.uk/riskandcompliance](http://www.lawsociety.org.uk/riskandcompliance).

## Contact us

Visit: [www.lawsociety.org.uk/riskandcompliance](http://www.lawsociety.org.uk/riskandcompliance)

Email: [riskandcompliance@lawsociety.org.uk](mailto:riskandcompliance@lawsociety.org.uk)

Follow us: @LSRiskandComp

## Membership benefits

Risk and Compliance Service membership is only £175 + VAT per year (membership runs from January to December) and entitles you to:

Risk and Compliance Update – a monthly email featuring articles from leading figures in risk and regulation, information updates and the latest news.

Free use of the COLPs and COFAS Advisory Helpline – if you are a COLP or COFA and you need advice then you can submit your enquiry through this helpline. Your enquiry will be considered by a panel of regulation and compliance experts, including practitioners. The Law Society will stand behind the advice that is provided to you. Your enquiry will remain anonymous but the responses could be used to inform future services that will be of benefit to all members. To submit an enquiry email [riskandcompliance@lawsociety.org.uk](mailto:riskandcompliance@lawsociety.org.uk) quoting 'COLP/COFA query' in the subject field.

Four webinars during 2013 including Law Society Best Practice: Risk Management.\*

Discounts on related Law Society services including:

- **20% off** selected Law Society Publishing titles including the Legal Compliance Bulletin
- **10% off** risk and compliance seminars and training programmes
- **10% off** the annual Risk and Compliance Service conference taking place on 15 March 2013.

\*Webinar topics and dates can be subject to change

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## Bespoke compliance support

Risk and Compliance Service membership also entitles you to discounted rates on our range of consultancy services. Simply choose the appropriate consultancy services and our consultants will work with you to tailor your session to make sure it fits your practice's needs:

### Risk diagnostic visit: measuring your risk footprint

The two hour Risk and Compliance diagnostic visit helps you to assess the level of risk in your firm, and determine the support you need to ensure you are compliant. A Law Society risk expert will help you to identify any weaknesses in your set-up, and develop a plan to risk-proof your firm. The risk diagnostic evaluates your compliance in:

- Outcomes-focused regulation (OFR)
- Client care
- Complaints handling
- Anti-money laundering (AML)
- Information security
- Information management
- Data protection and risk management.

**£400 + VAT**

Risk and Compliance Service members pay **£250 + VAT** - saving £150!

### COLPS and COFAS - coaching and advisory session

This session addresses significant primary considerations for the compliance officers and key management staff. This may include the use of deputies, drawing up and reviewing your compliance plan, and templates to support your OFR information provision and reporting requirements.

### Compliance support diagnostic

Compliance support training gives you in-depth support on the compliance issues affecting your practice. Focusing on governance and embedding risk management principles, the session can be tailored to your practice's needs. We can include advisory sessions and training for partners, fee earners and other staff.

### Outcomes-focused regulation training

A bespoke consultancy session that helps your practice understand and comply with the new outcomes-focused regulatory regime. The session includes templates, advice on letters and best practice guidance on your systems and processes.

### Client care and complaints handling training

Your clients are one of your most important assets, but poor client care remains a major issue in many practices. This training helps you to enhance your client care delivery and complaints handling processes. You'll get best practice customer service tips, information on evaluating your practice's client care culture and up-to-date guidance from the Legal Services Ombudsman's office.

### Anti-money laundering (AML) training

With many firms struggling to keep up with anti-money laundering requirements, this training focuses on helping you to comply with the AML regulatory regime. The session also touches on avoiding financial crime pitfalls.

### Lexcel gap analysis

Lexcel, the Law Society's legal quality mark, is the gold standard for good practice in the legal industry. Our consultant will help you to analyse your systems and processes against the Lexcel standard, to assess your readiness to apply for Lexcel accreditation.

The above sessions are available at **£650 + VAT** each.

Risk and Compliance Service members pay **£470 + VAT** each - saving £180!



## Also of interest

### Bookshop

Risk and Compliance Service members get **20% discount** on the following Law Society Publishing titles:

**COLPs Toolkit**

£59.95 **£47.95**

**COFAs Toolkit**

£59.95 **£47.95**

**Anti-Bribery Toolkit**

£59.95 **£47.95**

**AML Toolkit**

£59.95 **£47.95**

**The Solicitor's Handbook 2013**

£79.95 **£63.95**

**Regulation and In-house Lawyers**

£69.95 **£55.95**

**Alternative Business Structures**

£69.95 **£55.95**

**Outcomes-Focused Regulation**

£39.95 **£31.95**

**Strategy for Law Firms**

£59.95 **£47.95**

**Precedent Library for the General Practitioner, 2nd Edition**

£99.95 **£79.95**

**Solicitors and the Accounts Rules, 3rd Edition**

£54.95 **£43.95**

**Solicitors' Accounts Manual, 12th Edition**

£29.95 **£23.95**

**Solicitors and Money Laundering, 3rd Edition**

£59.95 **£47.95**

**Clarity for Lawyers, 2nd Edition**

£29.95 **£23.95**

**Guide to Good Practice**

£39.95 **£31.95**

Details of how you can claim your discount will be sent to you when you become a member. For more information about these books visit [www.lawsociety.org.uk/bookshop](http://www.lawsociety.org.uk/bookshop)

## Compliance management

Risk and Compliance members **get a discount** on the Riliance compliance management system.



Riliance is a software system that has been developed by risk and compliance experts who have worked in legal practice and understand the practicalities of meeting regulatory obligations.

Riliance enables COLPs and COFAs to plan, delegate, audit and report the firm's risk and compliance workload through one central portal. It does not require complex set up or installation.

## For more information

Visit: [www.lawsociety.org.uk/riliance](http://www.lawsociety.org.uk/riliance)

Email: [riliancecompliance@lawsociety.org.uk](mailto:riliancecompliance@lawsociety.org.uk)

Telephone: 0207 320 5682



## Risk and Compliance Service application form

Title: \_\_\_\_\_ First name: \_\_\_\_\_ Surname: \_\_\_\_\_  
 Firm: \_\_\_\_\_ Role/title: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_ Postcode: \_\_\_\_\_  
 DX: \_\_\_\_\_ Telephone: \_\_\_\_\_  
 Fax: \_\_\_\_\_ Email: \_\_\_\_\_

### Type of practice:

- ☐ Sole practitioner  
☐ 2-4 partner/member firm  
☐ 5-10 partner/member firm  
☐ 11-19 partner/member firm  
☐ 20 plus partner/member firm  
☐ Other (please specify) \_\_\_\_\_

### Areas of interest:

- ☐ Outcomes-focused regulation  
☐ Risk management  
☐ Professional indemnity insurance  
☐ AML  
☐ Client care/complaints  
☐ Data protection  
☐ Employment law
- ☐ Information security  
☐ Business continuity  
☐ General statutory compliance/HSE  
☐ Conduct rules  
☐ Solicitors accounts rules  
☐ Other – (please specify) \_\_\_\_\_

Key practice areas in firm: \_\_\_\_\_

Risk & Compliance Service membership	Price Exc. VAT*	Standalone services	Risk & Compliance member prices	Non-member prices
<input type="checkbox"/> Individual membership	£175	<input type="checkbox"/> Diagnostic visit	£250	£400
<input type="checkbox"/> Multiple membership (No.....)	£135 per person	<input type="checkbox"/> COLPS and COFAS - coaching and advisory	£470	£650
<b>Subtotal</b>		<input type="checkbox"/> Compliance support diagnostic	£470	£650
		<input type="checkbox"/> Outcomes-focused regulation training	£470	£650
<b>Total</b>		<input type="checkbox"/> Client care and complaints handling	£470	£650
<b>Plus VAT*</b>		<input type="checkbox"/> Anti-money laundering training	£470	£650
<b>Grand Total</b>		<input type="checkbox"/> Lexcel gap analysis	£470	£650
		<b>Subtotal</b>		

\*Apply VAT at the prevailing rate.

Note that consultants reasonable travel expenses and subsistence costs are charged in addition to published consultancy rates.

### Payment

- ☐ I enclose a cheque made payable to 'The Law Society'.  
☐ and a completed and signed direct debit mandate for future yearly Risk and Compliance Service membership renewals

Please note that prices are subject to change on an annual basis and you will be notified of the total price before payment is taken.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

- ☐ The Law Society will not use the information provided on this form for any purpose other than for administrative purposes and to inform you of relevant products and services available from the Law Society. If you do not wish to receive this information, please tick this box.

**For Law Society finance use only – Ledger Account code 229037 – VAT inclusive – G/L code PD25 LL119 000000**

**Please complete a separate form for each individual and attach a cheque payable to:**

The Law Society and return to: Law Society Commercial Affairs Admin, The Law Society, 113 Chancery Lane, London, WC2A 1PL, DX56 Ldn/Chancery Lane.

Please note a VAT receipt will be sent to you. Our VAT number is 239 2147 63.

## Instruction to your bank or building society to pay direct debit

Please fill in the whole form and send it to:

The Law Society, Commercial Affairs Admin Team, 113 Chancery Lane, London WC2A 1PL

### Name and full postal address of your bank or building society

To: The Manager	Bank or building society
Address	
Postcode	

### Service user number

6	2	4	8	3	7
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### Reference

RCS
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### Name(s) of account holder(s)


### Bank/Building Society account number

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### Branch Sort Code

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### Instructions to your bank or building society

Please pay the Law Society Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee.

I understand that this Instruction may remain with the Law Society and, if so, details will be passed electronically to my Bank/Building Society

Signature(s)
Date

Banks and Building Societies may not accept Direct Debit Instructions for some type of accounts



This guarantee should be detached and retained by the payer:

### The direct debit guarantee

- The guarantee is offered by all Banks and Building Societies that take part in the Direct Debit scheme. The efficiency and security of the Scheme is monitored and protected by your own Bank or Building Society.
- If the amounts to be paid or the payment dates change, the Law Society will inform you 10 working days in advance of your account being debited or as otherwise agreed.
- If an error is made by the Law Society or by your Bank or Building Society, you are guaranteed a full and immediate refund from your branch of the amount paid.
- You can cancel Direct Debit at any time by writing to your Bank or Building Society. Please also send a copy of your letter to us.