



The Infolegal Compliance Hub

The Online Compliance Resource for Law Firms

Office Procedures Manual | Online Training | Factsheets & Guides | Precedents | Bulletins

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The Infolegal Compliance Hub

Expert, practical and cost-effective regulatory guidance for law firms

The regulatory pressures faced by law firms have never been greater and, no matter how large or small your firm, a significant amount of time and effort needs to be spent simply ensuring that you remain compliant.

Whether it be the SRA Code of Conduct, the SRA Accounts Rules, Money Laundering Regulations, the GDPR and DPA, Financial Services Regulations or issues relating to cyber security and confidentiality, firms everywhere must ensure that they take all necessary steps to ensure not only that they comply with regulations and legislation but also that they continue to address the best interests of their clients.

The Infolegal Compliance Hub will assist your firm with all of these, and many other, issues.

Using our innovative online compliance hub system, subscribers can access a wide range of expert, practical and cost effective advice and support materials on all aspects of running the modern law firm.

Starting from less than £40 per month*, the Infolegal Compliance Hub provides access to documents, precedents, training and support, including:

- The Solicitors Office Procedures Manual,
- Online training modules for all fee-earners and support staff,
- Guidance notes,
- Factsheets and compliance information,
- Precedents and policies to use within your practice,
- Checklists and procedures,
- Regular compliance bulletins and updates on issues likely to be of concern to your practice.



Delivering Support to Everyone Within the Firm

To help you to ensure that everyone within your firm receives guidance and support at the level they require, you can, if you wish, register others within your firm to have either full access to the information contained within the Compliance Hub or as trainee members only so that they can access the training courses, factsheets and guides.

Every subscription comes with a number of additional logins and more can be purchased at a modest additional cost should you need to register more people within your firm.

*** + VAT. Price based on a sole practitioner membership. Subscriptions are based upon the size of the firm and whether any additional services are purchased.**

The Office Procedures Manual

At the heart of the Infolegal Compliance Hub is the Solicitors Office Procedures Manual.

Available in three formats to meet the needs of firms, sole practitioners and sole principals, the Office Procedures Manual is published in association with Professional Compliance Publishing and it is available to all Infolegal subscribers to download, adapt and amend as the firm requires.

It is currently supported by a more detailed GDPR compliance manual which is also available in sole practice and law firm versions.

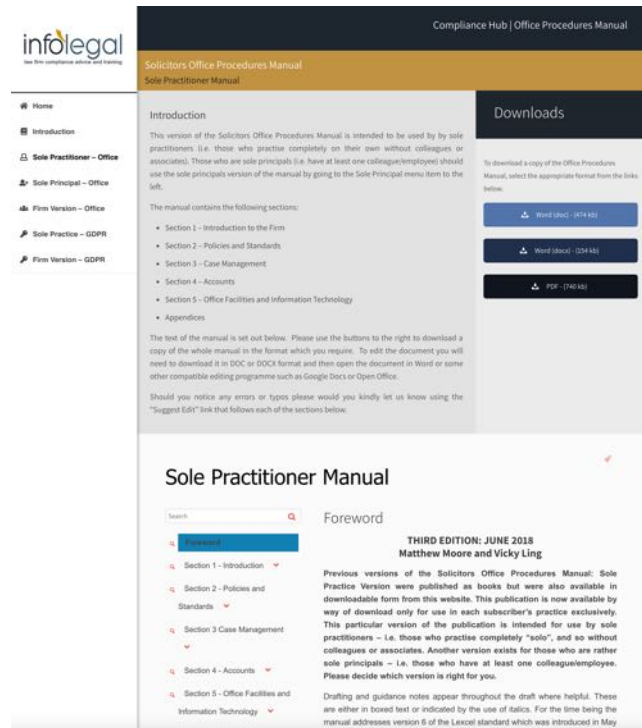
The Manual has been designed to enable you to deal with the majority of your compliance needs from one easy-to-use source.

Whatever your type or size of practice, the 'mix and match' approach adopted by the manual will enable you to address any or all of the following:

- The SRA Code of Conduct 2011 and other key elements of the SRA Handbook,
- The Law Society's Lexcel quality standard,
- The procedural elements of the Law Society's Conveyancing Quality Scheme,
- The Specialist Quality Mark, and
- The Legal Aid Agency's contract – for Crime, Family and Civil.

Since it was first published in 2012 the Solicitors Office Procedures Manual has helped many hundreds of law firms to develop or update their practice manuals and compliance documentation. The Manual has also been widely used for the policies and processes required in applications to the SRA for authorisation as new practices.

More than just a one-off purchase, the Office Procedures Manual is a complete updating resource designed to enable your firm to keep its own manuals and policies up to date and so that you and everyone within your firm can keep abreast of changes in both the law and regulation.



What the Office Procedures Manual Covers

Available in three versions - sole practitioner, sole principal and firm - the Office Procedures Manual can be used as a conventional hard copy document, made available to the firm through a shared drive, or uploaded onto your firm's intranet.

Key topics within the manual include:

- Risk management,
- Client care and complaints management,
- Equality and diversity,
- Conflict of interests,
- Compliance with the SRA Accounts Rules 2011,
- Data and information management in the light of GDPR, and
- Money laundering, mortgage fraud and other aspects of financial crime compliance.

Online Training

A key element in any firm's compliance with regulatory requirements is ensuring that all personnel are aware of what is required of them in order to comply and that they know what to do in order to put that into effect.

The training to be found on the Infolegal Compliance Hub seeks to achieve just that.

Dealing with a range of regulatory, management and compliance related topics, the training sets out to provide an overview of some of the areas most likely to be encountered in practice. That training is augmented by access to factsheets, guides, written updates, slide presentations and educational PDFs.

The Infolegal Compliance Hub contains a number of training modules covering topics which include:

- Money laundering,
- Data protection and GDPR,
- Conflict and confidentiality,
- Risk management,
- Accounts,
- Equality and diversity,
- Duties of the COLP and COFA,
- Introductions and referrals,
- Retainers, and
- Client care.

Managing Training through the Compliance Hub

Keeping a training record is important now that SRA require you to be able to demonstrate that the training that you have done is relevant to you, and will be particularly relevant to Lexcel accredited firms in relation to the compliance training requirements contained in the standard. The Infolegal Compliance Hub will assist you in a number of ways.

First of all it keeps a record of all of the training you have undertaken through the Compliance Hub and the results of any quizzes that you have completed.

Secondly, it allows you to record a training plan and the training that you have undertaken other than on the Compliance Hub – letting you print off or save a record of that training for your firm's training log.

Not only can individuals access the individual online training courses, they and their managers can also keep track of which modules have been completed and how each trainee performed in related tests.

Member firms can assign individual logins to personnel within the firm (the number depends upon the package purchased) to enable them to undertake training in their own name and to record what they have done and how they have performed. A training manager can also be appointed with the ability to access statistics as to who has done which training course or the extent to which a particular course has been completed across the firm.

Guidance Notes and Factsheets

Regularly updated and augmented, the Factsheets and Guidance notes cover a range of regulatory and compliance issues. The Guidance Notes take you through the practical steps required to ensure compliance with the main duties that all law firms are subject to – including those of the COLP or COFA - and provide more in depth information than the factsheets.

The factsheets, on the other hand, deal with single topics. These cover most of the main compliance concerns that will arise from time to time, including your responsibilities for professional issues such as conflicts, confidentiality, costs and billing, as well as your obligations under such provisions as the Consumer Contracts Regulations 2013, your position in respect of the Financial Conduct Authority and extensive drafting advice on your all-important retainers and terms of business documentation.

Money Laundering Reporting and Compliance Officers will find factsheets on how to comply with the Money Laundering Regulations 2017 and the considerations to take into account in deciding whether to make a suspicious activity report to the National Crime Agency. Additionally, those charged with ensuring that the firm avoids cyber-threats will find the cybersecurity related factsheets to be helpful.

All of the factsheets and guidance notes are available in Word and PDF formats so that they can be easily incorporated into your firm's own materials or simply distributed to staff as Infolegal documents. Many are also accompanied by templates and precedents or tie in with issues covered in the Office Procedures Manual.



Topics covered by the Factsheets include:

- Business Continuity Planning
- Avoiding Discrimination and Promoting Diversity
- Reviewing Your Anti-Money Laundering Policy
- Money Laundering Regulations 2017 – Identity Checking
- Avoiding Mortgage Fraud
- Financial Services Advice by Law Firms
- Retainer Letters and Terms of Business Check
- Complaints Handling
- Consumer Contracts and Distance Selling
- The Billing Process
- Conflicts and Confidentiality
- Acting for Seller and Buyer in Property Transactions under the SRA Code of Conduct 2011
- Potential Breaches for the COLP to Note
- Surviving the SRA Authorisation Process
- Social Media and the Law Firm
- Email Issues and Need for a Policy
- Residual Client Balances
- SRA Disciplinary Processes
- An Introduction to the SRA Accounts Rules
- Lexcel Accreditation
- Implementing an Information Management Policy
- Recommendations and Referrals
- Local Authority Legal Departments
- Ransomware and the Law Firm
- Vulnerable Clients
- Password Policies for Law Firms
- The Facilitation of Tax Evasion
- GDPR – An Overview
- Achieving GDPR Compliance
- The Legal Bases for Processing Data under GDPR

Documents and Precedents

As part of your subscription to the Infolegal Compliance Hub you will have access to our growing range of documents and precedents.

Whilst some of the documents such as the retainer letters and cybersecurity precedents are entirely standalone, others such as the GDPR template letters, documents and policies are designed to be used in conjunction with the guidance notes whilst others can be used in conjunction with the Office Procedures Manual. It is entirely up to you how and when you use them.

As with all of the other parts of the Hub, we keep the documents up to date and you can use the revised versions to update your own documents.

Supplied in Word format, the documents and precedents can be adapted easily to suit the precise requirements of your own firm.

The documents and precedents we currently offer include:

Retainer Letters

A series of model retainer letters for firms to adapt and adopt.

These include letters dealing with contentious, non-contentious and legally aided work and cover areas such as company, commercial, employment, property, wills, probate, trusts, crime, family, debt recovery and litigation, police station work and mental health.

In addition, we provide retainer letter and terms of business checklists for you and your firm to use when reviewing your own drafts.

Cybersecurity

Cybersecurity is becoming one of the most important, and time consuming, areas of risk for firms. We have produced a number of cybersecurity related documents which you can use within your practice including policies and checklists.

In many cases, these tie in with related factsheets which explain the detail surrounding the particular issue and offer guidance as to how the documents can be adapted for use in your own firm.

GDPR Precedents

The GDPR-related documents and precedents we offer include template letters for dealing with subject access requests, data collection and analysis forms, data breach management forms, legitimate interest assessment forms, GDPR readiness checklists, policy documents, agreements with data processors, and privacy notices.

Money Laundering

Remaining compliant with money laundering regulations continues to be a major concern for law firms of all sizes. To assist we offer a number of forms and documents including client identity and passport and photo driving licence forms, source of funds forms, report forms, draft text on use of client identity evidence for CDD purposes, and AML and Countering Terrorist Financing Policy.

Other Documents

In addition to documents in the specific areas set out above, we have also produced, and will continue to update and augment, a number of other documents which we believe firms may find useful in their practices. These include vulnerable client policy, demands and needs statement for use in relation to financial services, client survey, sample file opening form, key dates summary, whistle blowing policy and HR related documents.



Other Services

The challenges of managing a law firm have never been greater. Economic and political uncertainty combined with the potential vagaries of a new Handbook, the requirements of money laundering legislation, GDPR and increased competition has meant that managing a legal practice has required an ever increasing time and financial commitment.

Ensuring that your firm remains compliant with the various regulatory and legal provisions that affect solicitors today sometimes requires more than access to online services. Whilst the Infolegal Compliance Hub will help you deal with many of the day-to-day issues that you face, sometimes that will not be enough.

That is where our consultancy, support and in-house training services come into play.

Consultancy and Support

At Infolegal we have considerable experience in supporting legal practices of all types and sizes and in many different ways. Our services include reviewing procedures and policies, providing advice on setting up or moving to a different practice structure, putting in place systems for the COLP, COFA or MLRO and supporting firms generally on an on-going basis with regulatory and compliance advice.

Our directors and consultants have been involved in legal practice support for many years and continue to provide guidance, information and training in many areas including money laundering, data protection, cybersecurity, practice management, legal aid, Lexcel support, compliance audits, regulatory compliance advice and SRA authorisations.

In-house Training

We cover a wide range of topics including money laundering, SRA regulatory issues, cybersecurity, data protection, equality and diversity, setting up in practice, management, personnel matters and issues relating to retainers and business.

Whatever the need within your firm, we can tailor a course for you on most regulatory, compliance and practice management related topics and then deliver them at a time and in a manner as suits your firm.

Supporting the COLP and COFA

Whilst a subscription to the Infolegal Compliance Hub will give all COLPs and COFAs access to the wide range of information they will find in the factsheets, guidance notes, manuals, checklists and procedures and online training, this may not be enough. Those who have specific problems, or who require practical assistance in setting up the procedures and processes necessary to undertake their role, may feel that access to our consultancy services is a more practical and cost effective way to address issues within the firm.

MLROs, MLCOs and Money Laundering

Infolegal can help all law firms with the difficulties they face in complying with often complex requirements of the AML regime.

For those who simply require some general support, a subscription to the Infolegal Compliance Hub may be sufficient providing, as it does, access to factsheets, guidance notes, manuals and online training. However, for those who require more active or tailored support, Infolegal is also able to assist with our consultancy and in-house training options.

Compliance Audits and Advice

Ensuring that your firm is up to date in relation to its regulatory and compliance issues is vital. However, the frequently changing requirements of the various regulatory bodies means that doing so is not always easy.

Infolegal can assist your firm by undertaking a compliance audit designed to highlight gaps in your regulatory processes and providing you with practical and effective solutions to deal with them.

Lexcel Accreditation

Infolegal can assist those firms who are new to, or still hoping to acquire, Lexcel as well as those who wish to ensure that their processes remain compliant with the Lexcel requirements.

Our Lexcel services will assist you, what ever level of service you require. Whether you simply wish to have your own drafting checked or you want to have a consultant project manage your plans for you, Infolegal can provide you with the help and support that you need.

Established in 2013, Infolegal is one of the leading providers of regulatory, compliance and management support. We provide advice, guidance and training to legal organisations of all types and sizes.

The breadth and depth of our services, combined with the flexibility of our on-line systems and Compliance Hub, means that we can support all law firms, in-house legal departments, local authorities, ABSs and others involved with the law by enabling them to select and receive the precise service they require to support them in their particular type of legal practice.

Infolegal provides all of its subscribers and clients with a high quality compliance solution designed to address the specific needs of your practice.

Quality Services

At Infolegal, we pride ourselves on the quality of the support and advice that we provide and are constantly developing new services and methods of delivery to help all our clients cope with regulatory pressures as simply as possible.

Ideas and Experience

Infolegal staff have between them many years' experience of legal practice providing us not only with the ability to address your regulatory needs but also to be able to offer innovative solutions to modern day problems.

Cost Effective

By keeping our overheads to a minimum and delivering many of our services online, we are able to offer our subscribers a level of support and advice which is both comprehensive yet cost-effective.

Trusted Reputation

Our directors and consultants have worked with many of the leading regulatory organisations and have over the years gained a reputation for being able to deliver the highest quality of compliance services and innovative business support.

Compliance Hub Subscription Prices

Sole Practitioner	2-4 Partner Firm	5-9 Partner Firm	10+ Partner Firm
£475 + VAT per annum	£625 + VAT per annum	£875 + VAT per annum	£1245 + VAT per annum
Full Access for 1 Partner or Principal	Full Access for 2-4 Partners or Principals	Full Access for 5-9 Partners or Principals	Full Access for 10+ Partners or Principals
Training Access for up to 5 Additional Users	Training Access for up to 15 Additional Users	Training Access for up to 40 Additional Users	Training Access for unlimited Additional Users

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