



QUALITY & COMPLIANCE LEGAL

Annual Packages for Sole Practitioners

Option 1 - at a cost of £750 per annum:

One day annual compliance audit conducted at your office by Rebecca Curran or Elaine Robinson, which includes:

- a review of your client care letters/Terms of Business documents
- a review of the required policies, such as anti-money laundering, risk management, equality and diversity, quality and business continuity
- a review of your complaints handling procedure and how you handle complaints in-house
- an overview of the operation of client account, including reconciliations
- in the region of 10-12 file reviews
- a follow-up report identifying areas of non-compliance and recommendations for improvement, together with template policies and procedures where required
- Note – If you operate referral or fee sharing arrangements and/or have a separate business, it is likely that an extra half or full day would be required to adequately review this work but we will discuss this with you in advance and agree a fee.

Q&C Legal will also provide a Compliance Up-Date by email on a quarterly basis,

which will summarise recent regulatory changes and help you to keep up to date.

Option 2 - at a cost of £1500 per annum:

In addition to the items in Option 1, we will attend your offices on 3 half-days (approx. 3.5 hours) at 3 monthly intervals, to conduct 10-12 independent file audits to enable you to demonstrate compliance with Chapter 7 of the Solicitors' Code of Conduct 2011.

Notes applicable to both Options:

1. File reviews are to check compliance with the Solicitors' Code of Conduct and office procedures, not the quality of the legal advice provided.
2. Travel time/costs to firms within approx 50 miles of Warrington are included but additional travel expenses may have to be charged to firms further afield. We are happy to discuss this with you.
3. The annual audit fee of £750 is payable within 21 days of the date of the audit. For option 2, the balance of £750 can be paid in quarterly instalments of £250.
4. If you have particular requirements which are different or additional to the items set out above, please contact us to discuss the position and we will do our best to assist you.

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5. If you employ more than 3 other fee earners, additional time may be required to deliver the above services and we will discuss this on a firm by firm basis.
6. We are not currently registered for VAT but may register in future. Fees are correct in November 2011 but may be reviewed periodically.

Additional services:

Firms who participate in our annual compliance packages can also take advantage of the following services at discounted rates and we will discuss costs with you as and when you wish to use these services:

Visits by the SRA - If you are notified of an SRA visit to your firm, we offer a half or full day compliance check in advance of the SRA visit. If you wish, we will also attend your firm during the SRA visit to assist you to deal with the SRA auditors and to agree how any issues identified can be addressed. However, SRA visits often take place at short notice and, whilst we will do our utmost to attend the SRA visit, we cannot guarantee availability.

Complaints Review Service - We can offer a review service in respect of clients who have been through your in-house complaints procedure but remain dissatisfied. This would hopefully avoid the matter being referred the Legal Ombudsman, which then has to be disclosed to your insurers on renewal. This service would be charged on an agreed hourly rate.

Client Care Document Review - If you should wish us to review your client care documents at other times than during the annual compliance audit, we will be happy to do so and will agree a fee with you.

Lexcel Consultancy - We can help you to prepare for a Lexcel assessment.

Advice by Telephone or Email - Whilst we are generally happy to assist you with brief enquiries on compliance issues at no additional charge, we do reserve the right to charge at £80 per hour to respond to enquiries that require additional work.

Why Use Quality & Compliance Legal?

Rebecca Curran and Elaine Robinson are both experienced solicitors (non-practising) and former SRA auditors. We both have extensive experience of conducting monitoring visits to law firms of all sizes and areas of practice. We have a unique insight into the challenges faced by law firms to keep up to speed with the ever increasing burden of their regulatory obligations and we are well placed to give practical and meaningful advice and support. Please see our website for additional information about us.

We are happy to discuss your requirements with you, without obligation, so please feel free to contact either Rebecca or Elaine.



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