REGULATION &
COMPLIANCE OFFICE

LAW FIRMS

Compliance Services

Employee Handbook Drafting

Regulation & Compliance Office (RACO) is a specialist compliance consultancy ensuring law firms meet regulatory expectations.

We give law firm managers and owners confidence that their firm is compliant, allowing them to focus on their practice while we manage the demands of an evolving regulatory environment.

Our approach is to work as part of your firm, delivering proportionate and practical solutions that reflect how your business operates in practice. Whether you require a fully outsourced service or additional support for your internal team, we provide the expertise and resource required.

We believe in a proactive approach to compliance. It is not only about meeting regulatory requirements, but being able to demonstrate that appropriate systems and controls are in place to prevent issues and respond effectively where required.

Supporting Law Firms with Effective Employee Management Frameworks

An Employee Handbook is a core management document that sets out how a law firm manages its people, complies with employment legislation and demonstrates good governance.

RACO's Employee Handbook Drafting & Maintenance Service provides law firms with a structured solution for implementing and maintaining a comprehensive Employee Handbook that reflects how the firm operates in practice.

The service combines the drafting of bespoke policies and procedures with ongoing maintenance and updates, ensuring the handbook remains aligned to regulatory requirements, employment legislation and the changing needs of the firm.

Why an Employee Handbook Matters

All employers are expected to maintain clear policies and procedures governing the management of staff.

For law firms, this extends beyond employment legislation. The SRA's Codes of Conduct require firms and managers to promote effective management practices and maintain appropriate systems and controls.

A compliant Employee Handbook helps firms:

- Demonstrate active management of staff
- Provide transparency on workplace expectations
- Support compliance with employment legislation
- Promote consistency in decision-making
- Protect both the firm and its employees
- Reduce the risk of employment disputes and regulatory scrutiny

Without appropriate procedures, firms may not only face employment-related claims but could also face regulatory concerns where management arrangements fall below expected standards.

Service Overview

Our service is delivered in two parts:

Initial Handbook Development
A review of existing documentation together with the drafting of new policies or adaptation of existing policies to create a bespoke Employee Handbook aligned to your firm's operational requirements.

Ongoing Maintenance
An annual maintenance service ensuring the handbook remains up to date and reflects changes in legislation, regulatory expectations and the firm's operational requirements.

Optional additional services include:
- Ongoing handbook maintenance
- Bespoke performance management programme implementation

For firms holding Lexcel accreditation, the service supports compliance with the People Management requirements of the Standard. For firms without Lexcel accreditation, it provides documented procedures demonstrating how staff are managed and supervised.

What's Included

Our Employee Handbook Drafting & Maintenance Service follows a structured implementation process.

Discovery
Discussions with HR personnel and/or management teams to understand how the firm manages staff and applies employment-related procedures.

Drafting
Preparation of a bespoke Employee Handbook based on the information gathered during discovery.

Review
Review and refinement of the handbook to ensure it accurately reflects the firm's requirements and management approach.

Finalisation
Issue of the completed handbook for implementation across the firm.

Ongoing Updates
Optional maintenance service providing updates for regulatory, legislative and operational changes, together with an annual review.

Policies & Procedures Included

The handbook includes a comprehensive suite of employment and workplace management policies, including:

- Equality and Diversity
- Harassment and Bullying
- Grievance Procedures
- Code of Conduct, Disciplinary and Dismissal Procedures
- Flexible, Home and Hybrid Working
- GDPR & Data Protection
- IT & Cybersecurity
- Health and Safety
- Recruitment, Promotion and Appraisal
- Anti-Bribery and Corruption
- Performance and Capability Management
- Maternity, Paternity and Shared Parental Leave
- Whistleblowing
- Social Media and Website Usage
- Stress and Wellbeing
- Domestic Abuse
- Menopause
- Substance Misuse
- Expenses and Benefits

Together with the full suite of additional employment policies and procedures detailed within the service documentation.

Pricing

Employee Handbook Drafting & Implementation

Members: £3,500 + VAT
Non-Members: £4,000 + VAT

Ongoing Maintenance

Members: £1,200 + VAT per annum
Non-Members: £1,250 + VAT per annum

All pricing is subject to an initial discussion to confirm requirements and determine whether standard pricing applies. Where necessary, a bespoke quotation will be provided before work commences.

All pricing is subject to VAT, at the current rate of 20%.

Why Firms Choose RACO

Specialist Law Firm Expertise

We understand the regulatory, operational and employment challenges faced by law firms and tailor documentation accordingly.

Bespoke Handbook Drafting

Every handbook is drafted to reflect how the firm actually manages its people rather than relying on generic templates.

Practical and Proportionate Solutions

Our focus is on implementing policies and procedures that are workable, understood and capable of being followed in practice.

Ongoing Regulatory Maintenance

We help firms keep their handbook aligned to evolving employment legislation, SRA expectations and operational changes.

Get In Touch

For more information about our compliance services, you can;

Email: **info@regulationandcomplianceoffice.co.uk**

Call: **0203 985 8550**

Visit our website: **regulationandcomplianceoffice.co.uk**

Additional Services

RACO's Risk & Compliance Management service provides your firm with a dedicated Compliance Team; a Compliance Manager and Compliance Assistant, who deliver day-to- day guidance and advice on all risk and compliance matters, including AML.

This service includes:

- Daily support for all staff and owners on compliance issues as they arise
- Complete management and control of your firm's risk registers
- Monthly compliance reports monitoring all activity

This outsourced solution protects your COLP, COFA and MLRO by providing experienced compliance professionals who ensure your firm remains compliant with all regulations and can evidence that compliance at all times.

Details of this additional service are available on request, or you can view the brochure below.

View Brochure

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