

ETHICS CHECKS FOR LAW FIRMS

Instructions for employees at ILPs undertaking a compliance audit

Background

- The Legal Services Commission has asked your firm's legal practitioner director(s) to undertake a web-based survey as a form of compliance audit pursuant to section 130 of the *Legal Profession Act 2007*. The process requires all the firm's employees to complete the survey.
- The survey is one of a series of Ethics Checks for Law Firms that the Commission has developed to enable law firms to take their ethical pulse by testing the strength of what commentators call their 'ethical infrastructure'. You can learn more about the Ethics Checks for Law Firms on the Commission's website (www.lsc.qld.gov.au).
- The surveys give us a handy means of checking how a firm's policies and procedures and systems are perceived and understood and implemented 'down the line' by the different levels and classifications of its staff and, if it has more than one office, by the staff at each of its different offices. They provide a rich source of information about the strength of the firm's management systems and the consistency of their application in practice.
- The surveys take less than 30 minutes to complete and have been designed to preserve as far as possible the anonymity of the people who take part. The surveys do not ask you to identify yourself and, while it might remain possible to guess your identity from your answers if you work at a very small law firm, we will not do that. Please contact the Commission's Practice Compliance Manager on 3406 1737 if you have any concerns in this regard. It will be entirely up to you whether you give us your name.

Instructions for completing the survey

- There are no right or wrong answers. The survey is not an exam. It is designed among other things to get you thinking, but not to mark you or catch you out.
- Please answer every question. Think carefully about your answers - please don't enter your answers too hastily - and please be candid. Tick the answers that best reflect your honestly held beliefs and opinions, and if you don't know how to answer a question simply tick '*I don't know*'.
- Question 2 asks you to enter your firm's code or, if your firm has more than one office, your branch office code. Please enter the 8 digit (or longer) code you've been given by your firm's survey manager. **It is absolutely crucial that you enter the code exactly as your survey manager gave it to you.** This is the only way we can bundle up your response with the other individual responses from people at your firm and collate the firm's results overall.
- Questions 3 and 4 ask you for some non-identifying data about your firm. Your Survey Manager will have told you the answers to these questions and again it's important you enter exactly those answers.
- Please complete the survey by the specified end date. That tells us when to collate the results, and we will give them to your firm's legal practitioner director(s) soon thereafter.
- **Thank you for your time.** Please contact your Survey Manager if you're unsure how to complete the survey or have any queries.