



Compliance Manager Application Form

APPLICATION TO BECOME A COMPLIANCE MANAGER OF A CILEx REGULATION AUTHORISED ENTITY

NAME OF CILEx REGULATION AUTHORISED ENTITY:

CILEx REGULATION AUTHORISED ENTITY REFERENCE NUMBER *(if already authorised)*:

This is an application for approval for:

Please tick (✓)

Level 2 Authorisation in Practice Management	
Level 2 Authorisation in Accounts Management	
Level 2 Authorisation in Practice Management and Accounts Management	

You should complete this application either using a word processor or in black ink using block capitals.

In completing this form you should refer to the guidance in the Compliance Manager Handbook.

PART ONE: GENERAL INFORMATION

CILEx Membership number (if appropriate):

Grade of CILEx Membership (if appropriate):

Title: Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other ☐

Family Name:

Forename(s):

Home Address:

Town:

County:

Postcode:

Telephone Numbers:

Home:

Mobile:

Work:

Email Address:

Date of Birth: / /

Job Title:

PART TWO: KNOWLEDGE, UNDERSTANDING, EXPERIENCE AND SKILLS

Please set out the qualifications that you rely upon to demonstrate that you have the knowledge, understanding, experience and skills in practice management and accounts management.

You may rely on either Option 1 or Option 2 below, or a combination of the two, to demonstrate that you have the knowledge, understanding, experience and skills equivalent to those set out in the Competence Framework for practice management and accounts management, included in the Handbook at Annex 1.

Option 1: Courses

State below the course(s) you have completed/passed relevant to practice management and accounts management as set out in the competence framework. *(Where the course(s) on which you rely do not cover each of the outcomes set out in the competence framework you will need to demonstrate your competence in these outcomes using Option 2, or by undertaking a further course to meet these outcomes).*

If you are relying on courses which meet the outcomes set out in the competence framework, in addition to providing this information, you should also supply:

- Syllabus/course outline for each course relied upon
- Transcript of marks (if applicable)
- Proof of completing/passing each course relied upon

Awarding Body/Course Provider	Subject	Date Passed

Option 2: Knowledge Demonstrated Through Practice

If you are relying on your work experience to demonstrate your knowledge, understanding, experience and skills in practice management and accounts management you must provide a logbook and portfolio of evidence which demonstrates that you have met the learning outcomes. The logbook and portfolio of evidence must demonstrate how your experience demonstrates that you have knowledge, understanding, experience and skills set out in the competence framework.

A logbook template, which helps you complete this element, can be found at the end of this application form at Appendix 1.

PART THREE: MEMBERSHIP OF PROFESSIONAL ORGANISATIONS AND CONDUCT STATEMENT

Membership of Professional Bodies, Accreditation Schemes, etc.

Please provide details of any memberships of professional organisations, accreditation schemes, etc. to which you belong (except CILEx):

Professional Body	Membership Number (if applicable)	Dates of Membership From/To

Good Standing

For **EACH** professional membership, please confirm the following:

Membership Body		Y/N
	My subscriptions are up to date	
	My CPD is up to date	
	My subscriptions are up to date	
	My CPD is up to date	
	My subscriptions are up to date	
	My CPD is up to date	
	My subscriptions are up to date	
	My CPD is up to date	
	My subscriptions are up to date	
	My CPD is up to date	

Please confirm whether there are or have been any restrictions placed on your professional membership in the space below:

Please attach a copy of a Standard Disclosure & Barring Service (DBS) Check, (formerly known as a Criminal Records Bureau Check or CRB Check), which must have been obtained within three months prior to the date of this application and for the purpose of this application.

PRIOR CONDUCT

You must provide an answer to each of the questions 1 to 9 below and sign and date the declaration below.

1) Have you been convicted or accepted a caution in the UK or elsewhere (other than a motoring offence, not resulting in disqualification)? This includes a fixed penalty notice.

YES ☐ NO ☐

2) Have you ever been subject to any investigations or proceedings concerning your fitness to practise by any regulatory or professional body (including findings or orders currently under appeal)?

YES ☐ NO ☐

3) Have you ever been adjudged bankrupt or made a composition with creditors?

YES ☐ NO ☐

4) Have you ever been removed from being a trustee of a charity, or removed from being concerned with the management or control of a charity?

YES ☐ NO ☐

5) Have you been removed from office as a member, director or manager of any public body?

YES ☐ NO ☐

6) Have you been disqualified from acting as a director of a company?

YES ☐ NO ☐

7) Have you been the subject of a civil judgment?

YES ☐ NO ☐

8) Has a determination (i.e. a decision) been made against you by the Legal Ombudsman?

YES ☐ NO ☐

9) Have any clients made a complaint about your work and/or conduct to you or your employer in the last 12 months?

YES ☐ NO ☐

If you have answered '**Yes**' to any of the questions above you must provide details of the circumstances (use a separate sheet if needed); a copy of any memorandum of conviction or a subject access report; and confirmation whether you have paid any fine or complied with any other order imposed on you.

Please read the guidance notes below which explain the questions 1-9 above.

DECLARATION

I declare that the information given in this form is correct. I understand that once registered as a Compliance Manager of a CILEx Regulation Authorised Entity I shall be bound by the provisions of the Charter bye-laws and all other rules and regulations of CILEx for the time being in force, including the CILEx Code of Conduct, Practice Management Agreement and supporting guides to good practice.

Data Protection Act: Compliance Managers' names, and those of their employers, will be published in the Directory of Entities on the CILEx Regulation website and in other directories which provide information about law firms and lawyers.

The personal data you provide to CILEx or CILEx Regulation will be used by them to consider this application and to enable them to meet their obligations as a professional body and Approved Regulator under the Legal Services Act 2007. We may also share relevant personal data with approved publishers of legal directories and suppliers of membership benefit products, but you or the manager concerned may ask us not to do so by contacting CILEx Regulation on 01234 845770 or emailing info@cilexregulation.org.uk.

In addition to publishing basic information about Authorised Entities, Approved Managers and Compliance Managers on our own website and providing that information to other approved publishers of legal directories, we provide it in a publicly available database where third parties, including operators of comparison websites and other commercial organisations, may access it in reusable form and republish it, alone or in combination with other information. **If your manager(s) agree(s) to the inclusion of their details (which may include any publishable disciplinary information) in this database, please tick:** ☐

More information about the use we may make of your data is given in our privacy statement at cilexregulation.org.uk. Information about disciplinary matters is only made public in accordance with the CILEx Regulation Publication Policy, available at cilexregulation.org.uk.

Signed: _____

Date: _____

GUIDANCE NOTES

- 1) A conviction is where you have been found guilty of a criminal offence. A caution is where the police have disposed of the matter against you rather than send your case to the court. A fixed penalty notice is where you have been given a financial penalty by the police. If you have then failed to pay it you must declare it. This declaration is subject to the provisions of the Rehabilitation of Offenders Act 1974. You do not need to declare protected cautions and protected convictions.
- 2) An order by a regulatory or professional body may have been made where you belonged to another organisation and they disciplined you.
- 3) A bankruptcy order is where a court has said you are unable to pay your debts. A composition with creditors is where you agree to repay people to whom you owe money.
- 4) A trustee is someone that has been given responsibility for another person's property.
- 5) A public body is an organisation whose work is part of the process of Government.
- 6) A company is any business firm in the private (non-public) sector of an economy, controlled and operated by private individuals (and not by civil servants or government employees).
- 7) A civil judgment is a court order which states that you owe a debt to someone else and must pay it back. If you have any other civil judgment made against you that involves any matter such as debt, fraud, misrepresentation or conduct related to the administration of justice please let us know.
- 8) Legal Ombudsman determinations relating to complaints that involve you will usually be directed at entities.
- 9) This question is to enable CILEx Regulation to collect information about the types and numbers of complaint made against CILEx members.

PART FOUR: REFERENCES, DECLARATION AND ENDORSEMENTS

References:	
Please provide the names and addresses of 2 referees below:	
Referee 1	Referee 2
Name: _____	Name: _____
Address: _____	Address: _____
_____	_____
_____	_____
_____	_____
Postcode: _____	Postcode: _____
Tel: _____	Tel: _____
Position of referee (e.g. Judge etc.) _____	Position of referee (e.g. Judge etc.) _____
_____	_____

Endorsement	
I confirm that the details provided in this application by: _____ are complete to the best of my knowledge.	
Signed: _____	Print name: _____
Position: _____	
Date: _____	

Applicant Declaration

I hereby apply for authorisation in practice management and accounts management at the following level:

Level 2: Authorisation as a Compliance Manager in Practice Management*

Level 2: Authorisation as a Compliance Manager in Accounts Management*

Level 2: Authorisation as a Compliance Manager in Practice Management and Accounts Management*

* Please delete as appropriate

I confirm that the information is accurate and complete to the best of my knowledge and I agree to be bound by CILEx's rules.

Signed:

Date:

Please send your completed application form by email to: info@cilexregulation.org.uk

APPENDIX: LOGBOOK TEMPLATE

Name: _____

1. Knowledge/Skills Element:		Learning Outcome:	
2. Evidence provided:		Page in Portfolio	
3. How does this meet the outcome?			
4. Opportunities for further development (if any):			
5. Completion date:			
6. Signed (applicant):		Date:	

