

Outcomes-Focused Regulation

The SRA Code Of Conduct 2011

Date: Tuesday 13th of September 2011

Time: 1.30pm to 4.45pm to include a 15 minute break

Venue: Anthony Collins Solicitors, 134 Edmund Street, Birmingham,
B3 2ES

CPD: 3 hours Accredited by the SRA

Fee: £99 plus VAT for members, £115 plus VAT for non-members



Birmingham Law Society
Learning & Development

Why Attend? The SRA Handbook has now been finalised and will come into effect on the 6th October 2011. One of its key sections is a new 'SRA Code of Conduct' which will replace the existing 2007 version.

The SRA promises 'outcome-focused regulation' which will 'treat law firms like grown-ups' but which will not, apparently, be 'light touch' regulation. The detailed and prescriptive rulebook will be replaced with a targeted, risk-based approach concentrating on standards of service to clients. The regulator will require enhanced information enabling it to profile firms that need greater attention. In line with this new approach issues such as law firm management and co-operating with the regulator are all elevated to the 'Principles' that are intended to replace the 'core duties' that are currently found in rule 1 of the current Code of Conduct. The principles are supplemented by "outcomes" which are mandatory, and 'indicative behaviours' which are supposedly advisory only.

In this inter-active workshop we examine what will be in store for firms under the new regime and consider actions to be taken now to ensure a good profile with the regulator in years to come.

Particular features will include:

- Structure and style: how the new regime will operate - a new relationship with the SRA or more of the same?
- The new principles: why have these been elevated and what difference will this make to partners and others?
- Compliance Officers for Legal Practice and Compliance Officers for Finance and Administration: will they be alone in the firing line for rule breaches?
- Key rule changes, with particular reference to client relations, conflicts of interests and law firm management.

Speakers:

- **Jayne Willetts** is a Solicitor Advocate with her own specialist professional regulation practice Jayne Willetts & Co. She regularly appears as an advocate before the Solicitors Disciplinary Tribunal either prosecuting on behalf of the SRA as well as defending other solicitors. Described in Chambers & Partners Directory as "a formidable defence advocate" much of her work involves advising law firms and other professionals and regulators on all aspects of professional regulation. A former President of Birmingham Law Society and regular columnist in the Society's Bulletin Jayne is also Chair of the Standards Committee for Coventry City Council as well as Legal Adviser to the Conduct Committee of the Chartered Institute of Architectural Technologists.

- **Matthew Moore** is a director of Web4Law and a solicitor consultant with Jayne Willetts & Co. Over the course of the last 20 years he has advised all types and sizes of firms on a range of management and compliance issues. He was the Law Society's principal trainer in the Lexcel scheme from 1999 to 2007. His titles include the last four editions of the popular 'Lexcel Office Procedures Manual', (Law Society Publishing), 'Money Laundering Compliance for Law Firms' (Ark Group – with Diane Price) and 'Money Laundering and Mortgage Fraud Compliance for Conveyancers' (Ark Group: February 2010).

To book onto this seminar :

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