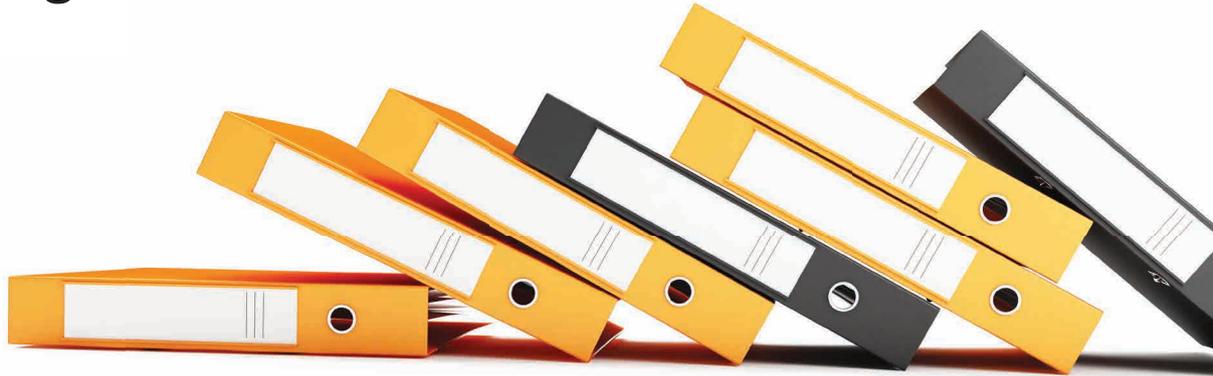


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Compliance for law firms

Incorporating COLP & COFA 5



Tailored essential updates and scenario based learning for busy, senior law firm compliance personnel

Two separately bookable one-day conferences:

- Tailored programmes – **scenario based learning**
- Three different material breach workshops to choose from, with examples targeted to your firm size and type
- Hear **Professor Richard Moorhead** on ethics and commercial awareness
- Find out the latest priorities and trends from **Richard Collins**, Executive Director of the SRA
- Learn how to **contract IT solutions** from a large law firm IT Director – what do you need to know?
- Steer your firm's **culture** – with advice from a law firm COLP and The Law Society
- Hear from **SRA Regulatory Managers** Helen Walsh and Michael Ewart
- Review the new **overseas practice rules** in action with Slaughter and May
- **COFA insights** – discover what to do about **historic and residual balances**
- Choose the best **quality management** system to implement in your firm

A WORD FROM OUR CHAIR...

"With COLPs and COFAs coming into their second year, and Outcomes-Focused Regulation well into its third year, any period of grace bestowed by the SRA is likely to have expired and they may well choose to make an example of a firm. It is therefore timely to hear from the **regulatory authorities** and from **eminent practitioners** who are prepared to share their own experiences of **tackling the issues**."

– FRANCIS DINGWALL, LEGAL RISK

Expert contributions and strategic insights from:



The Law Society



SLAUGHTER AND MAY



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Role-specific learning tailored for you

At Managing Partner we know that the workload for law firm compliance officers and managers is increasing every day, as a result of the regulatory regime and the increasingly complex nature of legal services business and the risk scenarios which that throws up. It is hard to get time out of the office and you need a learning programme that delivers on your current learning objectives, in a compact amount of time, when you do.

Two focused one-day conferences

We have listened to your feedback and taken your suggestions on board, as part of our co-ordinated approach to compliance learning and support this Spring. Our long-running **Compliance for law firms** conference, which has been surveying the landscape for compliance issues facing law firms for six years, will merge with our very popular **COLP & COFA** role-specific conference, now in its 5th incarnation, to bring you two separately bookable tailored learning programmes.

Hard to choose?

If your role is in law firm compliance, but you are not the COLP or COFA, then Day One, **Compliance for law firms**, will be the best event for you. But if you are the COLP or COFA then Day Two, **COLP & COFA 5**, will be the more relevant learning programme. However, if you would like to attend both days, or you have a colleague you would like to send to the other day, you can take advantage of our special multi-buy offer (see back cover).

Whichever day you choose, you may want to send a colleague to take notes and attend the other day, as there is lots of new content this year that you simply won't want to miss.

About Compliance for law firms...

We are delighted to welcome:

- The Executive Director of the **Solicitors Regulation Authority (SRA)**, **Richard Collins** to the conference for the first time. The Regulator often uses Managing Partner conferences to make key industry announcements and we look forward to hearing from Richard on the latest priorities and trends.
- Also joining us for the first time will be **Professor Richard Moorhead** who will explore a topic that is gaining pace in the UK, the relationship between **professional ethics and commercial awareness**.
- Janet Day, Director of IT at **Berwin Leighton Paisner** also makes her debut appearance this April to talk about a subject that is becoming a growing concern for law firm risk and compliance officers – how to contract IT systems and solutions effectively.

As well as these topics, the key compliance issues affecting law firms will be covered during this conference including compliance training, data protection and anti-money laundering.

About COLP & COFA 5...

...which promises to be just as inspiring. In the afternoon we split into three focused two hour scenario based workshops focused to the needs of your law firm and its areas of practice. At Managing Partner, we understand that the types of material breaches a large international firm will face will be very different from those that an ABS might face. Indeed, the SRA has said that what constitutes a material breach will depend to some extent on the relative impact of the breach compared to the firm's size, client profile and type of work. With this in mind, we have worked with our speaker panel to develop new streamed workshops for 2014. You can choose from three different options:

- International, City or large firm
- National, regional, medium or small firm
- Alternative business structure (ABS)

...to ensure that you are discussing **scenarios that you might really encounter in your firm**. Come armed with your own thoughts and be prepared to share them. We recognise the benefit of the experience in our conference room and these workshops are designed to be an applied learning experience for everyone.

During the morning, we will take a thematic approach to the role of the COLP and COFA to explore the issue of **culture**, and what you can do to encourage the right sort of culture in your firm. Hear how the COLP at **Holman Fenwick Willan** encourages openness and honesty and also what **The Law Society** is doing to support COLPs and COFAs on culture. There will also be a chance to hear from two of the SRA's **Regulatory Managers, Helen Walsh** and **Michael Ewart** on how to get the most out of regulatory management. A senior compliance lawyer at **Slaughter and May** will explore the **overseas practice rules** six months on, in a scenario based session and **Sarah Mumford** will put the spotlight on the COFA in a session focused on historic and residual balances.

Value for money

The opportunity for your firm to attend these two conferences and hear from **Richard Collins, Professor Richard Moorhead, The Law Society, two SRA Regulatory Managers** as well as several large and medium sized law firms **and participate in a two hour scenario based workshop** on breaches, targeted to your firm type, for one special rate, is just simply too good a deal to pass up. Book now to make sure you have all your bases covered.

WHO SHOULD ATTEND?

- Directors/Heads of Risk
- Directors/Heads of Compliance
- Compliance Officer for Legal Practice
- Compliance Manager
- Risk Manager
- Managing Partner
- Partner
- Director/Head of Professional Practice
- General Counsel

CPD information

Attendance at this conference qualifies for up to **11 hours, 10 minutes** of **SRA accredited CPD** (at intermediate/advanced level). To claim your hours, quote provider code: EEW/ARCL.

09:00 Registration and refreshments

09:30 **Chair's opening remarks**

Francis Dingwall, Partner, Legal Risk

POLICY

09:40 **Opening keynote from the SRA**

The view from the regulator – current priorities and trends.

Richard Collins, Executive Director, Solicitors Regulation Authority

ETHICS AND TRAINING

10:20 **KEYNOTE | Lawyers: Commercial awareness, the moral compass and ethical consciousness**

This talk will highlight work underway at UCL's Centre for Ethics and Laws which examines how lawyers cope with legal risk and professional ethics. What are the tensions between commercial awareness and professional ethics; are lawyers fit to provide a moral compass; what difficulties are posed for lawyers as managers of legal risk?

Richard Moorhead, Professor of Law and Professional Ethics, Director of the Centre for Ethics and Law, UCL

11:00 Morning refreshments

11:30 **Designing an effective compliance training programme**

- Prioritising which elements of compliance to focus training on
- Monitoring uptake and delivery – to provide evidence to the SRA
- What methods of training work?

Annette Fritze-Shanks, Head of Risk Management, Taylor Wessing

ENTERPRISE RISK MANAGEMENT

12:10 **PANEL | Regulatory compliance in the context of enterprise risk management**

"Compliance is assessing the laws, regulations and the firm's frameworks. It is how well we are doing and the consequence of not doing things well" Julia Graham said at Managing Partner's **Risk management for law firms** conference in December 2013. "Risk is the effect of uncertainty on the achievement of our objectives. The effects can be positive or negative. Risk is how we assess likelihood and impact." What can we learn by taking a broader business risk management approach to regulatory compliance? How can good enterprise risk management help us achieve our regulatory outcomes? Our expert panel will discuss this question and give you the opportunity to contribute your experiences.

Panelists include:

- Andrew Cheung, General Counsel – EMEA Region, **Dentons**
- Emma Dowden, Director of Best Practice & Operations, **Burges Salmon**
- Sarah Mumford, Independent Consultant
- Juliet Tainui-Hernandez, Director of Risk, **Addleshaw Goddard**

12:50 Networking lunch break

ANTI-MONEY LAUNDERING

13:50 **Anti-money laundering update: Preparing for the 4th Directive**

- Examining changes to client due diligence and enhanced due diligence
- Written risk assessments
- Beneficial ownership registries
- What steps should your firm take now?

Alison Matthews, Director, Alison Matthews Consulting

14:30 Afternoon refreshments

QUALITY MANAGEMENT

15:00 **Implementing a quality management system in a law firm**

- Which quality management tool should you choose – ISO 9001 or Lexcel?
- The 'non-legal' business standards – ISO 14001, 27001 and others
- Translating the ISO standards for law firms
- Reviewing ISO 9001 in practice
- Auditing to maintain standards and OFR compliance

Robert Farrant, Head of Risk Management, Mills & Reeve

Matt Moore, Director, Infolegal

DATA PROTECTION AND IT SYSTEMS

15:40 **Practical applications of the anticipated changes to the data protection rules**

- Preparing for the European Regulation
- What might the new fines look like for law firms?
- When can we expect to implement?
- What things can law firm compliance managers be doing now?

Lynn Wyeth, Independent Consultant

16:20 **New skills: Guidelines for procuring IT contracts for risk and compliance managers**

- Developing your specification – things you should consider
- Does it do what it says on the tin?
- Avoiding the pitfalls – hidden costs
- Asking the right questions to future proof your purchase

Janet Day, Director of IT, Berwin Leighton Paisner

17:00 **Chair's closing remarks**

17:10 Close of day one

EARLY BOOKING DISCOUNT

Attend this conference and COLP & COFA 5 for just £996+VAT if you book before 7 February. Each event can be attended by a separate member of the firm.

See next page for agenda.

09:00 Registration and refreshments

09:30 **Chair's opening remarks**

Francis Dingwall, Partner, Legal Risk

REGULATORY MANAGEMENT

09:40 **SRA regulatory management**

Getting the best out of regulatory management.

- What can law firms expect from their regulatory managers?
- How do regulatory managers like law firms to work with them?
- Examples of good practice

Michael Ewart and Helen Walsh, Regulatory Managers, Solicitors Regulation Authority

CULTURE

10:10 **Supporting cultural change in the profession**

- What the Society recommends COLPs and COFAs should do to create the right cultural conditions for compliance
- Examples of good compliance cultures in law firms
- Offering channels for advice and support on culture

Pearl Moses, Risk and Compliance Manager, The Law Society

10:40 Morning refreshments

11:10 **Encouraging a compliance culture**

In the recent high profile financial services failures, culture was identified as a significant factor. What can you do to ensure your culture is conducive to good compliance practice?

- Getting out there – walking the floors
- Having an open door policy – positioning yourself as someone fee earners and staff feel comfortable to talk to
- Communication with fee earners – what works best?
- Managing compliance internationally, across different cultures

Ottile Sefton, Partner and COLP, Holman Fenwick Willan

INTERNATIONAL COMPLIANCE

11:40 **SCENARIO BASED | Implementing the overseas practice rules**

New rules governing overseas practice, the SRA Overseas Rules, came into force on 1 October 2013 and the associated reporting requirements will come into force on 1 October 2014. The new rules have been heralded as simplifying the regulation of overseas practice through the adoption of a principle-based approach. This scenario-based session looks at the detail of the new rules and considers some of the complexities of the new regime, including for example:

- How to determine whether an overseas office is an "overseas practice" or a "connected practice"?
- What amounts to "temporary practice overseas" in the context of secondments to overseas offices?
- How will the new reporting requirements work in practice?

Julia Adams, Senior Compliance Lawyer, Slaughter and May

COFA INSIGHTS

12:10 **A focus on residual (or historic) balances**

- Identifying and dealing with residual balances
- Should your accountants see your register?
- Can you outsource the handling of residual balances?
- Practical steps, on triage principles

Sarah Mumford, Independent Consultant

12:40 **Chair's closing remarks**

12:50 Networking lunch break

13:50 **SCENARIO BASED WORKSHOPS**

Choose the right workshop for your firm's size to benefit from tailored discussions and advice in breach identification.

Each workshop will last for at least two hours, incorporating the refreshment break.

OPTION 1 FOR INTERNATIONAL, CITY AND LARGE FIRMS

Your clients are often large multinational companies with businesses in several different countries, and your strategy may be to follow your client. Therefore your exposure to international risk, particularly in emerging jurisdictions, is higher than for other firms. A merger, or a few, may well be on the cards for your firm in the near future and your Managing Partner may also be looking at strategic lateral team hires, both of which scenarios can expose you to risk. On the plus side you do have healthy compliance resources at your disposal. This scenario based workshop has been designed to discuss the types of scenarios, patterns and compliance issues that you might encounter in your role as COLP or COFA in international, City and large firms.

Facilitated by: *Peter Hardy, COLP, Addleshaw Goddard*

OPTION 2 FOR NATIONAL, REGIONAL, MEDIUM AND SMALL FIRMS

Whilst some of your work is of an international nature, perhaps involving the use of an international referral network, the majority of your business is national or regional, with a client profile that may include large businesses, government organisations and SMEs. Therefore your material breach scenarios tend to be less international in nature. Your firm may be looking to merge in the future but it is likely to be a one-off. Your focus is therefore on the specific compliance breaches that can be experienced in a small or medium sized law firm, including money laundering; errant partners and failed supervision. You don't have endless resources to commit to compliance issues so you must prioritise the resources that you do have very carefully. This workshop will include reference to fault tree and event tree analysis and other risk management techniques to help you identify material breaches and critical patterns of non-compliance.

Facilitated by: *Jane Jarman, Reader, Nottingham Law School*

OPTION 3 FOR ALTERNATIVE BUSINESS STRUCTURES

As an alternative business structure, the types of compliance issues and breaches that you face will sometimes be different to those that traditional law firms experience. With some ABS firms having greater numbers of non-solicitor staff, training and awareness raising on regulatory and compliance issues can be a challenge. The role of the COLP and COFA and their relationship with outside shareholders within Group structures have to be carefully considered and clearly documented. That is especially true in respect of reporting breaches – not least as, unlike solicitor-owned law firms, every ABS will still need to submit an Annual Information Report. You may be exposed to different types of risk via other companies in your Group, as well as through dealings direct with the public and referring third parties. The regulator will also want to check that you are complying with the various terms and conditions of your authorisation. This workshop facilitated by one of the leading consultants working with alternative business structures on strategy, authorisation and governance will, through scenarios, explore the specific risks, potential breaches, issues and concerns faced by these new legal services businesses.

Facilitated by: *Chris Bull, Executive Director, Kingsmead Square*

16:30 Close of conference

CONFERENCE

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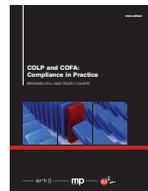
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