

SEMINAR

Date: 28 November 2012 4pm to 6pm

Venue: MFG, 20-21, The Tything, Worcester, WR1 1HD

CPD: 2 hours

Cost: Free to members!

Compliance Update: COLPs, COFAs and PII

As the SRA continues to evaluate the suitability of those nominated earlier in the year for the roles of COLP and COFA, thought turns to the New Year. From the start of January 2013, full responsibility for 'self-compliance' will (or should) be in place, with compliance officers risking personal censure if they fail to implement the necessary management systems, record minor breaches and report to the SRA those breaches that would be judged to be material 'without delay'. Time is running out to ensure that all is in order so far as the requirements of the SRA Handbook – introduced in October 2011 – are in place. This timely session reviews the key strands of law firm risk management and will provide practical guidance on the issues that no firm can afford to ignore. **This is not just for COLPs and COFAs but for all concerned with compliance issues in our firms (ie all of us!).**

- **The SRA Handbook – have you adapted to all of the outcomes and indicative behaviours?**
- **COLPs and COFAs – do you have the systems required of your role?**
- **The profile of the successful firm in years to come**

Speaker: Matthew Moore LL.B, MCIPD, CDipAF, Solicitor

Matt is a director of Colpline Ltd, specialist advisers on compliance and practice management issues and suppliers of the 'Colpline' helpline service provided by Central Law Training. He is also a consultant solicitor with regulatory specialists Jayne Willetts & Co. in Birmingham. He was the authorised trainer for the Law Society in its Lexcel scheme from 1999-2007 and wrote four editions of the Law Society's 'Lexcel Office Procedures Manual' over that time. Earlier this year he published – along with legal aid specialist Vicky Ling – a revised compliance template and guide 'The Solicitors Office Procedures Manual' (see www.solicitors-opm.co.uk). He has also written extensively on the topics of money laundering and mortgage fraud.