

CLT In House Training and Professional Consultancy

The latest news

The New SRA Handbook Fundamental Changes to Law Firm Regulation

On 6th October 2011 the biggest change to law firm regulation in decades will come into effect with the introduction of the new SRA Handbook, which replaces the Solicitors Code of Conduct. This Handbook will cover every aspect of the regulation of individuals and firms who are authorised and licensed by the Solicitors Regulation Authority (SRA), including Alternative Business Structures (ABS).

Every law firm and lawyer needs to be preparing NOW! to comply fully with the new regulations from the October deadline. This will require knowledge of the provisions of the new SRA Handbook and the changes they will bring.

- New outcomes focused code
- Requires robust systems and policies for protection of clients
- Requirement for Compliance Officer for Legal Practice
- Requirement for Compliance Officer for Finance and Administration
- New compliance systems, plans and policies

CLT In-House is pleased to offer a review of courses which will provide you with an essential and practical guidance on the new regime and how to comply. The courses will include case studies of how the new regulations will work and apply to different types of practice.

Courses from
CLT In-House

Compliance Courses

Management Course Stage One - £995 + VAT for up to 20 attendees

Management Course Stage Two - £1350 + VAT for up to 25 delegates

Solicitors Accounts Rules - £1650 + VAT for up to 25 delegates

Money Laundering Update - £1650 + VAT for up to 25 delegates



The SRA Handbook - Prepare Now for the New Regulations

NEW

An Essential Guide for Every Law Firm and Lawyer - Update

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- New outcomes focused code
- Requires Robust Systems and Policies for protection of clients
- Requirement for Compliance Officer for Legal Practice
- Requirement for Compliance Officer for Finance and Administration
- New Compliance Systems, Plans and Policies

CLT is presenting a series of public seminars giving essential and practical guidance on the new regime and how to comply. The course will include case studies of how the new regulations will work and apply to different types of practice/different situations.

Background to the new SRA Handbook

- The Legal Services Act - opening up legal services markets/ABS
- Separation of representative and regulatory bodies
- The SRA as approved regulator - what does this mean for the SRA and its approach to regulation?

The Handbook

- An overview of the Handbook
- 'Cradle to grave', 'one stop shop' regulation - takes you through training to admission, to how you can practice and be authorised/licensed, to being disciplined and, ultimately, ceasing to practice. In other words, all you need to know about how the SRA will regulate you and your business

In particular the following will be covered in detail:

The Principles

- The ethical behaviour required of someone providing regulated legal services and how this pervades all aspects of practice

Authorisation and Practising Requirements

- Authorisation of individuals and firms
- Individual applications for PCs, registrations of RELs and RFLs and recognised sole practitioner authorisation
- Practice framework rules - how you can practice, who you can be in business with, reserved activities, formation and practice requirements, regulatory arrangements and how you can practice in house
- How you (the business) apply to be authorised or licensed
- Recognised Bodies Regulations 2009 - the transitional arrangements pending their repeal

The Code

- Outcomes focused Regulation and what it means
- How the outcomes link to the principles
- The code's new structure and changes of substance
- What is mandatory and what not

Other areas of interest in the Handbook

- Accounts rules
- Specialist Services Rules
- Disciplinary Procedure Rules
- Cost of Investigation Regulations
- Training requirements
- Public Protection Rules

"The Handbook will regulate not only solicitors, but also the Alternative Business Structure"

COFA's and COLP's: The Essential Guide

NEW

Advanced/Update/Intermediate

2011 sees the introduction of unprecedented changes to the regulation of the legal profession. One essential feature of the changes is the requirement for every firm to have formally appointed specific Compliance Officers. But the responsibilities rest on everyone. So all who work within an undertaking providing legal services now need to know what the regulatory regime requires and how firms can comply with it. This seminar will guide you through the way in which COFA's and COLP's fit into the regulatory framework so that you have a fuller understanding of their roles and functions.

The seminar will cover:

- What are COFA's and COLP's - Roles and duties explained
- How Compliance Officers fit into the new regulatory regime
- The appointment of COFA's and COLP's - who qualifies and why
- The relationships between COFA's, COLP's and the rest of the firm
- The modified requirements for ABS's and Sole Practitioners
- Changing appointees - problems and solutions provided for

"This seminar will guide you through the way in which COFA's and COLP's fit into the regulatory framework"

Equality and Diversity within Outcomes Focused Regulation

NEW

Update/Intermediate

Under the new culture of Outcome Focused Regulation being introduced by the SRA equality and diversity will be even more important to firms than they have been before. Promoting equality and diversity becomes one of the ten principles that all firms will have to adhere to, and they will have to prove that they have achieved this. This course provides a grounding in the principles and best practice of equality and diversity, and will be a key tool in providing to the regulators that required outcomes are being achieved.

Key areas:

- Principle 9
- The required outcomes
- Indicative behaviours
- Best practice
- The Equality Act
- The Equality and Inclusion Charter

"This course provides a grounding in the principles and best practice of equality and diversity"

Developing a Compliance Plan for Litigation Practice

NEW

Intermediate/Introductory

The new SRA Handbook, which becomes effective on 6 October 2011, overhauls the regulatory framework for all law firms and lawyers and requires legal practices to have robust systems in place for the governance and management of their businesses. Firms are advised to draw up a compliance plan to demonstrate to the SRA that their practices comply with the new requirements, and there are different types of compliance plan that can apply to different types of practice. This course looks at the principles that apply to drawing up a compliance plan for litigation practice and provides practical guidance to help firms to do so.

The course will cover:

Background • The SRA's approach to regulation and risk • Overview of the Handbook.
The role of the COLP and COFA

The need for a compliance plan • New firms • Existing firms.

What should the compliance plan cover? • Principle 8 • Authorisation rules

• The outcomes required by the Code of Conduct • Information requirements.

What will govern the contents? • Type of clients; Size of firm - business model; Areas of practice.

Litigation - special considerations • Referral arrangements • Client care, including costs • Conflicts of interest • Confidentiality • Duty to the court
• Separate businesses.

"Firms are advised to draw up a compliance plan to demonstrate to the SRA that their practices comply with the new requirements"

Developing a Compliance Plan for Conveyancing Practice

NEW

Intermediate/Introductory

The new SRA Handbook, which becomes effective on 6 October 2011, overhauls the regulatory framework for all law firms and lawyers and requires legal practices to have robust systems in place for the governance and management of their businesses. Firms are advised to draw up a compliance plan to demonstrate to the SRA that their practices comply with the new requirements, and there are different types of compliance plan that can apply to different types of practice. This course looks at the principles that apply to drawing up a compliance plan for conveyancing practice and provides practical guidance to help firms to do so.

The course will cover:

Background

- The SRA's approach to regulation and risk
- Overview of the Handbook

The role of the COLP and COFA

The need for compliance plan

- New firms
- Existing firms

What should the compliance plan cover?

- Principle 8
- Authorisation rules
- The outcomes required by the Code of Conduct
- Information requirements

What will govern the contents?

- Type of clients; Size of firm - business model; Areas of practice

Conveyancing - what additional issues do you need to consider?

- Client care
- Referral arrangements
- Conflicts: Acting for seller and buyer; Acting for lender and borrower
- Confidentiality
- Undertakings
- Property selling
- Financial services
- Accounts Rules

"This course looks at the principles that apply to drawing up a compliance plan for conveyancing practice and provides practical guidance to help firms to do so"

Would your firm benefit from:

- Cost effective training delivered at your firm
- First class speakers with practical experience
- Innovative and cutting edge courses
- Bespoke programmes
- Free consultancy and training needs analysis
- Full account management and administrative support for all in house course programmes

Then contact our In House Team on:

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