

‘The Role of the COFA in a Law Firm’

An overview & refresh of this important role

Live Webinar

Tuesday, 15th October, 2024

Presenter: Joanna Morris

12noon – 1pm. Fee: £30 + VAT (£36) members £40 + VAT (£48) non members

Introduction

It has been a while since the role of the Compliance Officer for Finance and Administration (COFA) was introduced – 13 years to be precise. They were introduced alongside the Compliance Officer for Legal Practice (COLP) with the introduction of the SRA Handbook in 2011.

Every law firm must have a COFA – chosen by the firm and authorised by the SRA but what does this role entail and what are the responsibilities of being a COFA?

The SRA Accounts Rules saw dramatic changes in 2019 with the introduction of the SRA Standards and Regulation 2019 – the number of rules dropping from 52 to just 13 less prescriptive rules.

But did this make the role any easier? Indeed, we had to really think about the policies, procedures and systems that were required to keep us compliant.

This one hour webinar will take us through this important role from the very beginning when you are chosen to be the COFA to what your role covers now.

What you will learn

This webinar, suitable as a refresher for COFAs already in role, new COFAs just starting out, deputy COFAs, finance staff and compliance team members will cover the following:

- Being chosen and obtaining authorisation for the role of the COFA
- Meeting your obligations
- An overview of the key SRA Accounts Rules
- Records you need to keep – breach registers, policies and procedures
- What is a ‘serious’ breach and when to report to the SRA
- Matter files reviews
- Real case studies - what’s in the news

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PLEASE NOTE THAT CANCELLATIONS MADE WITHIN 10 WORKING DAYS BEFORE THE DATE OF THE COURSE CANNOT BE REFUNDED

The Presenter

Joanna Morris has over thirty years' experience of working in solicitors' practices from being a legal cashier, practice manager and training manager. Joanna is a freelance trainer and consultant, having previously been the Risk and Regulatory Compliance Training Manager at a top 40 law firm.

Jo currently delivers training in many compliance subjects, both to the public and in-house clients, on AML, GDPR, SRA Accounts Rules and courses designed specifically for the MLRO, DPO, COLP and COFA. She is a qualified NVQ assessor and holds a Certificate In Education for Teaching in the Lifelong Learning Sector.

She was highly commended in June 2011 by the Legal Education and Training Group (LETG) in the category Best Programme for Lawyers for Solicitors Accounts Rules training. She was shortlisted in the Compliance Trainer of the Year category in the C5 Women in Compliance Awards in 2014.

To register to attend please complete and return the application form below.

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Sussex Law Society Webinar Application Form
'The Role of the COFA in a Law Firm' (15/10/2024)

To book a place on this webinar, please complete and return the form below to Jeanette Lacy Scott – jls@sussex-law.co.uk and you will be sent an invoice for payment (if the invoice should be sent to someone other than the delegate please give details of name and email address to whom it should be sent).

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