

‘The Role of the COLP in a Law Firm’

An overview & refresh of this important role

Live Webinar

Tuesday, 5th November 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 Legal Practice (COLP) was introduced – 13 years to be precise. They were introduced alongside the Compliance Officer for Finance and Administration (COFA) with the introduction of the SRA Handbook in 2011.

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

When the role of the COLP was introduced, we had the SRA Handbook (Oct 2011) with outcome-focussed regulations and then, from November 2019, we saw the introduction of the SRA Standards and Regulations. With this an updated Code of Conduct for Solicitors and the introduction of the Code of Conduct for Firms.

What changes have we had to make to our policies, procedures and systems and how do we keep the firm compliant? What did this mean for the COLP?

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

What you will learn

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

- Being chosen and obtaining authorisation for the role of the COLP
- Meeting your obligations
- An overview of the key areas of the SRA Standards and Regulations 2019
- Records you need to keep – breach registers, policies and procedures
- What is a ‘serious’ breach and when to report to the SRA
- Risk registers and gap analysis
- Matter files reviews
- Real case studies - what’s in the news

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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 COLP in a Law Firm' (5/11/2024)**

To book a place on this webinar, please complete and return the form below to Jeanette Lacy Scott – jl@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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