

COMPLIANCE CONFERENCE


WEDNESDAY 3 JULY 2024 – 09:15 – 17:00

Marsham Court Hotel, 3 Russell Cotes Road, Bournemouth BH1 3AB

COST	
£135	Solicitor Member/Associate Member/Trainee Solicitor
£180	Non-Member of BDLS
CPD	
6 Hours	
BOOKING	
Please book online at: www.bournemouthlaw.com/bournemouth-district-law-society-lectures	
Ref: 992	
Solicitor Competence: A and B (SRA Statement of solicitor competence Solicitors Regulation Authority)	
HOTEL PARKING	
Marsham Court Hotel, 3 Russell Cotes Road, Bournemouth BH1 3AB	
Parking: This is at the rear of the hotel (postcode BH1 3AU) No parking charge. On arrival, please inform hotel reception of your car registration number and, when you leave, ask for the exit code to raise the exit barrier. Alternatively, there is parking at Berry Court in St Peter's Road, Central Car Park in Upper Hinton Road or street parking around the hotel.	

Thanks to our sponsors:



08:45	Registration and refreshments
09:15	<p>INTRODUCTION FROM THE CHAIR Mark Kiteley, BDLS Past President</p>  <p>Mark is a Director of Rawlins Davy Reeves Solicitors in Bournemouth, specialising in regulation and compliance. He qualified as a solicitor more than 20 years ago and, prior to selling his interest in the firm, enjoyed the position of managing director at Kiteleys Solicitors. He sits on the Law Society Professional Indemnity Insurance Panel, part of the Regulatory Affairs Board, and prior to his appointment as President was Honorary Secretary of the Bournemouth and District Law Society between 2012 and 2018. He has promoted and chaired our previous compliance conferences, spoken at Bournemouth and Solent Universities on routes to the profession, and led inhouse training on GDPR, AML, and cyber security.</p>
09:15 – 10:15 1 hour	<p>ANTI MONEY LAUNDERING – BEYOND THE OBVIOUS: THE PARTS THAT OFTEN GET OVERLOOKED! David Green, The Strategic Partner</p> <ul style="list-style-type: none"> • Matter and Firm Risk Assessment • Regulation 18 Risk Assessment • Controls and Supervision • Policy Structure

This session is aimed at information to members of some of the detail behind effective MLR 2017 managements and sets out for you the processes to adopt or consider adopting to ensure your firm does not get caught out.

David Green is the Managing Director of The Strategic Partner which is consultancy and compliance business working for law firms, professional indemnity insurers and other businesses in the regulated sectors. Having previously run a law firm for some 20 years David spends his time now working with law firms as a consultant focusing on strategy and finance or assisting with the improvement of risk, regulation, compliance and general supervision. The combined experience of working as a fee earner, law firm owner and a consultant provides David with a breadth of experience which, it is hoped, he uses effectively to deliver pragmatic and workable solutions to the industry and those the Company engaged with.



10:15 – 11:15
1 hour

CURRENT CLAIMS TRENDS: WHERE TO FOCUS YOUR RISK MANAGEMENT EFFORTS THIS YEAR

Joe Bryant, Beale & Co

- **Regulatory creep**
 - **SRA extending reach into personal lives**
 - **Fining powers on the rise, fewer referrals to SDT, rough justice?**
 - **LeO limits to increase?**
 - **Financial burden on profession increasing in line with regulatory burden**
 - **Axiom Ince / Compensation Fund Levy**
- **COVID**
 - **Supervision, skillset of next generation of lawyers**
 - **Wills and Probate – COVID was perfect storm for claims**
 - **Recessionary claims**
 - **Exacerbated by cost of living crisis**
 - **Second bite of the cherry claims**
- **Technology**
 - **Integration of AI into legal services introduces new risks for claims**
 - **Breaches of confidentiality**
 - **Cybersecurity**
- **Building Safety**
 - **New legislation introduces risks, particularly in conveyancing, where solicitors will need to be very precise in delineating what they are (and are not) advising on, so as to avoid extending liability into areas affected by the Building Safety Act 2022.**
 - **Lender pressure forcing solicitors to extend advice into unknown areas.**



Joe has been handling claims against the legal profession since 1998, and is pre-eminent in this area, being band 1 rated in all directories and a well-known figure in the industry.



11:15 – 11:30

Refreshments

<p>11:30– 12:00 30 minutes</p>	<p>UPDATE ON LAW SOCIETY CAMPAIGNS AND INITIATIVES Nick Emmerson President, The Law Society of England and Wales</p> <ul style="list-style-type: none"> • Fresh ideas for 21st century justice Public affairs and influencing • 20 years of the Diversity Access Scheme 	
<p>12:00 – 13:00 1 hour</p>	<p>GENERAL UPDATE AND OUR APPROACH TO PUTTING THINGS RIGHT WHEN THEY HAVE GONE WRONG Jason Chapman, Legal Ombudsman</p> <ul style="list-style-type: none"> • General update, what we have seen over the past 12 months • Our guide to investigating complaints • How to put things right if things have gone wrong <p>Jason originally joined the Legal Ombudsman in 2011 as an investigator before being appointed as an ombudsman in 2013. In his ten years as an Ombudsman Jason gained a wealth of experience and has determined over 3,500 complaints.</p> <p>Prior to joining the Legal Ombudsman, Jason was an experienced Commercial Manager, working in several sectors, including consumer finance, leasing, travel and facilities management. During this time, he also gained considerable experience managing regulatory and compliance functions.</p>	
<p>13:00 – 14:00</p>	<p>Lunch</p>	
<p>14:00 – 15:00 1 hour</p>	<p>COMPLIANCE AND SUPERVISION: PREPARING FOR THE SRA'S ARRIVAL! David Green, The Strategic Partner</p> <p>This session will include:</p> <ul style="list-style-type: none"> • Controlling Risk and a positive impact on Professional Indemnity Insurance • Effective Supervision – what is really involved? • Financial Management <p>This session is designed to inform law firms on how to structure their business effectively in order to reduce the worry about a potential visit from the SRA. It will also link compliance management to risk and financial management which can have a positive impact on your risk profile for insurance purposes.</p>	
<p>15:00 – 15:45 45 mins</p>	<p>INCLUSIVE RECRUITMENT - HOW TO IMPROVE THE DIVERSITY OF YOUR CANDIDATES Rachel Atkinson, The People Choreographer®</p> <ul style="list-style-type: none"> • The business case for building diverse workforces • Guidance on writing inclusive Job Descriptions and Adverts • Best practice on shortlisting candidates • Interviews and assessments – how to diversify the process, and make it accessible to get the very best from your candidates • From offer to first day on the job – keep your preferred candidate engaged to prevent counter offers and make them feel like they belong, before they start! 	

	<p>Rachel specialises in supporting organisations to help their people work with passion and purpose, and create places that people want to be a part of. Equity, Diversity, and Inclusion are at the heart of the service that Rachel provides.</p> <p>Rachel has over 20 years' experience in Human Resources and Senior Leadership roles, but as a non-traditionalist, prefers to refer to herself as a People Choreographer. Starting her HR journey at Barclays, in recent years Rachel has worked for the RNLI, before setting up her own practice in 2020 where she has supported a wide range of clients across the private, public and third sectors.</p> 
15:45 – 16:00	Refreshments
16:00 – 17:00 1 hour	<p>SRA ACCOUNT RULES – KEEP YOURSELF UP-TO-DATE Janet Taylor FCA - Director, PKF Francis Clark</p> <p>Complacency is the enemy! This session is aimed at ensuring everyone remains up to date and alive to any risks and common problems. In brief the session will cover:</p> <ul style="list-style-type: none"> • Any recent changes to the SRA Accounts and/or the SRA's published guidance • Old favourites still causing problems including: <ul style="list-style-type: none"> ○ The prohibition on providing banking facilities to clients ○ Failure to tackle residual balances • Operating a client's own account as signatory • Any emerging issues with SRA Accounts Rules in SDT/SRA rulings <p>Janet joined PKF Francis Clark as part of the firm's specialist legal team in 2018 as a director and now works as a consultant to the firm, and has been an owner in Taylor Mowbray LLP for over 15 years. Prior to that she spent over 10 years with another top 20 accounting firm heading up their specialist solicitors' group. Over the last 20+ years she has regularly presented training on the SRA Accounts Rules to a wide range of accounting and law firms through in-house and public seminars. Clients have included several major international and national law firms as well as their reporting accountants. Janet is the current Subject Matter Expert for the ICAEW's Solicitors Community Advisory Group, and co-author of the Law Society's Solicitors and the Accounts Rules - A Compliance Handbook.</p> 
17:00	Close

Please book online at:

<https://www.bournemouthlaw.com/bournemouth-district-law-society-lectures>

Course Notes: For environmental reasons, BDLS will no longer be providing printed course notes at lectures. Lecture notes will be emailed to delegates in advance for either printing or accessing via their laptop or alternative device on the day.

Payment for lectures: Please be aware that payment must be received at the office before the lecture takes place. Course bookings will only be confirmed upon payment. All payments are to be paid by BACS. No refunds within 7 days of the course.