



# The whys and hows of file auditing

July - November 2008

4.00pm - 4.30pm - registration & refreshments, 4.30pm - 6.30pm - seminar

2 CPD hours

## Overview

The Solicitors Code of Conduct, which came into effect on 1 July 2007, introduces new requirements for supervision and risk as part of the business management provisions of Rule 5. This seminar will focus on file auditing, the main supervisory function and facet for controlling and managing operational risk, and aims to translate your professional obligations into a practical audit. It will:

- Explain the practice rules relating to supervision and risk
- Outline the benefits of file auditing
- Offer advice on implementing a file audit strategy
- Help you develop a relevant file audit for your firm.

## Who should attend?

All those who have a responsibility for quality and risk and maintaining compliance within their firm, in particular sole practitioners, senior and managing partners, partners and practice managers.

The course is designated management training for the purposes of Rule 5.02 ('qualified to supervise' criteria).

## Speaker:

**Adèle Warchester** is the former risk manager and client care and managing partner of Donns LLP. She qualified in 1977 and has extensive experience of private practice and implementing quality management systems. She successfully took the firm through the franchise process, Investors in People and Lexcel accreditations. Now an independent Quality Management Consultant, she advises firms on all aspects of quality, professional compliance and risk management. She has contributed various articles on risk management to professional publications including the LMS Risk Management Toolkit.

## Dates and locations

1 July	London	The Law Society's Hall, 113 Chancery Lane
8 July	Manchester	Macdonald Manchester Hotel
9 September	Cardiff	Law Society Wales Office
10 September	Bristol	Armada House Conference Centre
17 September	Birmingham	Macdonald Burlington Hotel
24 September	Leicester	Belmont Hotel
6 October	London	The Law Society's Hall, Chancery Lane <b>NEW DATE</b>
8 October	Newcastle	The Life Conference Centre
15 October	Leeds	Novotel Leeds Centre
22 October	Cambridge	The Trinity Centre
23 October	Brighton	Ramada Brighton
10 November	Exeter	Thistle Exeter <b>NEW DATE</b>
17 November	Bournemouth	Best Western Anglo Swiss Hotel <b>NEW DATE</b>

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The Law Society

**TO BOOK** Please complete this form and return it with payment to:

Event Team (Room 1.01), The Law Society, 113 Chancery Lane, London WC2A 1PL or DX 56 Lon/Chancery Ln  
Tel: 020 7316 5531/Fax: 020 7316 5667.

Firm/Organisation: \_\_\_\_\_

Address: \_\_\_\_\_

Postcode: \_\_\_\_\_

DX address: \_\_\_\_\_

## Delegate 1

Title: \_\_\_\_\_ First Name: \_\_\_\_\_ Surname: \_\_\_\_\_

Position: \_\_\_\_\_

Email Address: \_\_\_\_\_

Tel No: \_\_\_\_\_ Fax No: \_\_\_\_\_

## Delegate 2

Title: \_\_\_\_\_ First Name: \_\_\_\_\_ Surname: \_\_\_\_\_

Position: \_\_\_\_\_

Email Address: \_\_\_\_\_

Tel No: \_\_\_\_\_ Fax No: \_\_\_\_\_

## I would like to attend the following seminar

If you are booking within two weeks of the seminar, please email to ensure there are places available: [events@lawsociety.org.uk](mailto:events@lawsociety.org.uk)

1 July, London, The Law Society's Hall, 113 Chancery Lane

6 October, London, The Law Society's Hall, Chancery Lane

8 July, Manchester, Macdonald Manchester Hotel

8 October, Newcastle, The Life Conference Centre

9 September, Cardiff, Law Society Wales Office

22 October, Cambridge, The Trinity Centre

10 September, Bristol, Armada House Conference Centre

23 October, Brighton, Ramada Brighton

17 September, Birmingham, Macdonald Burlington Hotel

10 November, Exeter, Thistle Exeter

24 September, Leicester, Belmont Hotel

17 November, Bournemouth, Best Western Anglo Swiss Hotel

Registration and refreshments 30 mins before start of seminar. Joining instructions will be sent two weeks before the seminar.

## Registration fee

£105 + VAT = £123.37 per delegate

Cheques payable to **The Law Society**

Delegate(s)

Total payment

## Special requirements

Please advise if you have any special requirements \_\_\_\_\_

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## Terms and Conditions

1. Event documentation will be distributed on the day.
2. The Law Society reserves the right to amend or cancel this event. Should the event be cancelled a full refund of any registration fee will be made. The Law Society does not accept liability for any expenses incurred by the delegate as a result of cancellation.
3. Prices may be subject to change and a supplement may be payable for special dietary requirements.
4. The delegate fee is non-refundable - but you may substitute a colleague or event documentation will be sent to you.
5. This booking form constitutes a legally binding contract. The delegate and firm are jointly and severally liable for payment of the fees due.