

Regulatory Committee

6th August 2024

Change of Director – Warwickshire Legal Services Limited

Recommendation(s)

1. That the Committee notes that Mark Randell, Legal Service Manager – Practice Management, is retiring and consequently will resign as a Director of Warwickshire Legal Services Trading Limited (“WLStl”) and
2. That the Committee notes and approves the appointment of Caroline Gutteridge, Legal Service Manager – Commercial & Regulatory as a Director of WLStl.

1.0 Key Issues

- 1.1 WLStl is a wholly owned trading company of Warwickshire County Council. Its function is to enable wider trading of our Legal Services to other public sector clients. The Council is the sole shareholder. WLStl’s current governance structure is:
 - The Council’s Shareholder’s Representative is Sarah Duxbury, Director of Strategy, Planning and Governance.
 - WLStl’s Directors are Mark Randell, Legal Service Manager - Practice Management and Nic Vine, Head of Legal and Governance
- 1.2 Due to Mark Randell’s retirement from the Council, a change of directorship of WLStl is required.
- 1.3 It is proposed that Mark Randell, Legal Service Manager - Practice Management resigns as a director of WLStl and is replaced by Caroline Gutteridge, Legal Service Manager – Commercial & Regulatory. This will ensure that the Director appointed to WLStl has sufficient legal operational oversight to be able to fulfil the Directorship duties.
- 1.4 As an Alternative Business Structure (ABS) under Solicitors Regulatory Authority (SRA) rules, the company must also appoint a Compliance Officer for Legal Practice (COLP) and Compliance Officer Finance and Administration (COFA). Mark Randell is authorised by SRA as COFA. The COFA must of sufficient seniority to fulfil the role and meet certain criteria. Caroline Gutteridge, Legal Service Manager – Commercial & Regulatory meets the relevant requirements to act as COFA and an application will be made to the SRA for the appointment of the COFA. Nic Vine will remain as Director and COLP for WLStl
- 1.5 The ongoing monitoring and overview of the company’s performance will

continue to be undertaken through the Shareholder's Representative and reported through the appropriate officer oversight boards and to members through the annual accounts.

2.0 Financial Implications

3.1 None

3.0 Environmental Implications

3.1 None

4.0 Timescales associated with the decision and next steps

4.1 The change of directors will be actioned at Companies House once approved by the Committee.

5.0 Background papers

5.1 None.

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The report was not circulated to members prior to publication