

Continuing Professional Development Scheme

Advisory

Compliance Audit for CPD Year 2016: CPD-2017-4

Issued on: 28 April 2017

- 1 The Singapore Institute of Legal Education's ('Institute') verification of compliance with CPD requirements for CPD Year 2016, under rule 11 of the CPD Rules 2012, will commence from May 2017 ('CPD Compliance Audit').
- 2 Lawyers who were called on or after 2 January 2001 will form the audit pool. Auditees will be selected from this audit pool.
- 3 As part of the CPD Compliance Audit process, each auditee may be required to:
 - a. produce to the Institute a record of the CPD Activities he/she has undertaken in fulfilment of his/her CPD Points requirements for CPD Year 2016;
 - b. produce evidence in support of such record of CPD Activities for CPD Year 2016; and
 - c. provide a statement of the reason(s) why he/she made a particular CPD Declaration in his/her application for a Practising Certificate for Practice Year 2017, and the particulars of any waiver(s) relied upon.
- 4 The Institute will conduct the CPD Compliance Audit primarily through e-mail correspondence and the ePortfolio system. Each lawyer is therefore encouraged to:
 - a. log into his/her ePortfolio account to update his/her profile information, check that the records for CPD Year 2016 relating to any Accredited CPD Activities undertaken (i.e. Public CPD Points) are correct, and ensure that the records relating to all other CPD Activities undertaken (i.e. Private CPD Points) are updated;
 - b. ensure that his/her evidence of CPD Activities undertaken for CPD Year 2016 is organised and readily accessible so that he/she is able to promptly provide such evidence to the Institute upon request;
 - c. prepare substantiation of the CPD Declaration he/she has made in his/her application for a Practising Certificate for Practice Year 2017.
- 5 Please refer to rules 10 and 11 of the [CPD Rules 2012](#) and paragraphs 24.2 and 24.3 of the [Guide to the SILE CPD Scheme 2017](#) for the types of information and supporting documentation that the Institute may request of a lawyer as part of the CPD Compliance Audit.

Issued on 28 April 2017 by
Office of Continuing Professional Development
Singapore Institute of Legal Education

The following* summarises the types of information and supporting documentation that a lawyer is expected to maintain at minimum and which the Institute may request (without limitation) as part of the CPD Compliance Audit.

A. Record (must be kept for 3 years after the CPD Year it relates to)

Type of CPD Activity	Details to record
Conference, lecture, seminar, workshop or discussion group [rule 3(1)(a) of CPD Rules 2012]	Date(s) CPD Activity was undertaken; name of the CPD Activity and name of the organiser; number of Public or Private CPD Points obtained.
Reviewing a multimedia programme or material, etc. [rule 3(1)(b) of CPD Rules 2012]	Date(s) CPD Activity was undertaken; name of programme or material reviewed, name of author/presenter/organiser; and source of programme or material (e.g. Internet website address); number of Private CPD Points obtained.
Writing and publishing an article in an approved publication [rule 3(1)(c) of CPD Rules 2012]	Date(s) CPD Activity was undertaken; title of article, name of publication, date of publication and number of words; number of Private CPD Points obtained.
Teaching in, or acting in various roles in any course or programme as appointed by the Institute [rule 3(1)(d) of CPD Rules 2012]	Date(s) CPD Activity was undertaken; name of course/examination, year of course/examination and nature of appointment; number of Public CPD Points obtained.
Serving as a member of any committee, sub-committee, working party or advisory panel of the Academy, the Institute or the Society [rule 3(1)(e) of CPD Rules 2012]	Name of committee, nature of appointment and date/term of appointment; number of Private CPD Points obtained.
Performing services for a pro bono programme for law students as a supervisor [rule 3(1)(f) of CPD Rules 2012]	Name of approved pro bono work, name of host organisation, date(s) of participation, name and institution of student(s) supervised; number of Private CPD Points obtained.
Speaking, teaching or participating in a panel discussion in any conference, lecture, seminar or workshop [rule 3(1)(g) of CPD Rules 2012]	Date(s) CPD Activity was undertaken; name of the CPD Activity, name of the organiser, role (e.g. speaker, facilitator, panel member), published duration of engagement in the activity; number of Public or Private CPD Points obtained.

B. Evidence (must be kept for 3 years after the CPD Year it relates to)

Type of CPD Activity	Evidence to maintain
Conference, lecture, seminar, workshop or discussion group [rule 3(1)(a) of CPD Rules 2012]	Proof of the lawyer's registration for the event; receipt of payment for the event; confirmation of the lawyer's attendance or completion by the organiser of the CPD Activity e.g. through a copy of a certificate of completion or attendance setting out the lawyer's full name; copy of the presentation notes or other materials issued for the CPD Activity. [For in-house seminars, the Institute may require the organising firm to furnish the Institute with a copy of the attendance list.]
Small group discussions [rule 3(1)(a) of CPD Rules 2012]	Proof that the activity was organised e.g. an e-mail invitation to the discussion; list of the participants as recorded by the coordinator of the discussion; copy of the notes recorded during the discussion and circulated by the coordinator of the discussion.
Reviewing a multimedia programme or material, etc. [rule 3(1)(b) of CPD Rules 2012]	Proof of registration for the activity; receipt of payment for the activity; confirmation of completion of the CPD Activity; copy of the presentation notes or other materials issued for the CPD Activity.
Writing and publishing an article in an approved publication [rule 3(1)(c) of CPD Rules 2012]	Copy of the cover, and title and imprint pages of the approved publication, as well as of the first and last pages of the article within the approved publication.
Teaching in, or acting in various roles in any course or programme as appointed by the Institute [rule 3(1)(d) of CPD Rules 2012]	Copy of correspondence evidencing the nature of and terms of appointment and term of appointment, setting out the lawyer's full name, practice sessions taught (where applicable).
Serving as a member of any committee, sub-committee, working party or advisory panel of the Academy, the Institute or the Society [rule 3(1)(e) of CPD Rules 2012]	
Performing services for a pro bono programme for law students as a supervisor [rule 3(1)(f) of CPD Rules 2012]	
Speaking, teaching or participating in a panel discussion, during that calendar year, in any conference, lecture, seminar or workshop [rule 3(1)(g) of CPD Rules 2012]	Copy of the activity programme with indication of speakers, panellists etc.; copy of any speaker notes or presentation slides; copy of correspondence evidencing invitation to speak and acceptance of invitation, setting out the lawyer's full name.

C. Particulars of waiver (must be kept for 3 years after the CPD Year it relates to)

Type of waiver	Record and evidence to maintain
Deemed Waiver	Nature of deemed waiver relied upon; dates of statutory maternity leave, long-term medical leave or overseas secondment; supporting documentation (e.g. medical certificates, letter from firm etc.).
Extension Waiver	Copy of Extension Waiver Notice lodged.
Waiver application to CPD Compliance Committee	Copy of Waiver Application Form and Outcome of Application letter from the Institute.

*For reference only and does not form part of SILE Advisory CPD-2017-4.