

## Continuing Professional Development Scheme

### Advisory

#### Compliance Audit for CPD Year 2013: CPD-2014-4

Issued on: 26 May 2014

Last revised: --

- 1 The Singapore Institute of Legal Education's ('Institute') verification of compliance with CPD requirements for CPD Year 2013, under rule 11 of the CPD Rules 2012, will commence from June 2014 ('CPD Compliance Audit').
- 2 Solicitors who were newly-qualified lawyers (i.e. called on or after 2 January 2008) ('NQLs') in CPD Year 2013 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 s/he has undertaken in fulfillment of her/his CPD points requirements for CPD Year 2013;
  - b. produce evidence in support of such record of CPD Activities for CPD Year 2013; and
  - c. provide a statement of the reason(s) why s/he made a particular CPD Declaration in her/his application for a Practising Certificate for Practice Year 2014, and the particulars of any waiver(s) relied upon.
- 4 The Institute will conduct the CPD Compliance Audit primarily via e-mail correspondence and the *ePortfolio* system. Each NQL is therefore encouraged to:
  - a. log into her/his *ePortfolio* account to update her/his profile information and record all the CPD Activities s/he has undertaken for CPD Year 2013 (Public CPD Points and Private CPD Points);
  - b. ensure that her/his evidence of CPD Activities undertaken for CPD Year 2013 is organised and readily accessible so that s/he is able to promptly provide such evidence to the Institute upon request;
  - c. prepare substantiation of the CPD Declaration s/he has made in his application for a Practising Certificate for Practice Year 2014.
- 5 Please refer to rules 10 and 11 of the [CPD Rules 2012](#) and paragraphs 13 and 14 of the [CPD Guidelines 2012](#) for the types of information and supporting documentation that the Institute may request of an NQL as part of the CPD Compliance Audit.

Issued on 26 May 2014 by  
Office of Continuing Professional Development  
Singapore Institute of Legal Education

The following\* summarises the types of information and supporting documentation that an NQL 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; the 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.

**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 your registration for the event; receipt of payment for the event; confirmation of your attendance or completion by the organiser of the CPD Activity e.g. through a copy of a certificate of completion or attendance setting out your 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 Chairman of the discussion; copy of the notes recorded during the discussion and circulated by the Chairman of the discussion.
Reviewing a multimedia programme or material, etc. [rule 3(1)(b) of CPD Rules 2012]	Proof of your registration for the event; receipt of payment for the event; confirmation of your attendance or completion by the organiser of the CPD Activity e.g. through a copy of a certificate of completion or attendance setting out your full name; 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.

**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-2014-4.