

COMPLIANCE AUDIT PROCESS FOR CPD YEAR 2016

PRELIMINARIES

- The Compliance Audit for CPD Year 2016 will commence from early May 2017.
- All correspondence will be conducted through e-mail unless otherwise required by the Institute.
- The e-mail address specified in a solicitor's *ePortfolio* profile will be used for correspondence.
- Solicitors are encouraged to update their CPD Activities in their *ePortfolio* account.
- Solicitors are encouraged to have ready access to their evidence of participation in such CPD Activities.
- Solicitors must comply with the response deadlines specified by the Institute.

SELECTION

- The Audit Pool will comprise solicitors called on or after 2 January 2001.
- Individual auditees will be selected from the Audit Pool.
- Solicitors who were granted Waivers (such as Extension Waivers) may be selected for audit.
- Auditees will receive an e-mail notification that they have been selected for audit.
- Auditees must follow the instructions in such e-mail by the specified deadlines.

RECORD

- The *ePortfolio* system will be the main tool used in this phase of the audit.
- Auditees' *ePortfolio* accounts will display notices indicating that they have been selected for audit and instructing them to update and submit their *ePortfolio* record for CPD Year 2016.
- Auditees must submit a full, up-to-date record of all CPD Activities undertaken by them from 1 January 2016 to the date of the submission of such information.
- Upon submission, auditees will receive a system-generated e-mail confirmation with the details submitted.
- *ePortfolio* remains a live record-keeping tool during the audit process so that solicitors may continue to update their training records for CPD Year 2017.

EVIDENCE

- At this phase of the audit, auditees will be required to produce evidence in support of their record of CPD Activities for CPD Year 2016.
- Auditees may also be required to substantiate the CPD Declaration they have made in their PC application for Practice Year 2017.
- Each auditee will be written to through e-mail for such further information.

CONCLUSION

- Resolution of each individual audit will take place on a case-by-case basis.
- An auditee will be notified of the conclusion of his/her audit.
- Failure to comply with the audit process may result in a reprimand or a complaint of misconduct under section 85 of the Legal Profession Act.