

## COMPLIANCE AUDIT PROCESS FOR CPD YEAR 2020

### PRELIMINARIES

- The Compliance Audit for CPD Year 2020 will commence in May/June 2021.
- All correspondence will be conducted through e-mail unless otherwise required by the Institute.
- The e-mail address specified in a lawyer's ePortfolio profile will be used for correspondence.
- Lawyers are encouraged to update their CPD Activities in their ePortfolio account.
- Lawyers are encouraged to have ready access to their evidence of participation in such CPD Activities.
- Lawyers must comply with the response deadlines specified by the Institute.

### SELECTION

- The Audit Pool will comprise: (i) all lawyers admitted to the Singapore Bar and holding a Singapore practising certificate; and (ii) foreign lawyers registered under section 36B of the Legal Profession Act.
- Individual auditees will be selected from the Audit Pool.
- Lawyers who were granted 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 2020.
- Auditees must submit a full, up-to-date record of all CPD Activities undertaken by them from 1 January 2020 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 lawyers may continue to update their training records for CPD Year 2021.

### EVIDENCE

- At this phase of the audit, auditees may be required to produce evidence in support of their record of CPD Activities for CPD Year 2020.
- Auditees may also be required to substantiate any CPD Declaration they have made in their practising certificate / foreign practitioner certificate application for Practice Year 2021/2022.
- Each auditee will be contacted 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.