



# **Continuing professional development**

## Guide to the Solicitors Regulation Authority CPD scheme

Education & Training Unit  
Last updated: 12 January 2010

## Contents

<b>1. The CPD requirements (from 1 November 2001)</b> .....	<b>3</b>
Requirements in hours.....	3
Part-time employment.....	3
Registered Foreign Lawyers.....	3
CPD activities .....	4
Suspension of the regulations .....	4
Waivers of the CPD requirements .....	4
<b>2. Gaining CPD credit through personal development.....</b>	<b>6</b>
Attendance at accredited courses .....	6
Other CPD activities .....	7
Techniques to establish your training needs and activities.....	9
Career plan .....	9
Analysing training needs.....	10
Training and development plan .....	11
Training record.....	11
Review .....	12
<b>3. Further help and guidance.....</b>	<b>12</b>
Guidance sheets.....	12
Frequently asked questions.....	12
Needs analysis and training and development plan examples.....	17
Training and development plan .....	31
CPD Training Record.....	32

## 1. The CPD requirements (from 1 November 2001)

All solicitors admitted to the roll and Registered European Lawyers (RELs) are required to undertake Continuing Professional Development (CPD). The CPD year runs from 1 November to 31 October, and the requirements are as follows:

### Requirements in hours

Newly qualified solicitors/RELs:

- One hour for each complete month worked from the date of admission/registration to 31 October. Those admitted/registered on 1 November will go straight into their first CPD year.\*

All solicitors/RELs in their first CPD year and in each subsequent year:

- 16 hours\*\*

All solicitors must undertake a compulsory management course during the first three CPD years following admission. The seven hours which the course attracts will count towards the CPD requirement.\*\*\*

### Part-time employment

The requirements are reduced for solicitors/RELs who work part time. For every two hours per week worked, the individual should undertake one hour of CPD each year (eg 20 hours per week worked = 10 hours of CPD each year).

Solicitors/RELs who are working, on average, less than two hours a week may suspend the requirement to undertake CPD.

Further details of requirements for those who work part time are available from the SRA. Please telephone 0870 606 2555.

### Registered Foreign Lawyers

Registered Foreign Lawyers (RFLs) are not subject to the CPD requirements. They should be aware, however, that they may be subject to CPD requirements in their home jurisdiction.

### Notes

- \* Part-time workers who are in a “newly admitted” period are required to undertake one hour of CPD for each complete month, the same requirement as a full-time worker.
- \*\* Solicitors who qualified by undertaking the Law Society Finals Examination or the Qualified Lawyers Transfer Test (QLTT), have a requirement to attend the Financial and Business Skills module (not the exam) and the Client Care and Professional Standards module of the Professional Skills Course (PSC) during their first CPD year. The hours gained from attending these modules will count towards a solicitor’s first-year CPD requirement. No hours can be claimed for undertaking the modules prior to admission.

The following are exempt from the requirement to attend the two PSC modules:

- Solicitors who undertook the LPC and PSC pre admission;
- Solicitors who sat the Professional Conduct & Accounts Heads of QLTT;
- Solicitors transferring from Scotland via QLTT.

\*\*\* The SRA Management Course Stage 1 may be undertaken in the first, second or third CPD year.

### CPD activities

At least 25 per cent of the CPD requirement must be met by participation in accredited courses. Up to 100 per cent of the requirement may be satisfied in this way.

Up to 75 per cent of the requirement may be met through a wide range of activities, such as attendance at accredited or unaccredited courses, writing law books and articles, undertaking NVQs in business and management, and preparation and/or delivery of certain training courses. See [Other CPD activities](#) below for further information.

### Suspension of the regulations

Solicitors/RELS who are not in legal practice or employment due to **illness, unemployment, working abroad or maternity leave** may suspend the CPD regulations while they are out of practice. It is not necessary to make an application to the SRA, although the reason for the suspension and the dates should be entered in the individual's training record.

Solicitors/RELS who are working, on average, less than two hours per week may also suspend the requirement to undertake CPD.

Further details and guidelines relating to the requirements on return to practice are available from the SRA. Please telephone 0870 606 2555.

### Waivers of the CPD requirements

There are no exemptions from the CPD scheme. However, the following waivers do apply:

(Note: In all cases, the number of hours CPD to be completed is **not** affected, and solicitors/RELS are still required to maintain their personal training record.)

Firms with Lexcel / Investors in People accreditation:

- Waiver from the routine monitoring of in-house CPD courses and the requirements to submit details of courses, course tutors and/or discussion group leaders

Solicitors/RELS in firms with Lexcel / Investors in People accreditation:

- Waiver from routine monitoring of training records
- Waiver from the requirement to satisfy a minimum of 25 per cent of the CPD requirement by participation in accredited courses

Solicitors/RELS in firms holding a Legal Aid Franchise:

- Waiver from routine monitoring of training records

Solicitors/RELS in firms holding ISO 9000 accreditation:

- Waiver from routine monitoring of training records

Solicitors/RELS in firms which are authorised in-house CPD providers or part of a consortium authorised as in-house CPD providers:

- Those individuals who develop a training plan which is acceptable to the firm or consortium will be exempt from the requirement to satisfy at least 25 per cent of their CPD requirement by participation in accredited courses

### **The Solicitors' Training Regulations 2009 (Part VI – Continuing Professional Development)**

Please note that Regulation 2(3) (Interpretation and Definitions) of Part 1 of the Solicitors' Training Regulations 2009 defines CPD as follows:

"continuing professional development" means a course, lecture, seminar or other programme or method of study (whether requiring attendance or not) that is relevant to the needs and professional standards of solicitors and complies with guidance issued from time to time by the SRA.

#### **32. Application of Part VI**

This part shall apply to solicitors and to registered European lawyers.

#### **33. CPD requirement during the first three years of admission**

A solicitor must in the first three years following admission attend such continuing professional development courses as the SRA may prescribe.

#### **34. CPD requirement during the first months after admission**

A solicitor must undertake one hour of continuing professional development for each whole month in legal practice or employment between admission and the next 1st day of November.

#### **35. CPD requirement during the first months after registration with the SRA pursuant to EC Directive 98/5/EC**

A registered European lawyer must undertake one hour of continuing professional development for each whole month in legal practice or employment between the date of initial registration and the next 1st day of November.

#### **36. Basic CPD requirement**

Solicitors and registered European lawyers shall undertake 16 hours of continuing professional development during each complete year in legal practice or employment in England and Wales commencing on 1st November 2001 and each subsequent 1st November.

### **37. Requirements for solicitors who have been registered European lawyers**

(1) Where a registered European lawyer is admitted as a solicitor, the regulations 34 and 36 shall apply as if he or she were a solicitor admitted on the date of initial registration and regulations 36 and 49 shall not apply.

(2) Nothing in this part shall be taken as requiring a solicitor to meet the requirements of regulation 33 if he or she has previously been a registered European lawyer.

### **38. Obligation to keep record**

A solicitor or registered European lawyer must keep a record of such continuing professional development undertaken to comply with these regulations and produce the record to the SRA on demand.

### **39. CPD undertaken before admission**

A solicitor who has undertaken continuing professional development between the expiry of a training contract and the day of admission shall be credited with the relevant number of hours for the purpose of regulation 34 provided that at the time of undertaking the continuing professional development an application for admission in accordance with admission regulations current at that time had been lodged with the SRA and a record kept in accordance with Regulation 38.

### **40. Suspension**

If a solicitor or registered European lawyer does not work for any period in legal practice or employment in England and Wales the application of this part is suspended for that period.

### **41. Part-time**

If a solicitor or registered European lawyer works part-time in legal practice or employment, the requirements under this part are reduced on the basis that in each year, one hour of continuing professional development must be undertaken for every two hours per week worked.

## **2. Gaining CPD credit through personal development**

### **Attendance at accredited courses**

**At least 25 per cent** of the requirement must be met by participating in courses offered by providers authorised by the SRA and which require attendance for one hour or more.

"Participation" includes, preparing, delivering and/or attending accredited courses.

"Attendance" means attendance at the complete course. Part attendance does not count at all.

"Course" includes

- face-to-face sessions forming part of a course including those delivered by an authorised distance learning provider; or
- a course wholly provided by distance learning which involves assessment by

- dissertation and written examination; or
- structured coaching sessions, delivered face-to-face, of one hour or more which have written aims and objectives, are documented showing an outcome and are accredited under an authorisation agreement; or
- structured mentoring sessions involving professional development, delivered face-to-face, of one hour or more which have written aims and objectives, are documented showing an outcome and are accredited under an authorisation agreement.

### Other CPD activities

The remaining 75 per cent of the requirement may be met by participating in the activities as described above. However, this 75 per cent may also be met through undertaking a wide range of other activities.

Participation in accredited courses	<ul style="list-style-type: none"> <li>Preparing, delivering, and/or attending complete courses of at least 30 minutes but less than one hour in length</li> <li>Actual time may be claimed.</li> </ul>
Participation in non-accredited courses	<ul style="list-style-type: none"> <li>Preparing, delivering and/or attending courses, which are of particular relevance and benefit to an individual's area of work which last more than 30 minutes</li> <li>Actual time may be claimed.</li> </ul>
Coaching and mentoring sessions of less than one hour	<ul style="list-style-type: none"> <li>Structured coaching sessions and structured mentoring sessions involving professional development, delivered face-to-face lasting between 30 minutes and one hour which have written aims and objectives, are documented showing an outcome and are accredited under an authorisation agreement</li> <li>Actual time may be claimed.</li> </ul>
Coaching and mentoring sessions delivered from a distance	<ul style="list-style-type: none"> <li>Structured coaching sessions or structured mentoring sessions involving professional development, delivered from a distance eg by telephone, email or fax, of 30 minutes or more which have written aims and objectives, are documented showing an outcome and are accredited under an authorisation agreement.</li> <li>Actual time may be claimed.</li> </ul>

Writing on law or practice	<ul style="list-style-type: none"> <li>• For example law books, journals, publications for clients, clients own publications, newspapers and magazines (whether legal publications or not), on the Internet</li> <li>• Topics may include, for example, law practice, issues arising from transactions, clients, markets, industries, products.</li> <li>• Actual time may be claimed.</li> </ul>
Work shadowing	<ul style="list-style-type: none"> <li>• Participation in structured work shadowing schemes with clear aims and objectives and requiring feedback or reflection on the activity</li> <li>• Actual time may be claimed.</li> </ul>
Research	<ul style="list-style-type: none"> <li>• Research which relates to legal topics or has relevance to the practice/organisation which results in some form of written document, precedent, memorandum, questionnaire/survey etc.</li> <li>• Actual time may be claimed.</li> </ul>
Production of a dissertation	<ul style="list-style-type: none"> <li>• Study for or production of a dissertation counting towards a qualification recognised by the SRA</li> <li>• Actual time may be claimed.</li> </ul>
Watching videotapes and/or listening to audio cassettes offered by authorised providers	<ul style="list-style-type: none"> <li>• Actual time may be claimed.</li> </ul>
Distance-learning courses where there is provision for the answering of enquiries or for discussion	<ul style="list-style-type: none"> <li>• Distance-learning courses may be delivered by correspondence, video and audio cassettes, television or radio broadcasts and computer based learning programmes.</li> <li>• Actual time may be claimed.</li> </ul>
Preparation and delivery of training courses forming part of the process of qualification or post admission training	<ul style="list-style-type: none"> <li>• Actual time may be claimed.</li> </ul>
Work towards the Training and Development lead body Units D32 D33 and D34 relating to assessing and verifying the achievement of National Vocational Qualifications.	<ul style="list-style-type: none"> <li>• Actual time spent building a portfolio of evidence and/or attending lectures, workshops, etc may be claimed.</li> </ul>
Participating in the development of specialist areas of law and practice by attending meetings of specialist committees and/or working parties of relevant professional or other competent bodies charged with such work.	<ul style="list-style-type: none"> <li>• Actual time spent at meetings may be claimed.</li> </ul>



Work towards the achievement of an NVQ in any business-related area and at any level.	<ul style="list-style-type: none"> <li>• Actual time spent building a portfolio of evidence and/or attending lectures, workshops, etc may be claimed.</li> </ul>
Study towards professional qualifications	<ul style="list-style-type: none"> <li>• Examination must be taken to claim time for study and examination itself.</li> <li>• Actual time spent in study and examination may be claimed.</li> </ul>

### Note

To count towards meeting CPD requirements the activity should be at an appropriate level and contribute to a solicitor's general professional skill and knowledge and not merely advance a particular fee-earning matter.

### Techniques to establish your training needs and activities

These notes contain forms which may be useful in determining how to make best use of the CPD scheme and derive maximum benefit from it. Unplanned activity is very unlikely to bring the maximum return on your investment in terms of time and money.

The forms are

- training needs analysis form
- sample completed training and development plan
- sample completed training record
- blank training and development plan
- blank training record

Remember that the responsibility for meeting the CPD requirements and for personal development as a solicitor rightly falls on the individual and not on the firm. Training needs of all individuals must, therefore, be carefully analysed and discussed within firms so as to derive the maximum value from the CPD scheme for both individual solicitors and the firm as a whole.

### Career plan

Before embarking on an analysis of training needs it is advisable to devise a career plan, setting yourself short, medium and long term goals. It is essential that there is flexibility in such a plan to allow for unforeseen circumstances, particularly in the longer term.

It is helpful to set specific targets for each goal, together with deadlines by which these targets should have been achieved.

It may be useful to look at your career in terms of immediate, short-term (one-year), medium-term (three-year) and long-term (five-year) objectives.

For each of these stages, it is useful to ask questions such as the following:

- In what way can the current state of your practice be improved?
- What do you want to achieve and by when?

- Where to you want to be in X years time in terms of your practice and the work?
- What further developments do you currently need?
- What further personal or career developments do you want to undertake and by when?
- How does the achievement of your earlier goals contribute to the progress you want to achieve?

### **Analysing training needs**

Worked examples of training needs analysis forms are attached for solicitors at different stages of their careers.

Carry out the analysis as follows:

#### **Section A and B - Strengths/Weaknesses**

1. Make a list of those areas of your work which are critical to the overall performance of your firm or department. These are your Key Result Areas. Look also at any objectives you have been set and your job description if you have one.
2. Record those that you perform well in Section A (Strengths).
3. Record those that require improvement in Section B. There is an opportunity on the form to note any blockages/obstacles which were caused by external influences rather than as a result of insufficient skill or knowledge. The causes of these obstacles/blockages and a strategy to overcome them should be investigated and discussed with a partner or partners, the senior partner or at a team meeting.
4. Consider and note down the skills and knowledge relevant to each item.

Remember throughout to consider your own personal qualities as well as your skill/knowledge in relation to each Key Result Area.

#### **Section C - Opportunities**

In this section you should consider opportunities for both career and personal development and it is useful to think ahead for at least three years. At the same time, many factors can affect possible career moves and so it is important to identify a range of options.

Be realistic, but do not undervalue what you can achieve.

Think about

- advancing in your current legal field
- moving into a different legal field
- taking on management responsibilities
- setting up on your own
- achieving partnership
- preparing for retirement etc.

Having thought through your options, identify those which are the most realistic and then consider what the implications are of this in terms of the action and development you need to take. Put a note of the skills and knowledge you need to acquire on the form.

## **Section D - Threats**

Changes are of course not always threats – they can be opportunities, too. Nevertheless, it is essential to try to prepare for them, and it can be useful to see them as a threat to your effectiveness now or in the future. This enables you to take these changes into account when looking at your training and development plan and preparing yourself positively to tackle them.

Consider each Key Result Area in turn and consider likely changes over the next 12 months. These may include issues such as:

- new technology
- changes in Government policy
- declining markets
- regulatory changes
- new market opportunities
- the state of the economy

In the "threats" section, look at each area of change and consider what you need to acquire in terms of skills and knowledge in order to deal with them.

## **Training and development plan**

Having completed the Training and Development Needs Analysis, you are in a position to formulate your training and development plan.

1. Prioritise the needs identified in the analysis, considering how important or essential each one is. Attach a timescale to the needs, giving top priority to those which are important/essential.
2. Consider the methods most appropriate to the development you have identified. The most effective training is not always attending courses and a wide range of activities now attract CPD credit.

Examples of completed training and development plans for solicitors at different stages of their careers are included.

3. Indicate the priority for each activity according to its urgency.

## **Training record**

It is a requirement under the Solicitors' Training Regulations that a record of training is kept. A sample of a completed training record is included. The SRA can ask to see your record at any time. It is obviously much easier to keep your record as the development takes place rather than trying to recreate a record going back some years when requested by the SRA. Remember it is the responsibility of the individual (not the firm) to maintain the record and supply it to the SRA.

## Review

It is important to review your training and development needs and plans on a regular basis, to discuss them within your firm, and to take into account any changes which have influenced these plans. Your plan should then be revised appropriately, and the process should recommence with an analysis of training needs.

## 3. Further help and guidance

If you have any queries or need assistance, please check in the first instance the [Frequently Asked Questions](#) section of this booklet.

If your query remains unanswered, then please contact the Contact Centre on 0870 606 2555. This team will be able to help with

- general advice and guidance
- provision of course subject lists

## Guidance sheets

In addition, the SRA produces guidance sheets on

- suspension of the Regulations
- part-time working
- quality standards and CPD
- development plans and CPD
- gaining CPD credit for participation in non-accredited activities
- gaining CPD credit through participation in specialist committees and working groups
- courses offered by authorised providers delivered by audio/visual means
- coaching and mentoring guidance note for solicitors

These can be requested by contacting the number above.

## Frequently asked questions

### 1. Who is required to undertake continuing professional development?

All solicitors admitted to the roll and Registered European Lawyers, whether or not they have a current practising certificate, are required to undertake CPD if they are in legal employment/practice in England and Wales.

Solicitors/registered European lawyers must keep their own record of CPD activities undertaken together with the amount of CPD credit claimed. A blank personal training record is printed inside the back cover of this booklet.

Registered Foreign Lawyers are not subject to the CPD requirements, although they may be subject to requirements in their home jurisdiction.

## 2. How many CPD hours are solicitors required to obtain?

The requirements are

- newly admitted solicitors one hour for every complete month from the date of admission up to the following 31 October.
- 16 hours a year in the first CPD year and in each subsequent year plus compulsory courses as appropriate.

Solicitors admitted on 1 November will go straight into their first CPD year.

## 3. How many CPD hours are RELs required to obtain?

The requirements are:

- one hour for every complete month from the date of registration up to the following 31 October.
- 16 hours a year in the first CPD year and in each subsequent year.

European Lawyers who are registered on 1 November will go straight into their first CPD year.

## 4. Are solicitors required to attend any compulsory courses?

Attendance at compulsory courses only applies to newly qualified solicitors. Solicitors in the **first CPD year** are required to attend **the Client Care and Professional Standards module and the Financial and Business Skills module of the Professional Skills Course (PSC)**.

Exemptions may be claimed by:

- those who have attended the relevant modules of the PSC prior to admission;
- those who qualified by attending a Legal Practice Course (LPC) and completing all modules of the PSC;
- those who transferred from another jurisdiction and who passed the Professional Conduct and Accounts paper of the Qualified Lawyers Transfer Test (QLTT).
- **Solicitors transferring from Scotland via Qualified Lawyers Transfer Test (QLTT).**

Solicitors are not required to write in for confirmation where the above applies. All other solicitors are required to attend the two PSC modules by the end of their first CPD year. **CPD credit may be claimed** for attending the modules after admission.

Solicitors are also required to attend the compulsory Management Course Stage 1 before the end of their third CPD year. **CPD hours may be claimed** for attending the compulsory management course.

An application can be made for exemption from the Management Course Stage 1 if a solicitor has, within the last five years, had significant experience of a solicitor's practice and of management issues as they arise in practice (giving examples of experience gained in at least three of the five topic areas of the course), or attended a similar course which covered the same ground.

## 5. Are RELs required to attend any compulsory courses?

No

**6. What is the requirement for solicitors/REs who work part time?**

The requirement is reduced and is one CPD hour per year for every two hours a week worked ie a solicitor/Registered European Lawyer who works 20 hours a week is required to undertake 10 hours a year CPD. Solicitors/registered European lawyers who work, on average, less than two hours a week may suspend the requirement to undertake CPD.

**7. When does the CPD year start and end?**

The CPD year runs from 1 November to 31 October each year.

**8. How is the CPD year calculated?**

A solicitor's/REs first full CPD year starts on 1 November following his/her date of admission/registration. Solicitors/REs admitted on 1 November enter their first CPD year immediately.

However, there are exceptions. For example:

Solicitors who have been out of practice for a period of time. Details of the calculations for these solicitors/REs are included in Suspension Guidelines which are available from the SRA by telephoning 0870 606 2555.

**9. What training records do solicitors/REs have to maintain?**

A copy of a sample training record is printed at the back of this booklet. This can be photocopied and used in respect of each CPD year. It is the **individual's** responsibility to maintain a record of the training undertaken and the number of hours CPD accrued. Please note the SRA does not keep records for individual solicitors and sight of training records can be requested at any time. It is also advisable to enter any calculations in respect of CPD requirements and employment details into the training record. The record should be kept for a period of up to six years.

**10. Which activities qualify for CPD credit?**

See [CPD activities](#) above.

**11. How is CPD credit claimed?**

**Attendance at courses:**

Course providers will notify delegates who attend their courses of the number of hours credit allocated and the provider's reference. This information, together with the date and course title, should be entered into the training record.

**Distance learning courses:**

The name of the course provider, the provider's reference, the course title, the date(s) the course was undertaken and the number of hours credit should be entered into the training record.

**Other activities:**

These activities include delivery/preparation of courses, coaching/mentoring, writing books/articles and research. Details of the activity and the number of hours undertaken should be entered on the training record. It is advisable to enter details of all developmental activities even if a solicitor is unsure whether it would qualify for CPD credit.

**12. Where can information about accredited courses be found?**

Lists of authorised providers, by broad subject area, are available from the Contact Centre on 0870 606 2555.

**13. Can trainee solicitors accrue credit prior to admission?**

Trainee solicitors may only count CPD credit for courses attended after their training has been satisfactorily completed and an application for admission lodged with the SRA.

**14. Can hours be carried over to the following CPD year?**

The CPD requirement of 16 hours a year is a minimum requirement. Therefore, any hours accrued over and above the minimum cannot be carried over to the next period.

**15. What should a solicitor/REL do if he/she is unable to comply?**

The SRA recognises that on occasions and in certain circumstances some individuals may have difficulty in complying with the requirements. The SRA's aim is to, as far as possible, assist solicitors to bring themselves into compliance rather than to penalise. Any solicitor who finds him/herself in difficulty should contact the Contact Centre immediately on 0870 606 2555 indicating what training, if any, he/she has already undertaken and the reasons for his/her non-compliance. The SRA may grant an extension of time to make up any shortfall or grant a concession to attend a specific course outside the CPD year.

However, please note that persistent non-compliance is considered a serious matter and may result in delays in issuing a practising certificate or possible disciplinary procedures.

**16. What happens if a solicitor/REL is not in practice for a period of time?**

Solicitors/RELs who are not working in practice or legal employment within England and Wales due to: **illness, unemployment, maternity leave or working abroad** may suspend the CPD requirements.

An application to the SRA is not required. The dates of and reason(s) for the suspension should be entered on to the training record. Guidelines are available from the SRA by telephoning 0870 606 2555.

**17. What are the requirements for a solicitor/REL who has returned to practice following a period of suspension?**

The requirements for individuals returning to practice following a suspension depend upon a number of factors. Contact the SRA by telephoning 0870 606 2555 for a copy of the Suspension Guidelines. The Contact Centre can give advice on individual circumstances. To enable the SRA to provide the information relevant to the individual's circumstances the following information will be requested:

- His/her date of admission
- Whether he/she worked prior to the suspension
- Whether he/she is returning to work part time or full time
- Whether he/she will be in permanent or temporary employment
- Details of CPD undertaken with dates
- Dates of period(s) of suspension of the CPD requirements

**18. What do the CPD questions on the practising certificate application form mean?**

When making an application for a practising certificate, individuals are asked to confirm whether or not they have complied with the CPD requirements during the last complete CPD year e.g. when applying for a practising certificate in 2007 the question relates to the solicitor's CPD position at 31 October 2006.

Therefore, please note:

- Newly qualified solicitors/recently RELs who are making an application for the first time would not have completed a year and cannot indicate their compliance. The 'not applicable' box should be ticked on the form.
- Solicitors/RELs who are subject to the requirement and were out of practice during the whole of that CPD year or at the end of the year are entitled to a suspension of the requirements, and should indicate that they suspended the requirements by ticking the 'not applicable' box on the form.

Detailed guidance on completing the RF1 and RF3 forms accompany those forms each year.



**19. What is the position in relation to solicitors/REs whose firm/employer will not pay for their CPD or who are on low incomes?**

It is an individual's responsibility to ensure compliance with the CPD requirements. Firms/employers are not obliged to pay for CPD courses or allow time off to attend courses. Individuals in these circumstances are advised to consider:

- Contacting their local law society. Many local law societies hold courses at reasonable costs.
- Undertaking distance learning courses which may be more cost effective. Certain legal journals are also authorised for CPD purposes.
- Contacting providers to establish whether they operate a discount or subscription scheme.
- Contacting special interest groups such as the Association of Women Solicitors, Resolutions and the Young Solicitors' Group. These organisations tend to offer courses at reasonable fees.
- Attending as a guest at in-house courses. Many firms of solicitors are authorised to offer CPD courses in-house. If you are in contact with any such firms, they might be prepared to invite you to attend their courses as a guest. They will not be able to charge you if they have a normal in-house agreement.

A list of providers of CPD courses can be requested from the SRA by telephoning 0870 606 2555.

**20. Are there any exemptions from the scheme?**

There are no exemptions from the scheme itself but there are waivers from some of the requirements.

**Needs analysis and training and development plan examples**

Unplanned training and development activity is very unlikely to bring the maximum return on your investment in terms of time and money.

The SRA encourages all solicitors to plan their training activity and to tie in individual training and development needs with those of the firm to meet business objectives. Those solicitors working in firms holding the Investor in People Award will be familiar with this approach.

This section contains example Needs Analysis and Training and Development Plans for the following:

- a newly admitted solicitor
- a solicitor with four years post-qualification experience
- a senior solicitor

Blank forms which may be copied for use in your own development plan, together with guidance on the planning process.

**Profile: Newly qualified solicitor in high street practice**

A newly qualified solicitor in a high street practice, undertaking primarily personal injury work but also employment law. She is the only solicitor undertaking any employment law work in the practice. She undertakes some legal aid work on PI. This solicitor aspires to membership of the Personal Injury Accreditation Scheme. She is also keen to make her mark early in her career and is IT literate.

**Example Analysis of Development Needs**

**Section A - Strengths**

<b>Performance in Key Result Areas</b>	
<b>Key result area</b>	<b>Strengths</b>
Knowledge - up-to-date with current law IT literate - interested in using IT to improve efficiency Enthusiasm - for subject and practice	
<b>Additional skills and knowledge required - development needs</b>	
Improve own keyboard skills to make best use of IT. Need to find a way of keeping up-to-date with law.	

**Section B - Weaknesses**

<b>Performance in Key Result Areas</b>	
<b>Key result area</b>	<b>Improvements required</b>
Poor time management - too reactive Lack of training/experience in costing Incomplete understanding of medical reports	
<b>Blockages/Obstacles that arose from external influences</b>	
<b>Additional skills and knowledge required - development needs</b>	
Better management of own time Better knowledge of costs to maximise billing potential Better understanding of medical reports to progress PI cases more effectively	

## Example Analysis of Development Needs

### Section C - Opportunities

<b>Opportunities</b>	
<b>Options</b>	<b>Action required</b>
Membership of specialist groups	Use them as source of training and resources
Grow PI and employment work	Establish successful department - meet billing targets
Appraisal system	Use to work towards standardisation of documents through support staff etc.

### Section D - Threats

<b>Threats</b>	
<b>Potential changes</b>	<b>Action required</b>
Professional isolation as only employment lawyer and falling behind	<ul style="list-style-type: none"><li>- Build relationships with specialist groups</li><li>- Build action plan to keep up-to-date</li></ul>

## Example training and development plan

Development Activity	Knowledge and/or skills to be developed	Priority	Development strategy/methods	Providers	Start date	End date
Keyboard skills	Improve typing. Familiarise self with PC's capabilities. Find shortcuts.	Medium	(i) Use of interactive CD Rom typing package	External provider	1/03	6/03
			(ii) Regular in-house small group WP training	In-house	2/04	-
Time management	Improve management of own time	High	(i) External training - to consolidate previous time management training	External	12/03	12/03
			(ii) Set targets for delegation etc in appraisal	In-house	10/03	-
			(iii) Compare experience with my peers and colleagues who work efficiently	In-house	10/03	10/03
Costing	Effective costing/billing	Medium	(i) In-house seminar from costs draftsman		2/04	2/04
			(ii) Shadow staff who prepare files for costing, taxation, loss adjustment	In-house	2/04	2/04
Medical reports	Improve understanding of medical reports	High	(i) External course	External provider	10/03	10/03
			(ii) Join active medico-legal society		8/03	

**Profile: Solicitor in medium sized firm with four years' post qualification experience**

A solicitor with four years' PQE specialising in health property matters, in particular the development of primary health care premises in central London through "Red Book" funding (statement of fees and allowances for GPs). There are currently opportunities for the solicitor to participate in seminars which the firm offer to clients, to write articles on legal issues in this area and to take part in teaching sessions for junior professional staff. The solicitor works on transactions and projects involving professional staff from a number of departments in the firm as well as with other solicitors in her own group. She hopes to be considered in the next two years for promotion to an Associate; that position would entail some supervision and management of junior staff in her department.

**Example Analysis of Development Needs**

**Section A - Strengths**

<b>Performance in Key Result Areas</b>	
<b>Key result area</b>	<b>Strengths</b>
Four years' successful PQE in specialist area of law	
<b>Additional skills and knowledge required - development needs</b>	
Further development of specialist knowledge to highest level, in particular in law relating to rent review, property and landlord's repairing covenants.	

**Section B - Weaknesses**

<b>Performance in Key Result Areas</b>	
<b>Key result area</b>	<b>Improvements required</b>
Team working	More effective work as a team rather than group of individuals.
Legal knowledge (potentially)	Currently good, but danger of becoming outdated at this point in my career.
<b>Blockages/Obstacles that arose from external influences</b>	
Extended period of illness.	

**Additional skills and knowledge required - development needs**

Knowledge of team working in theory and in practice.

Specialist legal knowledge - formal update required.

**Section C - Opportunities**

<b>Opportunities</b>	
<b>Options</b>	<b>Action required</b>
Possible progression to Associate with some supervision/management	Prepare self with skills of supervision/management of staff.
Participation in client seminars	Further develop presentation skills - particularly to non- technical audiences.
Writing articles on legal issues	Course specifically for lawyers on article writing and practice in-house.

**Section D - Threats**

<b>Threats</b>	
<b>Potential changes</b>	<b>Action required</b>
Role requiring a greater management input - lack of formal training.	Assess management skills and undertake appropriate development.
Changes to nature of primary health care in London.	Bring self up-to-date and develop commercial awareness of sector.

## Example training and development plan

Development Activity	Knowledge and/or skills to be developed	Priority	Development strategy/methods	Providers	Start date	End date
Develop commercial awareness	Commercial update on issues relating to the future of primary health care in London	High	External course	7 hours	11/03	11/03
Update knowledge of rent review law	Knowledge of current practice and latest case law	High	Internal seminar	Firm 1 hour 15 minutes	10/03	10/03
Management Training	Team working skills	Low	Specialist external course "Building Effective Teams" for lawyers	External - bespoke for firm 8 hours	5/04	5/04
Update knowledge of property tax law	Knowledge of latest cases and general update	High	External seminar: Commercial property transactions - taxation aspects	3 hours	12/03	12/03
Presentation skills	Presentation skills	High	(1) Course: Presentation Skills (2) Participation in client seminar on taxation aspects of commercial property transactions	(1) External course - bespoke for firm : 8 hours (2) Preparation: 4 hours; Delivery: 1 hour	11/03 1/04	11/03 1/04
Management Training	Supervision and management of staff skills	Low	Course : Effective People Management	External 6 hours	Summer 2004	Summer 2004
Develop writing skills	Article writing	Medium High	(1) Course: Article Writing for Lawyers (2) Writing article for firm's Health Law Bulletin re development in property law	(1) External - 2 hours (2) Preparation and research: 6 hours 30 minutes	12/03	1/04 onwards
Update knowledge of Landlord's repairing covenants	Knowledge of current practice and update on case law	High	Internal seminar	1 hour 15 minutes	1/04	1/04
Update knowledge of commercial property law	Knowledge of latest cases and general update	High	Internal seminar	1 hr 15 minutes	2/03	2/03

**Profile: Senior solicitor with 25 years' experience**

A senior solicitor with 25 years' experience in the commercial work with a large city firm. Recently returned from a five-year secondment to Hong Kong where the project was to establish a new branch office. Upon return to the UK has assumed the role of senior partner and hence a strategic management role.

**Example Analysis of Development Needs**

**Section A - Strengths**

<b>Performance in Key Result Areas</b>	
<b>Key result area</b>	<b>Strengths</b>
	Experience - 25 years in commercial work. Broad experience of transactions and clients. Recent experience abroad setting up office in Hong Kong
<b>Additional skills and knowledge required - development needs</b>	
Broader view of opportunities and problems in planning strategic development.	

**Section B - Weaknesses**

<b>Performance in Key Result Areas</b>	
<b>Key result area</b>	<b>Improvements required</b>
	No formal training for current post of senior partner. No formal training in financial analysis and planning or people management.
<b>Blockages/Obstacles that arose from external influences</b>	
Absence from UK for last five years. Unfamiliar with current concerns of client and own partners.	
<b>Additional skills and knowledge required - development needs</b>	
Commercial understanding of economic environment, constraints of commercial legal practice, management techniques to plan strategic development, people management and financial management.	



### Section C - Options and Action

<b>Opportunities</b>	
<b>Options</b>	<b>Action required</b>
Time to spend on broader issues. No day to day responsibility for fee earning.	Allocate time out of day to activities. Resist attraction of fee-earning.

### Section D - Threats

<b>Threats</b>	
<b>Potential changes</b>	<b>Action required</b>
Unfamiliar with current practice in city. Interview partners to update knowledge. May assume situation is still as it is Suspended judgement. Remembered when last here. Listen to fellow partners' views and concerns.	

## Example training and development plan

Development Activity	Knowledge and/or skills to be developed	Priority	Development strategy/methods	Providers	Start Date	Finish Date
Interviews with selected partners	Listening skills, knowledge of market place and opportunities for new business	3	Set up timetable for meetings.	In-house	17/4/04	30/4/04
Strategic planning	Financial analysis. Marketing opportunities. Process for strategic planning.	3	Attend short intensive course for senior captains of industry.	London Business School	9/5/04	16/5/04
Listening and Communication Skills	How to listen. How to persuade.	1	Formal course set up in-house by external provider.	Inst. of Management	15/4/04	16/5/04
Opportunities for client transactions	Opportunities for development of our clients' business.	4	Attend Inst. of Directors Courses for selected industrial sectors.	I.O.D	late summer 2003	
Marketing Planning	How to market professional services.	5	Coaching from marketing adviser.	In-house adviser	1/5/04 onwards	

#### 4. Sample Forms

Form A

##### *Analysis of Development Needs*

###### Section A - Strengths

<b>Performance in Key Result Areas</b>	
<b>Key result area</b>	<b>Strengths</b>
<b>Additional skills and knowledge required - development needs</b>	

###### Section B - Weaknesses

<b>Performance in Key Result Areas</b>	
<b>Key result area</b>	<b>Improvements required</b>
<b>Blockages/Obstacles that arose from external influences</b>	
<b>Additional skills and knowledge required - development needs</b>	

**Section C - Opportunities**

<b>Opportunities</b>	
<b>Options</b>	<b>Action required</b>

**Section D - Threats**

<b>Threats</b>	
<b>Potential changes</b>	<b>Action required</b>

### Example of a training and development plan

Development Activity	Knowledge and/or skills to be developed	Priority	Development strategy/methods	Providers	Start date	End date
Develop commercial awareness	Commercial update on issues relating to the future of primary health care in London	High	External course	7 hours	1/00	11/00
Update knowledge of rent review law	Knowledge of current practice and latest case law	High	Internal seminar	Firm 1 hour 15 minutes	10/00	0/00
Management Training	Team working skills	Low	Specialist external course "Building Effective Teams" for lawyers	External - bespoke for firm 8 hours	5/01	5/01
Update knowledge of property tax law	Knowledge of latest cases and general update	High	External seminar: Commercial property transactions - taxation aspects	3 hours	12/00	12/00
Presentation skills	Presentation skills	High	(1) Course: Presentation Skills  (2) Participation in client seminar on taxation aspects of commercial property transactions	(1) External course - bespoke for firm : 8 hours  (2) Preparation: 4 hours; Delivery: 1 hour	11/00  1/01	11/00  1/01
Management Training	Supervision and management of staff skills	Low	Course : Effective People Management	External 6 hours	Summer 2001	Summer 2001
Develop writing skills	Article writing	Medium  High	(1) Course: Article Writing for Lawyers  (2) Writing article for firm's Health Law Bulletin re development in property law	(1) External - 2 hours  (2) Preparation and research: 6 hours 30 minutes	12/00	1/01 onwards
Update knowledge of Landlord's repairing covenants	Knowledge of current practice and update on case law	High	Internal seminar	1 hour 15 minutes	1/01	1/01
Update knowledge of commercial property law	Knowledge of latest cases and general update	High	Internal seminar	1 hr 15 minutes	2/01	2/01

### Example of a CPD Training Record

(To be kept for a period of at least six years)

Name.....roll/identifier number.....Date of admission.....Period from.....to.....

CPD requirement for this period.....hours

Date	Training activity (for course attendance, indicate course title, provider name and reference otherwise state how activity was undertaken)	Comments	Number of hours credit
e.g. 10.11.00	Attendance at update on Revenue Law (in-house) 123/ABCD video and discussion	Provided a review of the provisions in the budget which need to be taken into account when advising on personal investments and will planning	2 hours and 10 mins
12.12.00	Time spent on building portfolio of evidence for NVQ in management	Prepared and gathered evidence in respect of units on budgeting and recruitment interviews	3 hours
06.01.01	Attended course run by Institute of Taxation on legal aspects of taxation practice	Of great value to see the legal issues from a non-lawyer's point of view. This will help in preparing a new approach to putting across some of these issues	4 hours
29.01.01	Delivery of course on case management at in-house accredited course	Formal presentation, leading of discussions, feedback on case studies worked through by delegates	2 hours and 15 minutes

**Training and development plan**

Name ..... Roll/identifier number ..... Date of admission ..... Period from ..... to .....

CPD requirement for this period ..... hours

Development activity	Knowledge and/or skills to be developed	Priority	Development strategy/methods	Providers	Start date	End date

**CPD Training Record**

(To be kept for a period of at least six years)

Name.....roll/identifier number.....Date of admission.....period from.....to.....

CPD requirement for this period.....hours

<b>Date</b>	<b>Training activity (for course attendance indicate course title, provider name and provider reference if an accredited course). If non-accredited activity, please indicate.</b>	<b>Comments</b>	<b>Number of hours credit</b>