# Authorised Required CPD for Trainees and Mandatory Ethics Course Provider Renewal Form

Required CPD for trainees is commonly referred to as "TCPD" (also known as Trainee CPD) and the term TCPD is used throughout this document.

Authorised providers of TCPD are entitled to self-accredit their courses, provided that those courses meet the TCPD standards (set out in full in Appendix A). For the purposes of renewing a TCPD licence, we rely on evidence of appropriate and meaningful reflection by training providers on their course delivery.

You will be invoiced for the licence, following the submission of your application.

## Provider details

|  |  |
| --- | --- |
| Name of Provider |  |
| Name of Principal Contact |  |
| Licences held (delete as applicable) | Internal / External / Mandatory Ethics Course |

## Changes to Your TCPD Offering

In this section, we ask you to reflect on the changes you have made or plan to make to the TCPD that you offer. When providing your reflection, consider any changes that you have made that are linked to the following standards (in full at Appendix A):

Standard 1: Support achievement of the PEAT 2 Outcomes

Standard 2: Programme information

Standard 3: Course materials

Standard 4: Be pitched at an appropriate level to trainees

Standard 5: Course Tutors and Speakers

Standard 6: Delivery methods

Standard 7: Trainee Interaction

Standard 8: Course venue and accommodation

Standard 12: Mandatory Ethics Course Content

|  |
| --- |
| Past changes - Please describe any changes that have been made to your TCPD offering since you were last licenced and which link to any of the TCPD Standards (see Appendix A). Please also explain the reasons for these changes (e.g. whether they were made in response to feedback). |
|  |

|  |
| --- |
| Planned changes - Please describe any changes that you plan to make to your TCPD offering and which link to any of the TCPD Standards (see Appendix A). As above, please also explain the reasons for these changes. |
|  |

## Administration and Verifiability

In this section, we ask you to reflect on the outcomes of your administration or verifiability processes (standards 9 and 10).

|  |
| --- |
| Have any concerns been raised by trainees about your administration or verifiability processes? If so, please explain, including any action you took to resolve or change these, if not already mentioned above. |
|  |

## Your Feedback Processes

In this section, we ask you to reflect on the effectiveness of your feedback and evaluation processes (standard 11).

|  |
| --- |
| 1. Do you continue to review the feedback that you get after each course, including the quality of that feedback? 2. If not already discussed in this report, were there any actions stemming from those reviews? 3. Have you changed how you collect feedback? If so, how? |
|  |

## Good Practice (optional question)

|  |
| --- |
| Please highlight any elements of your provision that you would consider either good practice or innovative, or which have worked particularly well during the licensing period. |
|  |

## Feedback

You must attach to this renewal application a representative sample of feedback that you have received from your trainees/attendees, from courses that you have delivered in the last 12 months.

## Declaration

|  |  |
| --- | --- |
| I certify that the information provided in this application form is correct at the time of submission. | |
| Name: |  |
| Date: |  |

# Appendix A: The TCPD Standards

**Standard 1: Support achievement of the PEAT 2 Outcomes** - TCPD must support the achievement of the PEAT 2 Outcomes and *The Standard of The Qualifying Solicitor*.

**Standard 2: Programme information** - Programme information/ materials should specify:

* Clearly defined aims and learning outcomes.
* Course content.
* The target audience (e.g. new starts, 1st/ 2nd year trainees) and assumed prior knowledge/experience.
* Suggested readings and future learning support (if applicable)

**Standard 3: Course materials** - course materials must be clearly organised, up-to-date, accurate and comprehensive. It should be made clear to trainees how the materials will be used (for example, for background reading, future reference or use during the course). Course materials should include:

* A timetable;
* Relevant cases, legislation or regulation; and
* Details of the presentation method and any suggested further reading.

**Standard 4: Be pitched at an appropriate level to trainees** - The content of a course should meet the aims and intended learning outcomes of the course, should be up-to-date and accurate and relevant to level of the target trainees and their work.

**Standard 5: Course Tutors and Speakers** - Tutors/speakers must:

* Have qualifications or experience relevant to delivering the course.
* Possess practical skills for effective presentation.
* Be able to facilitate discussions and answer questions appropriately.
* Be a fit and proper person to deliver the course.

Providers may use their own staff or external speakers to present.

**Standard 6: Delivery methods** – TCPD can be delivered by/through use of:

* Courses, seminars, lectures
* Role plays, workshops, simulated transactions and case studies
* Conferences
* Briefings
* Online learning and distance learning courses

The method of presentation used should be relevant to trainees' needs and course aims and should be thoughtfully varied to support learning.

**Standard 7: Trainee Interaction** - However delivered, courses should include opportunities for interaction.

**Standard 8: Course venue and accommodation** - The venue should offer:

* Accessible facilities.
* An appropriate room layout, considering the course aims, delivery and presentation methods and the number of trainees attending.
* Appropriate audio-visual or sound equipment and internet access, if required.

**Standard 9: Administration** - Providers must ensure:

* A nominated person to deal with enquiries.
* The provision of advice on appropriate courses.
* Effective attendance record-keeping.

**Standard 10: Verifiability** - Providers must record the attendance of trainees on their courses and must be able to supply each trainee with a certificate or other proof of attendance.

**Standard 11: Feedback and Evaluation** - Providers must have a system in place that:

* Collects feedback from trainees on course quality and whether courses met the standards set out above.
* Analyses feedback received.

**Standard 12: Additional Mandatory Ethics Course Standard** - The Mandatory Ethics Course must be at least four hours long and cover the content set out in Appendix B.

# Appendix B: Mandatory Ethics Course Content

|  |  |
| --- | --- |
| **Subject** | **Material which should be covered** |
| Confidentiality | Using case studies and/or scenarios, appropriate to the attendees, so that attendees will better understand :   * Who and what can over-ride client confidentiality. * Knows when confidentiality does apply and when confidentiality does not apply. * Understand that a client can consent to the disclosure of confidential information and the need for informed consent. * Information barriers. * How to identify conflicts between the duty of confidentiality and other duties. * Propose an appropriate course of action where a conflict between the duty of confidentiality and other professional duties arise. * Communicates a breach of confidentiality to clients appropriately. * Demonstrates awareness of the consequences of breaching the duty of confidentiality. |
| Conflict of interest | Using case studies and/or scenarios, appropriate to the attendees, so that attendees will better understand :   * Where conflicts can arise. (including identifying areas of potential conflict) and the appropriate way to deal with them). * How to prevent conflicts of interest arising. * How to distinguish between actual and potential conflicts of interest. * Who is the judge of whether there is a conflict of interest. * The difference between conflict of interest and a dispute. * How to resolve conflicts of interest. * How to anticipate conflicts and prevent potential conflicts of interest becoming actual conflicts. * How to identify personal interest. |
| Anti-Money Laundering | * Statutory requirements regarding anti-money laundering regulations and the Proceeds of Crime Act, and their impact on the client relationship. * Duties regarding anti-money laundering and proceeds of crime obligations. * How professional and legal obligations can be met. * Risk management in relation to Anti-Money Laundering. |
| Links between the above | Confidentiality, Conflict of Interest and Anti-Money Laundering regulations do not exist separately. Courses should consider the links between the areas of mandatory content |

Notes on the Mandatory Ethics Course content:

* More detailed information regarding the Professional Ethics and Standards Outcomes can be found in the guidance note ‘PEAT 2 Training Plan.
* Where appropriate, reference should be made to the relevant practice rules and the Standards of Conduct For Solicitors.