# Application form to become a licenced provider of authorised required CPD for trainees and/or the Mandatory Ethics Course

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

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

## Provider details

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| Name of Provider |  |
| Name of Principal Contact |  |
| Licences being applied for (delete as applicable) | Internal / External / Mandatory Ethics Course (MEC) |

## Your TCPD Offering

In this section, we ask you to provide information in relation to your proposed TCPD offering. When providing this information, please ensure you consider the TCPD standards (see Appendix A).

## Standard 1: Support achievement of the PEAT 2 Outcomes

Questions in relation to standard 1 do not need to be answered where an application for the Mandatory Ethics Course, only, is being made.

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| What courses do you intend to offer? The Society recognises that it might not be possible for providers to detail the courses that they intend to offer but a flavour should be given. |
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| TCPD must support a trainee’s achievement of the PEAT 2 Outcomes and The Standard of The Qualifying Solicitor. How have you ensured that this will be the case for your provision? |
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| How many hours of your total currently planned TCPD do you anticipate will be in substantive law? |
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## Standard 4: Be pitched at an appropriate level to trainees

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| TCPD should be up-to-date and accurate, and relevant to the level of the target trainees. How have you ensured that this will be the case for your provision? |
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## Standard 5: Course Tutors and Speakers

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| Who will deliver your courses? |
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## Standard 6: Delivery methods

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| How do you intend to deliver your courses? For example: do you intend to offer courses, seminars, lectures, conferences, role plays, workshops, discussion groups, online learning or distance learning? Or a mixture of the above? Please give the reasoning to your decision. |
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## Standard 7: Trainee Interaction

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| How will you make your courses interactive? |
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## Standard 8: Course venue and accommodation

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| Where will your courses be held? Explain your answer in sufficient detail to meet the points noted in standard 8. |
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## Standard 9: Administration

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| How will your course administration be handled? Explain your answer in sufficient detail to meet the points noted in standard 9. |
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## Standard 10: Verifiability

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| Explain how you will record attendance and ensure that you can verify that to the trainee and the Society. |
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## Standard 11: Feedback and Evaluation

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| 1. Feedback: How will you obtain feedback from trainees? 2. Evaluation: How and when do you plan to review your offering? |
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## Standard 12: Additional Mandatory Ethics Course Standard

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| Please confirm that your Mandatory Ethics Course is four hours (or more) long and that it meets the Society’s required content (appendix B). |
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## Programme information and Course materials

TCPD Standards 2 and 3 require course information and materials to meet certain standards.

Please submit sufficient course materials to evidence that your documentation and communications meet the Society’s required standards. Providers should not need to submit any more than four or five example documents. However, prospective Mandatory Ethics Course providers should submit full course documentation.

## Declaration

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| 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 provide proof of that attendance to both the trainee and the Society.

**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

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| **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.