



THE  
**LAW SOCIETY**  
OF HONG KONG  
香港律師會

**MANDATORY**  
**RISK MANAGEMENT EDUCATION PROGRAMME**  
**INFORMATION PACKAGE**

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## CONTENTS

<b>Introduction</b> .....	<b>1</b>
<b>The mandatory risk management education requirements</b> .....	<b>2</b>
1. Practitioners required to undertake the mandatory risk management education programme .....	2
2. The risk management education (“RME”) requirements .....	2
3. Exemption from the RME requirements .....	3
4. Continuing professional development accreditation .....	4
5. Attendance policy .....	4
6. Attendance record .....	4
7. Monitoring compliance with RME requirements .....	5
8. Failure to comply with RME requirements .....	5
9. Review .....	6
<b>Frequently asked questions</b> .....	<b>7</b>
Application .....	7
Structure of the principal’s core courses .....	8
Attendance .....	8
Recognition of other risk management courses .....	9
<b>Appendices</b> .....	<b>10</b>
I. Legal Practitioners (Risk Management Education) Rules .....	11
II. Schedule of RME courses .....	18
III. Sample application form for enrolment of courses on the Internet .....	19
IV. Sample form of mandatory CPD Training Record with the reference to risk management courses .....	22
V. Sample form of statement of compliance in relation to application for the 2006 practising certificate .....	26

## **INTRODUCTION**

The Risk Management Education (“RME”) Programme is a mandatory programme developed for all solicitors, trainee solicitors and registered foreign lawyers in Hong Kong solicitors’ firms pursuant to the Legal Practitioners (Risk Management Education) Rules (Cap 159, sub.leg.).

The RME Programme is aimed at:

- (a) raising the awareness of risk issues within law firms;
- (b) promoting good risk management of legal practice;
- (c) teaching the importance of managing operational risk within law firms and the specific processes and procedures for sound risk management;
- (d) enhancing the level of professional competency in firms with the intention of reducing errors and omissions in practice;
- (e) improving the quality of legal services provided to clients benefiting both the public and the legal profession as a whole.

The RME Programme will first apply to the Hong Kong solicitors who are principals of law firms. While the Programme will provide the participants with the tools and techniques to implement effective processes and systems to manage the key operational risks facing them on a daily basis, the success of the Programme depends on the willingness of the participants to fully engage in the process and to make the necessary changes in their firms.

The Society urges all participants to make full use of what they learn from the Programme and to actively apply the skills to achieve sustainable improvements in the quality of their legal services to clients.

This Information Package contains all relevant information on the RME Programme including the application and requirement of the governing rules and the structure of the Programme. Those who are required to undertake the RME Programme should acquaint themselves with the information in this Package to ensure that they fulfill their relevant statutory obligations.

## **MANDATORY RISK MANAGEMENT EDUCATION REQUIREMENTS**

### **1. Practitioners required to undertake the mandatory risk management education programme**

- (a) The Legal Practitioners (Risk Management Education) Rules (“Rules”) shall apply, in different phases, to:
  - (i) solicitors practising as such in Hong Kong firms;
  - (ii) trainee solicitors; and
  - (iii) registered foreign lawyers practising as such in Hong Kong firms.
- (b) The first phase applies to a solicitor:
  - (i) who was admitted as a solicitor of Hong Kong on or after 15 September 1990; and
  - (ii) who is a principal at any time within the period 14 March 2003 to 31 October 2005 for 100 days or more.
- (c) For the purposes of the Rules, a “principal” means:
  - (i) a solicitor who is carrying on a business of practising as such in his own name in Hong Kong;
  - (ii) a solicitor who is practising as the sole practitioner or a partner of a Hong Kong firm; or
  - (iii) any other solicitor who is held out or holds himself out to be a person referred to in paragraph (i) or (ii).
- (d) In cases where a solicitor has been admitted as a Hong Kong solicitor “more than once” (for instance, where a solicitor removed himself from the roll of solicitors to become a barrister and subsequently rejoined the profession by gaining admission as a solicitor after having disbarred himself), the date of admission for the purposes of the application of the Rules shall be the date of first admission as a solicitor of Hong Kong.

### **2. The risk management education (“RME”) requirements**

- (a) A person to whom the Rules apply shall be required to complete a core programme before the expiry of the practice year in which the Rules first apply to him. In the succeeding practice year, he will be required to attend

at least 3 hours of elective courses or failing which, attend at least 6 hours of elective courses within the first and second succeeding practice years.

- (b) The core programme shall consist of core courses designed specifically for principals (referred to as “principal’s core courses”) and non-principal solicitors, trainee solicitors and foreign lawyers (referred to as “general core courses”).
- (c) A principal who comes within the ambit of the first phase shall be required to complete all principal’s core courses before 31 October 2005 and thereafter, to attend at least 3 hours of elective courses within each subsequent practice year or failing which, at least 6 hours of elective courses within the two succeeding practice years.
- (d) A principal who has completed the principal’s core courses shall not be required to complete the general core courses even if he changes position from principal to non-principal and would have been required to complete the general core course under the Rules as a non-principal solicitor.
- (e) A practice year for the purposes of the RME Rules (“RME practice year”) ends on 31 October each year.

### **3. Exemption from the RME requirements**

A person to whom the Rules apply shall not be required to complete the RME requirements in an exempted practice year. An “exempted practice year” is a practice year in which:

- (a) the total period for which the Rules apply to him consists of less than 100 days; or
- (b) he has been —
  - (i) out of Hong Kong; or
  - (ii) absent from work due to illness,

for a continuous period which constitutes 75% or more of the total period for which the Rules apply to him.

**4. Continuing professional development accreditation**

The RME courses are accredited with Continuing Professional Development (“CPD”) points in accordance with the CPD Guidelines applicable from time to time.

Practitioners will be permitted to carry over a maximum of 15 CPD points (accumulated from attendance at RME courses) in excess of the requirement in one CPD practice year to the next immediately succeeding CPD practice year only.

**5. Attendance policy**

A solicitor is deemed to have attended all principal’s core courses to the satisfaction of the Society in compliance with the RME Rules if

- (a) he has attended all of the RME courses he is required to complete under the RME Rules; and
- (b) for each of those RME courses, he is awarded not less than 90%\* of the CPD points accredited to the course, in accordance with the CPD attendance policy applicable from time to time.

[\* If 90% of the CPD points is not a whole number, units less than 0.5 points will be rounded down to the nearest half point and units of 0.5 points or more will be rounded up to the nearest half point.]

**6. Attendance record**

- (a) A person to whom the Rules apply shall keep and retain a record of his attendance at any RME course in his Mandatory CPD Training Record.
- (b) At the request of the Society, he shall:
  - (i) produce to the Society the record showing his attendances at the RME courses;
  - (ii) furnish the Society with such information relating to his attendance at any RME course within such time and in such manner as may be specified by it; and

- (iii) attend before the Council and furnish the Council with such additional information relating to his attendance at any RME course as the Council considers necessary.

**7. Monitoring compliance with RME requirements**

- (a) A solicitor shall be required to complete a statement of compliance with the RME requirements for the preceding practice year when he applies for renewal of his practising certificate.
- (b) An incorrect or false statement may constitute misconduct and lead to disciplinary actions.

**8. Failure to comply with RME requirements**

The Council has the power under section 6 of the Legal Practitioners Ordinance to refuse to issue a practising certificate to an applicant who has not complied with the RME Rules, or to suspend or cancel the practising certificate of a solicitor who has not done so.

The Council policy in the event of failure to comply with the RME requirements ascertained during:

**General Audit:**

In the absence of acceptable mitigating factors, solicitors who did not complete the necessary RME requirements for the preceding RME practice year shall, unless the outstanding requirement was subsequently acquired be subject to suspension or cancellation of their current practising certificates.

**Practising Certificate Applications:**

- (a) In the absence of acceptable mitigating factors, the Council shall refuse to issue a practising certificate to a solicitor who fails to complete the necessary RME requirements by 15 December pursuant to its powers under section 6 (5)(d) of the Legal Practitioners Ordinance.
- (b) Applications for renewal of practising certificates by solicitors who had not completed the necessary RME requirements by 31 October, but did complete the necessary RME requirements by 15 December, will be processed in the usual way.

## **The Law Society of Hong Kong**

- (c) Failure by a solicitor to complete the necessary RME requirements by the end of the RME practice year will be referred to the Conduct Section for investigation.

### **Breaches of the RME requirements**

Breaches of the RME requirements are regarded by the Council as professional misconduct. Mitigating factors will be taken into account in assessing individual cases. Serious cases will be referred to a Disciplinary Tribunal. Sanctions by the Tribunal may involve the imposition of a fine, censure, suspension or striking off of solicitors, and cancellation or suspension of a trainee solicitor contract.

## **9. Review**

- (a) Any person aggrieved by a decision made by the Society in respect of RME may apply in writing for a review of the decision within one month after he is informed of the decision.
- (b) The application should be addressed to the Department of Standards and Development.



## Frequently Asked Questions

### Application

1. A solicitor was admitted in 1984. He has been a partner of a law firm in Hong Kong since 1998. Is he required to complete the principal's core courses before 31 October 2005?

***No, only principals admitted on or after 15 September 1990 fall within the first phase of the RME Rules.***

2. A solicitor was admitted in 1993. He had been a principal of a law firm in Hong Kong from 1 January 2001 to 30 April 2003. He then changed employment and worked as an assistant solicitor in another law firm from June 2003 to present (November 2004). Is he required to complete the principal's core courses before 31 October 2005?

***He falls within the first phase because he was admitted on or after 15 September 1990.***

***Up to 1 November 2004, he has been a principal for 1½ months since 14 March 2003, which is less than 100 days. He is therefore not required to take the principal's core courses before 31 October 2005 if he continues to work as an assistant solicitor until then.***

***If he becomes a principal at any time before 31 October 2005 and the period in which he practises as a principal (together with the previous 1½ months in 2003 when he had been a principal) totals 100 days or more, then he is required to complete the principal's core courses before 31 October 2005.***

3. A solicitor was admitted in 1996. He is a partner of a law firm in Hong Kong since June 2002 and at the same time a consultant of another law firm since March 2003. Is he required to complete the principal's core courses before 31 October 2005?

***Yes, the fact that the solicitor is at the same time a consultant of another firm does not exempt him from completing the principal's core courses. On the basis that he was admitted on or after 15 September 1990 and has been a principal of a law firm for more than 100 days during the period that the Rules first apply to him, he is required to complete the principal's core courses before 31 October 2005.***

4. A solicitor, who was admitted in 1992 and has been a partner of a law firm in Hong Kong since 1999, is on maternity leave for 4 months from 1 January 2005 to 30 April 2005. Can she apply for suspension from the RME requirements?

*The solicitor falls within the first phase on the basis that she was admitted on or after 15 September 1990 and that she has been a partner for more than 100 days between the period 14 March 2003 to 31 October 2005. She is therefore required to complete the principal's core courses before 31 October 2005.*

*There is no suspension provision in the RME Rules. The only circumstances in which the requirements will be exempted are set out in rule 8 of the RME Rules. Being on maternity leave for 4 months does not fall within any of the exemption provisions.*

#### **Structure of the principal's core courses**

5. What is the duration of the principal's core courses?

*The principal's core courses comprise 4 one-day modules. Each module lasts for about 7 hours.*

6. Do the core modules have to be taken in a specific sequence or with a specific time gap?

*Each module will provide a series of seminars and workshops. A case study will be used throughout. The subject matter of each module will address a different aspect of the case study, as well as considering the relevance and impact of earlier modules. It is therefore recommended that the modules be taken in sequence with a gap of not longer than two months between each module.*

#### **Attendance**

7. A solicitor required to complete the RME requirements missed part of the last module of the courses. Is he required to take the module again?

*A solicitor is deemed to have attended all principal's core courses to the satisfaction of the Society in compliance with the RME Rules if*

- (a) *he has attended all of the RME courses he is required to complete under the RME Rules; and*
- (b) *for each of those RME courses, he is awarded not less than 90% of the CPD points accredited to the course, in accordance with the CPD attendance policy applicable from time to time.*

*Accordingly, whether the solicitor has to take the module again depends on the CPD points awarded to him for his partial attendance at the module. If it is not less than 90% of the CPD points accredited to the module, he does not have to take the module again.*

### **Recognition of other risk management courses**

8. A solicitor has attended a risk management course organised by a commercial provider and accredited with CPD points. Can he be exempted from the RME requirements?

*Those to whom the RME Rules apply must attend the mandatory RME courses approved by the Society. There will be no exemption from the RME requirements other than under the circumstances specified under rule 8 of the RME Rules. Accordingly, a solicitor who has attended a risk management course other than the mandatory courses approved by the Society will not be exempted from the RME requirements.*

# **APPENDICES**

**LEGAL PRACTITIONERS  
(RISK MANAGEMENT EDUCATION) RULES**

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**ARRANGEMENT OF SECTIONS**

Section

1. Commencement
2. Interpretation
3. Application
4. Risk Management Education Programme
5. Attendance requirement in respect of general core course
6. Attendance requirement in respect of principal's core course
7. Attendance requirement in respect of elective course
8. Exempted practice year
9. Record of attendance
10. Review

Related Amendment

11. Section added
  - 6A. Compliance with Legal Practitioners (Risk Management Education) Rules
12. Transitional

# The Law Society of Hong Kong

## *Legal Practitioners (Risk Management Education) Rules*

### 1. Commencement

- (1) These Rules (other than section 11) shall come into operation on 14 March 2003.
- (2) Section 11 shall come into operation on a day to be appointed by the President of The Law Society of Hong Kong by notice published in the Gazette.

### 2. Interpretation

- (1) In these Rules, unless the context otherwise requires —

“elective course” (選修課程) means an RME course specified as such under section 4(3)(c)(iii);

“exempted practice year” (獲豁免執業年度) has the meaning assigned to it in section 8(1);

“first practice year” (首個執業年度), in relation to a person to whom these Rules apply, means the practice year in which these Rules first apply to him;

“foreign lawyer” (外地律師) means a person registered as a foreign lawyer under Part IIIA of the Ordinance and is practising as such in a Hong Kong firm;

“general core course” (一般必修課程) means an RME course specified as such under section 4(3)(c)(i);

“practice year” (執業年度) means the period of 12 months ending on 31 October each year;

“principal” (主管) means —

- (a) a solicitor who is carrying on a business of practising as such in his own name in Hong Kong;
- (b) a solicitor who is practising as the sole practitioner or a partner of a Hong Kong firm; or
- (c) any other solicitor who is held out or holds himself out to be a person referred to in paragraph (a) or (b);

“principal’s core course” (主管必修課程) means an RME course specified as such under section 4(3)(c)(ii);

“Programme” (計劃) means the Risk Management Education Programme described in section 4(1) and (2);

## The Law Society of Hong Kong

### *Legal Practitioners (Risk Management Education) Rules*

“risk management” (風險管理) means any action or plan of action the objective of which is to minimize the risk of a person’s exposure to claims against him in the course of his professional practice and to reduce the extent of loss which may arise from such claims;

“RME course” (風險管理課程) means any workshop, lecture, seminar, course or any other programme of instruction conducted —

- (a) under section 4(3)(a);
- (b) with an authorization given under section 4(3)(b)(i); or
- (c) with an approval given under section 4(3)(b)(ii);

“solicitor” (律師) means a person who is qualified to practise as a solicitor under section 7 of the Ordinance and is carrying on the business of practising as such in his own name in Hong Kong or practising as such in a Hong Kong firm;

“trainee solicitor” (實習律師) has the meaning assigned to it in rule 2 of the Trainee Solicitors Rules (Cap. 159 sub. leg.).

- (2) In sections 5, 6 and 7, a requirement to attend any RME course shall be construed as a requirement to attend the RME course to the satisfaction of the Society.

### **3. Application**

These Rules apply to any solicitor, trainee solicitor and foreign lawyer.

### **4. Risk Management Education Programme**

- (1) The Society shall implement a programme of training on risk management known as the Risk Management Education Programme.
- (2) The Programme shall consist of general core courses, principal’s core courses and elective courses.
- (3) The Society may, for the purposes of the Programme —
  - (a) conduct any course on risk management;
  - (b) subject to such conditions as it considers necessary —
    - (i) authorize another person or organization to conduct any course on risk management; or

## The Law Society of Hong Kong

### *Legal Practitioners (Risk Management Education) Rules*

- (ii) approve any course on risk management conducted by another person or organization;
- (c) specify any RME course to be —
  - (i) a general core course;
  - (ii) a principal's core course; or
  - (iii) an elective course;
- (d) provide guidelines from time to time as to the implementation of the Programme and compliance with these Rules, including guidelines setting out matters it proposes to have regard to in determining whether a person has attended an RME course to the satisfaction of the Society.

#### **5. Attendance requirement in respect of general core course**

- (1) A person who becomes a solicitor, a trainee solicitor or a foreign lawyer shall, within the practice year specified in subsection (2), attend all general core courses.
- (2) The practice year specified for the purposes of subsection (1) is —
  - (a) the first practice year of the solicitor, trainee solicitor or foreign lawyer; or
  - (b) if the practice year referred to in paragraph (a) is an exempted practice year, the first succeeding practice year which is not an exempted practice year.
- (3) Subsection (1) does not apply to any person who, during the practice year within which he would otherwise be required under that subsection to attend all general core courses, is also required under section 6 to attend all principal's core courses.
- (4) Subsection (1) does not apply to any person who has previously attended all general core courses or all principal's core courses.

#### **6. Attendance requirement in respect of principal's core course**

- (1) A solicitor who becomes a principal shall, within the practice year specified in subsection (2), attend all principal's core courses.
- (2) The practice year specified for the purposes of subsection (1) is —
  - (a) the principal's first practice year;



## The Law Society of Hong Kong

### *Legal Practitioners (Risk Management Education) Rules*

- (b) the practice year in which he first becomes a principal; or
- (c) if the practice year referred to in paragraph (a) or (b) is —
  - (i) an exempted practice year; or
  - (ii) a practice year during which he is a principal for less than 100 days,

the first succeeding practice year which is not an exempted practice year and during which he is a principal for 100 days or more.

#### **7. Attendance requirement in respect of elective course**

- (1) A person to whom these Rules apply shall, within each practice year other than a practice year specified in subsection (3), attend at least 3 hours of elective courses.
- (2) Where a solicitor or a foreign lawyer fails to comply with subsection (1) in any practice year, he shall, within that practice year and the first succeeding practice year which is not a practice year specified in subsection (3), attend at least 6 hours of elective courses.
- (3) The practice year specified for the purposes of subsections (1) and (2) is —
  - (a) an exempted practice year. or
  - (b) a practice year within which the person concerned is required under these Rules to attend all general core courses or all principal's core courses.

#### **8. Exempted practice year**

- (1) For the purposes of these Rules, an exempted practice year, in relation to any person to whom these Rules apply, is any practice year in which —
  - (a) the total period for which these Rules apply to him consists of less than 100 days; or
  - (b) he has been —
    - (i) out of Hong Kong; or
    - (ii) absent from work due to illness,

## The Law Society of Hong Kong

### *Legal Practitioners (Risk Management Education) Rules*

for a continuous period which constitutes 75% or more of the total period for which these Rules apply to him.

- (2) Where a person to whom these Rules apply asserts that any practice year is an exempted practice year in relation to him, he shall, if so requested by the Society, make a statutory declaration of the facts upon which he makes the assertion.

#### **9. Record of attendance**

- (1) A person to whom these Rules apply shall —
  - (a) keep and retain a record of his attendance at any RME course in a form specified by the Society; and
  - (b) at the request of the Society —
    - (i) produce to the Society the record referred to in paragraph (a);
    - (ii) furnish the Society with such information relating to his attendance at any RME course within such time and in such manner as may be specified by it; and
    - (iii) attend before the Council and furnish the Council with such additional information relating to his attendance at any RME course as the Council considers necessary.
- (2) Any person or organization (other than the Society) conducting an RME course shall keep and retain a record of attendance in respect of the RME course in accordance with the guidelines provided by the Society under section 4(3)(d) concerning the keeping and retaining of such record.
- (3) The Society may require the person or organization concerned to produce the record of attendance referred to in subsection (2) within 7 days from the completion of the RME course concerned.

#### **10. Review**

- (1) Any person aggrieved by a decision made by or on behalf of the Society in respect of the Programme may apply in writing to the Council, or to such committee formed under the Council as may be appointed by the Council for the purposes of this section, for a review of the decision within 1 month after he is informed of the decision.
- (2) The Council, or the committee referred to in subsection (1), shall consider an application made under that subsection and may confirm or vary the decision to which the application relates.

**Related Amendment**

**Foreign Lawyers Registration Rules**

**11. Section added**

The Foreign Lawyers Registration Rules (Cap. 159 sub.leg.) are amended by adding —

**“6A. Compliance with Legal Practitioners (Risk Management Education) Rules**

A certificate of registration as a foreign lawyer is subject to the condition that during any period for which the foreign lawyer is employed by a Hong Kong firm to practise foreign law, he shall comply with the Legal Practitioners (Risk Management Education) Rules (L.N. 248 of 2002).”

**12. Transitional**

- (1) Despite the definition of “first practice year” in section 2(1), the first practice year of a solicitor who was admitted as a solicitor of the High Court on or after 15 September 1990 and who is a principal immediately before the commencement of the Legal Practitioners (Risk Management Education) (Amendment) Rules 2003 (L.N. 238 of 2003) shall end on a date to be appointed by the Council by notice published in the Gazette.
- (2) In relation to any solicitor other than a solicitor mentioned in subsection (1), or to any trainee solicitor or foreign lawyer, these Rules shall not take effect until such date as the Council may appoint by notice published in the Gazette.
- (3) A notice published under subsection (2) may appoint different dates for different classes of persons.

**Appendix II**

**Schedule of RME courses for November/December 2004**

**\* First Cohort**

<u>Date</u>	<u>Time (Tentative)</u>	<u>Title</u>	<u>Fee for 4 modules</u>
26 November 2004	9:30 am – 5:30 pm	Engagement Management (Module 1)	HK\$5,000
30 November 2004	9:30 am – 5:30 pm	Managing the Legal Issues (Module 2)	
2 December 2004	9:30 am – 5:30 pm	Communication Skills (Module 3)	
4 December 2004	9:30 am – 5:30 pm	Quality Assurance and Risk Management (Module 4)	

**\* Second Cohort**

<u>Date</u>	<u>Time (Tentative)</u>	<u>Title</u>	<u>Fee for 4 modules</u>
27 November 2004	9:30 am – 5:30 pm	Engagement Management (Module 1)	HK\$5,000
1 December 2004	9:30 am – 5:30 pm	Managing the Legal Issues (Module 2)	
3 December 2004	9:30 am – 5:30 pm	Communication Skills (Module 3)	
7 December 2004	9:30 am – 5:30 pm	Quality Assurance and Risk Management (Module 4)	

\* For details, please see separate flyers posted on the Society's website.

**Sample application form for enrolment of courses on the Internet**

**RME Courses - Booking Courses**

**You have selected the following RME courses:**

Date	Time	Title	CPD Pts	Lang	Fees
				Eng	

**Please fill in the form below: (\* Indicates a required field)**

<b>Full Name</b>	<input type="text"/> *
	(as on practising certificate)
<b>Email</b>	<input type="text"/> *
<b>Solicitor No.</b>	<input type="text"/> *
	(printed at the bottom of your practising certificate)
<b>Firm / Position in Firm</b>	<input type="text"/> *
<b>Correspondance Address</b>	<input type="text"/>
<b>Tel</b>	<input type="text"/> *
<b>Fax</b>	<input type="text"/>
<b>Date of Admission (HK)</b>	<input type="text"/> *

**Notes:**

1. These courses are open to solicitors to whom the Legal Practitioners (Risk Management Education) Rules apply.
2. Enrolments will be accepted on a first-come first-served basis. Please send in a separate cheque/bank draft for each application payable to "The Law Society of Hong Kong" within 3 working days after you submit your booking form.
3. The Bad Weather & Cancellation Policies will apply. The RME Courses are accredited with CPD points. The CPD Attendance Policy will apply in respect of the CPD points to be awarded to a participant. Please read [the details of the Policies](#).
4. The Law Society reserves the right to alter or cancel these courses.
5. A place will only be confirmed upon full payment of the course fee and receipt of the booking form.

**By pressing the SUBMIT button, you agree to accept the [Terms and Conditions of RME Courses](#). An acknowledgement of your application will be sent to your e-mail address.**

## RME Courses - Terms and Conditions

1. Unless otherwise specified in the course details, all terms and conditions below apply.
2. All courses are open to solicitors to whom the Legal Practitioners (Risk Management Education) Rules apply.
3. Enrolments will be accepted on a first-come first-served basis. Please send in a separate cheque/bank draft for each application payable to "The Law Society of Hong Kong" within 3 working days after you submit your booking form.
4. The Law Society reserves the right to alter or cancel the course(s).
5. A place will only be confirmed upon full payment of the course fee and receipt of the booking form.
6. The Bad Weather & Cancellation Policies will apply. The RME Courses are accredited with CPD points. The CPD Attendance Policy will apply in respect of the CPD points to be awarded to a participant.

### Attendance Policy

[Only full attendance at all segments of the course constitutes attendance at a course for the purposes of the awarding of full CPD points for the course. Please refer to the current CPD Information Package for details of the Policy.] – need to be amended.

### Bad Weather Policy

1. Courses will be cancelled if a No. 8 or higher tropical cyclone warning signal or black storm warning is hoisted at any time from 2½ hours before the scheduled start time of a course and remains hoisted until the scheduled start time of the course.
2. If a No. 8 or higher tropical cyclone warning signal or black storm warning is lowered at any time one hour before the scheduled start time of a course, participants of the course shall arrive at the venue of the course within 2 hours after the above warning signals are dropped. The grace period of 10 minutes for late arrivals will start to run from the postponed start time of the course.
3. If a No. 8 or higher tropical cyclone warning signal or black storm warning is hoisted at any time during a course, the course shall be cancelled immediately.
4. By way of example, for a course due to start at 9 a.m., if a No. 8 typhoon signal is hoisted at 7 a.m. and remains hoisted until 8:30 a.m., the course will be cancelled. However, in the same scenario, if the typhoon signal is lowered at 8 a.m., the course will be postponed to start at 10 a.m. and participants shall arrive at the venue of the course by 10 a.m. with a grace period of 10 minutes for late arrivals until 10:10 a.m.

5. In the event of cancellation of a course due to bad weather, registrations may be transferred to any other Law Society RME courses within 6 months of the date of the original course.

**Cancellation Policy**

Notice of cancellation of a booking must be given so that it reaches the Law Society not less than seven (7) days before the date of the course and is subject to an administration fee. This fee is presently set at HK\$100.00. Cancellations received after this time will not be accepted - the registration fee will remain payable and shall under no circumstances be refunded. Registrations are transferable to another person at any time before commencement of the course provided that the Law Society is notified in advance.

**Transfer Policy**

If you cannot attend a booked course, written notification must be received by the Law Society at any time before the date of the booked course and then you may either: 1. transfer your booking to a replacement delegate; or 2. transfer your booking to another Law Society RME course of same value within 6 months of your written notification.

**Data Privacy Policy**

The personal data collected about you in this web-site will be kept confidential by us for the purpose of communication among you, the Law Society of Hong Kong and us. Under the Personal Data (Privacy) Ordinance, you have the right to request access to and correction of personal data held by us related to you. If you wish to make access to or correction of your personal data held by us, please contact us at 2540-2878 or [info@hkpeernet.com](mailto:info@hkpeernet.com).

For enquiry, please contact Helen Chan of The Law Society of Hong Kong on 2846-0509 or send your email to [helen@hklawsoc.org.hk](mailto:helen@hklawsoc.org.hk)

**Sample form of mandatory CPD Training Record  
with the reference to risk management courses**





**MANDATORY CONTINUING PROFESSIONAL DEVELOPMENT TRAINING RECORD**  
**CPD PRACTICE YEAR: 1 NOVEMBER 2004 TO 31 OCTOBER 2005**

Name \* : \_\_\_\_\_ Firm: \_\_\_\_\_

Address : \_\_\_\_\_  
 \_\_\_\_\_

**For Solicitors** : Hong Kong admission date: \_\_\_\_\_ Solicitor number \*: \_\_\_\_\_

Admission date in jurisdiction immediately preceding Hong Kong admission: \_\_\_\_\_

Commencement date of 2004 practising certificate: \_\_\_\_\_

Commencement date of 2005 practising certificate: \_\_\_\_\_

**For Trainee Solicitors** : Commencement date of trainee solicitor contract: \_\_\_\_\_

Expiry date of trainee solicitor contract: \_\_\_\_\_

\* As stated on the practising certificate or trainee solicitor contract.

**CPD ACTIVITIES CODE**

<i>Activity</i>	<i>Code</i>
<b>Local face to face courses</b>	
• seminar, lecture, conference	CL
• workshop	CW
• in-house group discussion	CG
• face to face (distance learning) training session	CF
<b>Preparation of accredited courses</b>	CP
<b>Presentation/Coaching of accredited courses</b>	CA
<b>Videotape, motion picture etc courses</b>	CV
<b>Overseas courses</b>	CO
<b>Computer-based courses</b>	CB
<b>Distance learning courses</b>	CD
<b>Law courses</b>	LC

<i>Activity</i>	<i>Code</i>
<b>Authorship of publications</b>	
• books	PB
• articles	PA
• revisions/updates	PR
<b>Legal research</b>	
• production of a precedent	LP
• production of a practice note	LN
• production of other written guidance	LG
• substantial written submission	LS
<b>Dissertations</b>	QD
<b>Participation in committees/working parties/associations</b>	MC
<b>External examiner work</b>	EE
<b>Participation in other Legal Training Activities</b>	AP

<b>CPD Points Carried Over from the Previous CPD Year</b> <i>(If any of the CPD points recorded in the Training Record involve CPD points carried over from the preceding CPD practice years, the Training Records for all relevant years should be attached for audit purposes.)</i>	<b>Number of CPD Points</b>

**IMPORTANT NOTE :**

*Refer to the CPD Guidelines in the CPD Information for full details of the criteria for accreditation of each CPD activity.*

**ATTENDANCES AT MANDATORY RISK MANAGEMENT EDUCATION PROGRAMME**

*(Mandatory Risk Management Education Programme Information Package)*

Date	Accredited Course Name	Code	Duration of Course	Accredited Course Provider	CPD Points Claimed
				The Law Society of Hong Kong	
<b>Total CPD Points</b>					

**NOTE:** THIS TRAINING RECORD MUST BE RETAINED FOR A PERIOD OF AT LEAST THREE (3) YEARS AFTER 31 OCTOBER 2005.



**The Law Society of Hong Kong  
DISTANCE LEARNING COURSES**

*(Guideline 8 of the CPD Information Package)*

Accredited Course Name	Code	Hour(s)/Date(s) of Study/Examination	Accredited Course Provider	CPD Points Claimed
	CD			
	CD			
	CD			
<b>Total CPD Points</b>				

**LAW COURSES**

*(Guideline 9 of the CPD Information Package)*

Accredited Course Name	Code	Course Date(s)	Course Provider	CPD Points Claimed
	LC			
	LC			
	LC			
<b>Total CPD Points</b>				

**WRITING ARTICLES AND BOOKS OR PRODUCTION OF DISSERTATIONS**

*(Guidelines 10 & 12 of the CPD Information Package)*

Date of Publication	Title of Work Published or Dissertation	Code	No. of Words	Approved Legal Publication/Approved Qualification	CPD Points Claimed
<b>Total CPD Points</b>					

**LEGAL RESEARCH**

*(Guideline 11 of the CPD Information Package)*

Date(s) of Research	Title of Precedent, Practice Note, Guidance or Submission	Code	Duration of Research Claimed	CPD Points Approved by the Society
<b>Total CPD Points</b>				

**PARTICIPATION IN COMMITTEES/WORKING PARTIES/ASSOCIATIONS** *(Guideline 14 of the CPD Information Package)*

Name of Committee/Working Party/Association	Code	Date(s) and Duration of Participation	CPD Points Approved by the Society
	MC		
	MC		
<b>Total CPD Points</b>			

**EXTERNAL EXAMINER/ASSESSOR WORK**

*(Guideline 15 of the CPD Information Package)*

Name of Examination	Code	Date(s) and Duration of Work	CPD Points Approved by the Society
	EE		
	EE		
<b>Total CPD Points</b>			

**PARTICIPATION IN OTHER LEGAL TRAINING ACTIVITIES**

*(Guideline 16 of the CPD Information Package)*

Activity	Code	Date and Duration of Activity	CPD Points Approved by the Society
	AP		
	AP		
<b>Total CPD Points</b>			

Sample form of statement of compliance

*The Law Society of Hong Kong*

**Continuing Professional Development (CPD)  
Risk Management Education (RME)**

**Statement of Compliance with CPD and RME Requirements – Solicitors**

- Notes: (1) This form must be completed and returned with your application for a practising certificate.**
- (2) Please enclose copies of all correspondence from the Law Society relating to exemption or suspension from the operation of the CPD Scheme.**

I \_\_\_\_\_ (Hong Kong Identity Card No.: \_\_\_\_\_)  
(Print name as stated on practising certificate)

was during the practice year ending on \_\_\_\_\_:

- \*1. required to accumulate \_\_\_\_\_ CPD points and accumulated not less than \_\_\_\_\_ CPD points;
- \*2. granted \*exemption / partial exemption from the requirements of the CPD Scheme (the letter from the Law Society granting me exemption is attached);
- \*3. granted suspension from the operation of the CPD Scheme (the letter from the Law Society granting me suspension is attached);
- \*4. required to complete the mandatory principals' core programme and accumulated not less than [ ] CPD points by attending the core programme;
- \*5. not required to complete the mandatory principals' core programme because:
  - \*(a) I was admitted before 15 September 1990;
  - \*(b) I was admitted on or after 15 September 1990, but during the period 14 March 2003 to 31 October 2005:
    - \*(i) I have not been a principal for any period;
    - \*(ii) I have been a principal for a period less than 100 days;
    - \*(iii) I have been out of Hong Kong or absent from work due to illness for a continuous period which constitutes 75% or more of the total period for which the Rules apply to me.

(\* Delete as appropriate)

Signed by Solicitor \_\_\_\_\_ Date \_\_\_\_\_

Daytime contact telephone no.: \_\_\_\_\_

**WARNING: A false or incorrect statement may constitute professional misconduct and may lead to disciplinary actions.**