



Continuing professional development

Becoming a Management Course Stage 1 and 2 provider

Guidance on applying for authorisation

Education & Training Unit
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The Solicitors Regulation Authority Management Course has compulsory and optional elements.

Compulsory	Optional
The Solicitors Regulation Authority Management Course Stage 1 is a minimum of a seven-hour course, which can be undertaken on a modular basis.	additional optional five hours see pages 7-8 below for more details
A minimum of three topics (from the list below) must be covered.	

Content

The compulsory seven hours of the Solicitors Regulation Authority Management Course Stage 1 must be based on at least three of the following main topics (covering all the sub-topics listed).

Managing finance

- Billing and recovering fees
- Computerisation
- Preparing budgets
- Monitoring budgets
- Controlling costs
- Financial and management information

Managing the firm

- Administering the office
- Identifying opportunities for improvement
- Setting up a case management system

Managing client relationships

- Meeting client specifications and instructions
- Assuring quality
- Handling complaints
- Establishing and agreeing client requirements

Managing information

- Obtaining and evaluating information
- Presenting information and advice
- Communicating effectively

Managing people

- Promoting equal opportunities
- Drawing up job descriptions
- Assessing and selecting personnel
- Developing teams
- Developing individuals
- Self development
- Evaluating/improving training and development
- Planning work
- Allocating work
- Setting objectives
- Giving feedback
- Building a good reporting relationship
- Building relationships with members of your team
- Building relationships with colleagues

Aims and intended learning outcomes

Course providers must ensure that the aims and intended learning outcomes of their courses are clear to ensure that prospective delegates are able to make an informed choice as to the course they attend. To ensure delegates make an informed choice, they will need to consider their previous, current and likely future responsibilities.

Criteria

The same criteria apply whether course providers offer the course in a modular format or as a one-day course.

Main topics

A minimum of three main topics (including all sub-topics) from those listed on pages 4-5 above should be covered in the Management Course Stage 1.

Case studies

The use of case studies is optional in the small groups. However, if case studies are used, they should be targeted quite specifically to the audience. A minimum of 25 per cent of the course time should be directed to small-group work with a maximum staff to student ratio of 1:20.

Tutor experience

Tutors do not necessarily need experience of lecturing, but they must have experience in the area/s they are to teach. An experienced presenter should always be in attendance. Appropriate experience is considered to be

- practice in the particular area in which the individual is to teach on a continuous basis for two years
- in-depth research into a particular area that gives the lecturer a detailed knowledge of the subject, even though they have not been in practice, or
- additional experience/expertise that would constitute relevant experience

Either the presenter should have experience of how a solicitors' firm operates, if acting independently, or someone should be in attendance who does have this understanding.

Requirements

Providers are required to

- **notify solicitors of the Solicitors Regulation Authority CPD reference**
All providers are allocated a Solicitors Regulation Authority CPD reference, which should be used for all courses accredited and notified to solicitors when attending courses.
- **keep records of solicitors who attend courses**
The Solicitors Regulation Authority does not keep records of individual solicitors' course attendance. Delegates should enter the details of the course into their personal [training record](#).
- **keep attendance records for at least two years from the date of each course**
The SRA may request sight of attendance lists of confirmation of an individual solicitor's attendance.

Monitoring

Continued authorisation is subject to satisfactory routine [monitoring](#) of courses by the SRA and continued compliance with the terms and conditions. In the first instance, this would normally be done by Solicitors Regulation Authority delegate questionnaires. However, monitoring may be undertaken by attendance at courses by a Solicitors Regulation Authority observer.

Online list of providers

The SRA maintains a list of providers offering the Management Course Stage 1, which is available on the society's website, at www.cpd.lawsociety.org.uk.

Enquiries

Please contact the Validation and Monitoring Team on 0870 606 2555 if you have any further queries.

Solicitors Regulation Authority Management Course Stage 2

Course content

In addition to the compulsory seven hours of the Solicitors Regulation Authority Management Course Stage 1, there is an optional five hour element – the Solicitors Regulation Authority Management Course Stage 2.

The Solicitors Regulation Authority Management Course Stage 2 can either explore the issues raised in Stage 1 in greater depth or can cover new main topics (including the sub-topics) from the list below at the same level as the topics originally covered in Stage 1.*

Managing finance

- Establishing a management structure
- Gaining agreements to budget

Managing the firm

- Assessing the pros and cons of change
- Developing an operating plan
- Developing a marketing plan
- Implementing and evaluating changes
- Developing a business plan
- Negotiating and agreeing the introduction of change

Managing client relationships

- Maintaining supplies of goods and services
- Maintaining a productive work environment

Managing information

- Forecasting trends and developments
- Recording and storing information

Managing people

- Encouraging diversity and fair working practices
- Dismissing people
- Implementing grievance and disciplinary procedures
- Counselling
- Minimising conflict
- Coaching
- Acting as a mentor
- Making people redundant
- Planning human resource requirements

* It will be possible for a project to satisfy Stage 2.

Enquiries

Enquiries about the Management Course Stage 2 should be made to the Validation and Monitoring Team on 0870 606 2555.

General information

Course materials

It should be made clear how the materials will be used – for example, to be worked through, as background material or as a source of reference for use afterwards.

The course materials should cover the aims and intended learning outcomes of the course and should be

- clearly organised
- up to date
- well presented
- accurate
- comprehensive

and should include

- a course programme/timetable indicating the length of the course and time that will be spent on each section
- relevant cases and legislation where appropriate
- details of method of presentation including where appropriate
 - a) role plays
 - b) exercises
 - c) workshops
 - d) case studies

The course materials should not infringe copyright or contain any defamatory material.

Course tutors/speakers

The course tutors/speakers should have

- relevant qualifications/experience in the subject area
- the necessary practical skills/experience to present the course effectively

Course venue and accommodation

The course venue and accommodation should be

- free from interruptions
- where possible, easily accessible with facilities for the disabled

- well ventilated and temperature controlled
- as soundproof as possible with good acoustics

It should also have

- where possible, natural daylight with blinds/curtains
- writing surfaces for the delegates
- comfortable seating
- if required, good audio visual/sound equipment
- a supply of refreshments

The room layout should be appropriate for the number of delegates and method of presentation to be used.

Administrative arrangements and support services

Course providers should ensure there are appropriate and effective administrative arrangements and support services for delegates. These should include

- nominated persons, or the system used to deal with enquiries from delegates
- the provision of advice for prospective delegates on the most appropriate course(s) to meet their needs
- appropriate and effective record keeping of delegates' attendance at courses
- allocation of the relevant CPD credit for accredited courses, where appropriate
- notification of the Solicitors Regulation Authority CPD reference to delegates
- details of the cancellation policy

Evaluation

Providers must have a system in place for evaluation by the delegates of the quality of each course. This should include

- a method of obtaining feedback from delegates of whether the course(s) met the standards set out above
- analysis of the feedback received, over each twelve month period, which would be made available to the SRA on request
- administrative arrangements for monitoring individual courses by the SRA

Administration

Providers should nominate a person who will take responsibility for ensuring that courses/seminars will comply with the terms and conditions of authorisation. This person should be a partner, senior manager or senior officer of the organisation although the day-to-day running of the courses may be delegated.

Termination of authorisation

Providers may terminate their authorisation at any time by notification in writing to the Validation and Monitoring team.

The SRA may terminate the authorisation if

- the SRA considers that continuation of the authorisation would be detrimental to the interests of the profession or those who attend courses, or
- there is evidence of a poor standard of administration by the provider, or
- there is evidence that the provision of courses is below a standard which is acceptable by the SRA, or
- a bankruptcy or voluntary arrangement is made in respect of the provider or is entered into administration, receivership or liquidation or is dissolved or has a receiving order made against it or enters into an arrangement with creditors
- the annual fees are not paid

Terms and conditions of authorisation

The provider should undertake to:

- pay the appropriate annual authorisation fees
- only accredit qualifying courses which meet the criteria laid down by the SRA
- maintain a record of the names of those solicitors who wish to claim CPD credit for their attendance at courses and submit copies of attendance records to the SRA on request
- for the purposes of monitoring, on request, make available details of forthcoming courses and, without charge, co-operate with the SRA in the monitoring of courses
- where the SRA is investigating a complaint, provide course materials and all relevant details as requested
- notify the Validation & Monitoring team, in writing, of any changes to the business address or the nominated person

The SRA may change the criteria for accreditation of courses upon three months' notice

Enquiries

All enquiries about these arrangements should be addressed to

Contact Centre
The Solicitors Regulation Authority
Ipsley Court
Berrington Close
Redditch
Worcestershire B98 0TD
DX19114 Redditch

Telephone 0870 606 2555, or if calling from overseas please telephone +44 (0) 1527 504450

Lines are open 09.00 hours – 17.00 hours, Monday to Friday.