



COMPLIANCE  
INSTITUTE  
SOUTHERN AFRICA

## Continuous Professional Development (CPD) Policy and Procedures

Type of Document	Policy
Purpose	The purpose of this policy is to provide the necessary guidance to ensure members maintain their professional competence through ongoing learning and personal development and to record their CPD activities.
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## 1. Preamble and objectives of Continuous Professional Development (CPD)

The Compliance Institute Southern Africa ('the Institute'), awards the Compliance Practitioner (SA) (CPrac (SA)) and Compliance Professional (SA) CProf (SA) designations to its members who apply for, and meet, the requisite criteria. These members ('designation holders') must possess an acceptable level of applied professional competence.

It is compulsory for designation holders to maintain and continually improve the level of professional competence after being awarded the relevant designations, to meet the expectations and requirements of stakeholders and to provide an appropriate service to the relevant role players in the South African economy.

Although not compulsory for other categories of members, e.g. affiliates, fellow and students, it is highly recommended that they maintain a minimum level of competence and awareness of developments in the compliance profession and the business environment.

By doing so, all members (i.e. designation holders and other categories) of the Institute will maintain and enhance the reputation of the profession. The continuous professional development requirements are contained in this CPD policy to guide members in meeting their obligations in terms of the Institute's Code of Ethical and Professional Conduct.

The objectives of this policy are to ensure that Members:

- Maintain their professional competence through ongoing learning and personal development and to record their CPD activities;
- Stay abreast of developments in compliance, business, and other relevant fields; and
- Provide services that are relevant and appropriate.

## 2. DEFINITIONS

<i>Applied professional competence:</i>	<i>Relevant knowledge and skills, ethics and attitude applied in the compliance field</i>
<i>Member:</i>	<i>All membership categories (includes designation holders and other membership categories)</i>
<i>Designation holder</i>	<i>A Member who was awarded any one of the Institute's designations</i>
<i>Other membership categories</i>	<i>Affiliates, Fellows, and student members</i>
<i>Professional Body</i>	<i>A body of expert practitioners in an occupational field, and includes an occupational body and statutory council (SAQA definition)</i>
<i>Professional knowledge:</i>	<i>Applied competence, expertise, and experience in the field of compliance risk management</i>
<i>Verifiable hours:</i>	<i>Hours spent on CPD activities that meet the Institute's criteria, and for which the Member can provide independent proof of attendance, completion and/or participation (e.g. assessment results, a course certificate, training materials, etc.), which can be objectively verified by the relevant source</i>

### **3. POLICY**

#### **3.1 Primary responsibility**

It is the responsibility of the Member to:

- Plan, undertake and meet the necessary CPD requirements and to maintain an accurate and complete record thereof.
- The Institute reserves the right to review designation holders' records on an ad hoc basis from time to time;
- Identify and meet CPD hours prescribed by a regulator which may differ from the Institute's requirements.

#### **3.2 Compulsory CPD**

In order to retain a designation that has been awarded to a Designation holder, s/he must meet the relevant CPD requirements.

It is mandatory for individuals holding a professional designation to declare annually that they have met the CPD requirements and acknowledge they may be required to undergo an audit to verify the accuracy and validity of their reported hours.

Although it is not compulsory for other membership categories to maintain their CPD hours, it is highly recommended that they follow the same principles and requirements set out in this policy.

CPD hours should consist of the following:

10%: Ethics and/or conduct risk (the risk that behaviour will result in poor outcomes for customers, shareholders, and other stakeholders)

90%: Relevant technical, business and compliance-related topics and developments, soft skills, etc.

#### **3.3 Reporting cycle and required amount of hours**

An individual who registers for the first time as a member will immediately commence with his/her CPD accumulation. The 24-month rolling CPD cycle is initiated at the onset of registration.

A Designation Holder must accumulate 30 verifiable CPD hours per rolling 24-month period.

The required number of hours are:

<b>Member type</b>	<b>Verifiable CPD hours over the 24-month rolling reporting cycle</b>
Designation holders	30 hours compulsory CPD hours
Other categories	30 hours optional CPD hours recommended, not compulsory

All CPD hours are valid for a period of 24 months from the date that the activity took place/ended.

Members must maintain up-to-date record of their CPD activities and CPD earned over the past 24 months. This record may be subject to random audits by the Institute, depending on the number of Designation Holders registered in the system. Upon receiving a CPD audit notification, Designation Holders are required to submit the necessary documents within 21 working days. The Institute may take further action based on the results of the audit.

For Designation Holders who were found to be non-compliant with the CPD policy, or in response to a request for an extension, the Institute may:

- Afford the Designation Holder a six-month extension in which s/he can attempt to become compliant.
- After the period of six months, if still non-compliant, submit the names of non-compliant members to the Disciplinary Committee, whose actions may include revoking the designation and changing the category of registration to Affiliate membership until proof of compliance with the CPD requirements is submitted.

### **3.4 Measurement**

CPD requirements are measured in productive hours. For example, if a course is attended, then break times should be excluded. Activities of 30 minutes or more must be rounded to a full hour.

### **3.5 Qualifying activities and supporting documentation**

Examples of qualifying activities are listed in Annexure A. It includes but is not limited to Institute-approved training courses, compliance conferences or organised events, updates and all relevant CPD activities that would support maintenance or enhancement of Members' applied competence. Should a type of activity not be listed or specifically approved, Members may apply to the Institute for evaluation and recognition of the activity on an ad hoc basis.

The essential test of the validity of the CPD activity is the appropriateness of the activity to the individual's specific development needs in compliance risk management and related fields.

The Institute may require certain duties from individuals that are not specifically listed above, e.g. attending committee meetings. Such duties may qualify as recognised verifiable CPD activities and will be discussed with individuals when required.

### **3.6 Reporting record keeping and monitoring**

Documentation constituting acceptable proof need not be submitted to the Institute but should be available for inspection as and when required. Records substantiating hours claimed should be maintained accurately and completely by the Member.

These records must be kept for a period of five (5) years after the CPD event date. Examples of information that should be supported by your records are:

- Date
- Type of activity (e.g. training, seminar, workshop, etc.)
- Training provider
- Presenter(s)
- Duration
- Verifiable (e.g. assessment results, signed attendance registers, etc.)
- Topics / activity objectives

The Institute reserves the right to inspect Members' records in their sole discretion.

### **3.7 Reciprocity agreements with other institutes**

The Institute has signed memorandums of understanding (MOU) with various other professional bodies, which provides for, inter alia, the recognition of each other's training, events, and other interventions for CPD purposes. Members can obtain more information from the Institute in this regard.

### **3.8 Accreditation of CPD providers**

Although not compulsory, CPD providers who wish to register their CPD programmes for recognition and award of CPD hours must apply to the Institute on the CPD application form for evaluation of their CPD programmes.

### **3.9 Monitoring**

The Institute will monitor each designee's CPD hours attained in relation to the appropriate CPD requirements. The Institute will therefore ensure that, when necessary, appropriate action is taken to ensure compliance with the CPD requirements. Steps will be taken where members do not comply with the CPD requirements, i.e.

- Initial steps taken to address non-compliance are likely to focus on bringing members into compliance within a reasonable time frame.
- Relevant member's current designation could be revoked. (Please refer to Awards Policy for Revocation of Designation rules)

On an annual basis, the Institute will conduct random audits of designees for CPD points accumulated by them. The selection criteria for designees to be audited will be at the discretion of the Institute's Chief Executive Officer.

Designees selected for audit will be notified by the Institute and will be required to submit CPD documentation to the Institute within a pre-determined timeframe. Non-compliance will result in actions as described above.

### **3.10 Disciplinary sanctions for non-compliance**

Non-compliance with the CPD policy is regarded in a serious light. Any such matters may be referred to the Disciplinary Committee to be dealt with in terms of the Disciplinary Policy.

If non-compliance is rectified, the Designation Holder may apply to the Institute for a reversal of the disciplinary sanction. Reversal of sanctions is in the sole discretion of the Institute.

### **3.11 Exemptions**

Designation holders with special circumstances require proper authorisation to be exempted from CPD requirements.

A written application to the Institute should be accompanied by sufficient evidence substantiating the circumstances. For example, a Designation Holder going on maternity leave may apply to the Institute for a 'maternity leave' extension of the CPD period and/or for the requisite hours to be reduced in accordance with the reduced annual cycle.



## ANNEXURE A

### Verifiable CPD activities examples:

CPD activity	Examples of evidence	Eligibility
<b>Events</b> <ul style="list-style-type: none"> <li>• Workshops</li> <li>• (Includes professional non-accredited training workshops)</li> <li>• Lectures, formally facilitated classroom training</li> <li>• Attending conferences and seminars offered by approved CPD providers.</li> <li>• Attending conferences and seminars offered by non-approved providers – apply to the Institute for approval</li> </ul>	<ul style="list-style-type: none"> <li>• Signed attendance register</li> <li>• Certificate of attendance/ completion</li> <li>• Agenda of programme</li> <li>• Certificate of attendance</li> </ul>	1 hour for each hour of productive attendance (coffee and lunch breaks are excluded)
<b>Credit bearing programmes</b> <ul style="list-style-type: none"> <li>• Successful completion of credit bearing programmes registered with SAQA presented by higher education institutions or accredited training providers</li> </ul>	<ul style="list-style-type: none"> <li>• Statement of results</li> <li>• Certificate issued by the provider with SAQA ID number</li> </ul>	1 CPD hour each hour of productive attendance (coffee and lunch breaks are excluded) (Maximum of 15 hours per annum) (per programme)
<b>Presenting / facilitating</b> <ul style="list-style-type: none"> <li>• Presentations at conferences and seminars</li> <li>• Presentations for in-house CPD approved sessions</li> <li>• Presentations pertaining to compliance and related acceptable content</li> </ul>	<ul style="list-style-type: none"> <li>• Agenda of event</li> <li>• Power Point presentation</li> <li>• Participant handouts</li> </ul>	5 hours for each hour of presentation. This includes preparation time. These CPD hours may only be claimed for the first time that a presentation is delivered.
<b>Training</b> <ul style="list-style-type: none"> <li>• Attend training programmes (online or otherwise)</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence that programmes were successfully completed</li> <li>• Certificate of completion</li> </ul>	1 hour for each hour of productive attendance (Coffee and lunch breaks are excluded)

CPD activity	Examples of evidence	Eligibility
	<ul style="list-style-type: none"> <li>• Training handouts / slides</li> <li>• Signed attendance register</li> </ul>	
<b>Professional exams and assessments</b> <ul style="list-style-type: none"> <li>• Prepare for and writing the exam</li> <li>• Compiling the exam</li> <li>• Marking the exam</li> <li>• Assess work experience of candidates</li> <li>• Participate in panel interviews of candidates</li> </ul>	<ul style="list-style-type: none"> <li>• (Own) exam results</li> <li>• Institute’s records of involvement by the member</li> </ul>	1 hour for each hour of the exam / marking / panel interview (Maximum of 15 hours per annum)
<b>Industry related published research</b>	<ul style="list-style-type: none"> <li>• Title of research article or publication</li> <li>• Link to, or copy of the publication</li> </ul>	1 hour for each hour of research to a maximum of 30 hours per rolling CPD cycle
<b>Technical discussions or meetings as agreed with the Institute</b>	<ul style="list-style-type: none"> <li>• Agenda and minutes of meetings or discussions</li> <li>• Signed attendance register</li> </ul>	1 hour for every hour productively spent in discussion or meeting
<b>Committee work or other work done for the Institute as agreed with the Institute</b>	<ul style="list-style-type: none"> <li>• Agenda and minutes of meetings or discussions</li> </ul>	1 hour for every hour productively spent in discussion or meeting (Maximum of 8 hours for the same meetings per annum)
<b>Coaching and mentoring (including mentees) as agreed with the Institute</b>	<ul style="list-style-type: none"> <li>• Evidence of coaching / mentoring session, e.g. agreed development plan, minutes, etc.</li> <li>• Signed document when sessions take place</li> </ul>	Maximum of 15 hours for mentors per annum, maximum of 8 hours for mentees

<b>CPD Review Coordinator:</b>	<b>Version number:</b>	<b>Date approved by Committee/ Board</b>	<b>Date of next review:</b>
Annette Bredenkamp	V.1	20 September 2017	September 2018
Annette Bredenkamp	V.2	1 June 2018	30 May 2019
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