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## **Certified Ethics Culture Advisor (CECA)**

**For Graduates of:**

**The Professional Diploma in Leading Cultural Change and Ethical Behaviour in  
Financial Services**

### **Continuing Professional Development (CPD) Scheme Guidelines & Regulations**

Welcome to the CECA CPD Guidelines & Regulations. This is an important document which sets out the CPD scheme requirements and regulations. You are advised to read this document thoroughly and retain it for reference during the CPD year.

Should you have any queries on the CECA CPD Guidelines & Regulations please contact IOB at 01 6116500 or at [info@iob.ie](mailto:info@iob.ie) or Compliance Institute at 01 7790200 or at [info@compliance.ie](mailto:info@compliance.ie)



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## Welcome and Introduction

Welcome to the CPD Guidelines & Regulations for those who hold the Certified Ethics and Culture Advisor (CECA) designation. This is an important document which sets out the CPD scheme requirements and regulations. You are advised to read this document thoroughly and retain it for reference during the CPD year. These guidelines are valid for the current CPD year and are subject to a yearly review.

CECA is a professional designation available only to those who hold the Professional Diploma in Leading Cultural Change and Ethical Behaviour in Financial Services and agree to comply with the CPD obligations associated with this designation.

Professional designations are a recognition of educational achievement and professional standing. A badge of excellence, they are an endorsement of academic qualifications, professional knowledge, and experience. The Certified Ethics Advisor is a non-mandatory industry designation.

Every person who holds the CECA designation is obliged to:

- Fully participate in the CECA CPD scheme and comply with all of its requirements, and
- Maintain membership of the Compliance Institute

Any breach of either one or both of these conditions will result in the loss of the CECA designation. This process is essential in maintaining the credibility and standing of the designation, and of those who continue to hold it.

## Eligibility for Membership of the CECA CPD Educational Scheme

The CECA CPD scheme is open to those who have successfully completed the Professional Diploma in Leading Cultural Change and Ethical Behaviour in Financial Services who hold current membership of the Compliance Institute.

## Designation

Members of the scheme are entitled to use the designation CECA, a Compliance Institute designation.

## Administration of the CECA CPD Educational Scheme

Administration of the CECA CPD scheme is carried out jointly by IOB and Compliance Institute.

## Summary of CPD Requirements

This is a brief summary of the main CPD requirements. You are advised to read this document in full for the detailed scheme rules and requirements.

- Total annual CPD requirement is 5 hours.
- At least 1 hour must be relevant to Ethics.
- At least 4 hours must be directly related to the Professional Diploma in Leading Cultural Change and Ethical Behaviour in Financial Services
- All CPD events must be accredited by IOB.

- CPD year runs from 01 January to 31 December. Hours must be completed by 31 December.
- All events must be recorded, and an annual return made by 31 January.
- A random sample of members are audited each year.

## Purpose of the CECA CPD Educational Scheme

The purpose of the CECA CPD scheme is to permit holders of the designation to keep their qualification current and to ensure that those who qualified in the past are as knowledgeable as those qualifying today.

## Continuing Professional Development (CPD) – General Definition

There have been many definitions of CPD by various individuals and bodies over the years. The Professional Associations Research Network in the UK carried out an extensive research project into CPD and in the process devised the following comprehensive definition:

*"CPD is any process or activity of a planned nature, that provides added value to the capability of the professional through the increase in knowledge skills and personal qualities necessary for the execution of professional and technical duties, often termed competence. It is a life-long tool that benefits the professional, client, employer, professional association and society and is particularly relevant during periods of rapid technological and occupational change."*

## Benefits of CPD

### You

There can be no doubt that the principal beneficiary of CPD participation is you. Your involvement should ultimately help you in both your professional and career development. CPD should help you to:

- Update your skills and knowledge on existing and new areas of relevance.
- Build client trust and confidence.
- Expand and hone your skills.
- Build self-confidence and conviction.
- Remain competitive.
- Raise your personal profile through networking and make you more 'marketable' to your existing and/or future employers.
- Gain a broader view.

### Your Clients

Your participation in the CPD scheme also benefits your clients, who will be reassured that you are a qualified, well-informed person maintaining your knowledge and skills by keeping in touch with ongoing developments in your business.

### Your Employer

Your employer or company benefits from your participation, as you are likely to be more efficient and productive, which obviously gives them a competitive edge.

### The CECA Designation

The fact that all CECAs participate in a common CPD scheme gives added value and credibility to the CECA designation itself. This has a positive effect on client and employer confidence, which in turn has a positive effect on you.

### The Financial Services Industry

The CECA designation which is backed up by a mandatory CPD scheme is a recognised stamp of quality for those who hold it.

### The Professional Body

The CPD scheme adds credibility to the professional body of which you are a member, namely Compliance Institute / IOB.

## Annual CPD Requirements



Every CECA is obliged to complete the same amount of CPD hours, irrespective of the area of business or the industry in which they are employed.

The annual requirement is **5 hours** (unless additional shortfall ('catch-up') hours are required, or a pro rata adjustment has been applied).

At least 4 hours must be directly related to the Professional Diploma in Leading Cultural Change and Ethical Behaviour in Financial Services

CECAs must also complete at **least one hour** of CPD each year which relates to **ethics**.

The CECA CPD scheme is essentially self-certifying and there will be no compulsory testing of knowledge/learning by Compliance Institute or IOB.

A sample of members will be selected for audit of their CPD hours each year (See 'Audit').



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## CPD Year

The CPD year runs from 1 January – 31 December each year i.e. hours must be completed in the calendar year. While the closing date for making an annual return, each year is 31 January (See 'Annual Returns'), **CPD hours must be completed by 31 December**. Hours completed in January count for that CPD year and cannot be counted for the previous CPD year.

## Surplus Hours

Any surplus accumulated in one year **will NOT** be carried into the following year(s).

## Definition of CPD for the CECA CPD Educational Scheme

CPD can be defined as 'active' participation in an activity, the subject matter of which meets the criteria (See 'The Compliance Institute Criteria in Relation to Awarding CPD Credit') for awarding CPD credit and includes attendance at seminars/training events, workshops, conferences, tested eLearning courses/modules, courses, and other events of equivalent standing.

CPD does not necessarily mean attendance at external seminars - relevant in-house training (including product training) and approved tested online training may also earn credit provided it meets the above criteria.

General reading and research will not count for CPD hours.

## The Compliance Institute Criteria in Relation to Awarding CPD Credit

The role of CPD is to:

- Keep qualifications up to date and
- Ensure (on an ongoing basis) that those who qualified in the past are at least as knowledgeable as those qualifying today.

Therefore, Compliance Institute and IOB have decided that CPD directly relevant to CECAs includes:

- Technical knowledge related to the syllabus of the Professional Diploma in Leading Cultural Change and Ethical Behaviour in Financial Services

The CECA CPD scheme will therefore span Compliance Institute's own CPD events relevant to CECA's and those provided by or recognised by IOB and other relevant external events e.g., in-company training.

Each CECA should endeavor to choose a mix of events broadly appropriate to his/her role.

The word "directly" is important in the context of the definition of CPD. The view of the Compliance Institute and IOB is that the requirement relates to the specific technical knowledge underlying the Professional Diploma in Leading Cultural Change and Ethical Behaviour in Financial Services and that it does not include wider skills (such as sales influencing skills and time management skills, for example).

CPD needs to be **widely spread**, to ensure that the holders of recognised qualifications maintain and enhance their knowledge across a range of topics. See examples of CPD spread and duplicate events in 'Examples of CPD'.

All courses/seminars/online training must meet the following criteria in order to count towards CPD:

- The material or content must be relevant to the Professional Diploma in Leading Cultural Change and Ethical Behaviour in Financial Services syllabus.
- Course presenters must have qualifications and/or knowledge and experience appropriate to the subject(s) being presented.
- The presentation must be conducted in an appropriate location (i.e. proper conference/business / in-house facility).
- The presentation/course must be at least a half hour in duration.
- If electronically delivered, the event/activity must meet the criteria described in 'Award of CPD Hours to Electronically Delivered Events and Activities'.

### Minimum & Maximum Duration – CPD Hours

- The minimum unit of time recognised and accredited for CPD purposes is a **half hour**.
- The maximum number of hours that will be accredited for any single event/activity/topic is **two hours**.
- The maximum number of hours that will be accredited for any single online course/module is **two hours**.
- The maximum number of hours that will be accredited for any single exam module (must be a minimum of 3 ECTS credits on a programme leading to a qualification at level 8 or above on the National Framework of Qualifications and CPD credit is awarded in the year the exam is passed) is **two hours**.

This is to ensure that CPD members achieve their CPD hours and enhance their knowledge across a range of topics rather than just one or two.

Time spent actively involved in a CPD activity will count and can include question and answer time, case studies and tests/exams etc. Time spent travelling to an event, registration time, coffee/lunch breaks, social time etc. will not count.

### Accreditation of Events for CPD Hours

All CPD hours must be accredited by IOB in respect of the CECA CPD scheme and will do so in accordance with the principles and criteria set out in 'Accreditation of Events for CPD Hours', 'The Compliance Institute Criteria in Relation to Awarding CPD Credit', 'Minimum & Maximum Duration - CPD Hours' and 'Award of CPD Hours to Electronically Delivered Events and Activities'.

Event providers companies/bodies/members applying for CPD hours for events should submit an online CPD Accreditation Request at [\\_iob.ie/cpdaccreditations](https://www.iob.ie/cpdaccreditations)

In the case of companies organising relevant in-company events/training for their own staff, it is recommended that one contact person in each company submits all requests for accreditation on behalf of their staff. Members should check with their training department/intranet site for further information on their company accreditation procedures prior to submitting any application.



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**All applications must be made before or within three months of the date the event was held. For the month of December, IOB will only review events held in December. The final date for submission of accreditations is 31 December.**

Members are required to attend for the full duration of an event in order to claim the CPD hours approved for that event. Where a member has not attended for the full duration, they are required to submit a new application for reduced hours. Evidence of attendance is required in the event of a CPD audit e.g., certificate of attendance, written/email confirmation from an employer confirming attendance etc. IOB reserves the right to contact the event provider to verify attendance for the full or part duration.

Event providers applying for CPD hours must hold records of attendance e.g., certificate of attendance, attendance sheet etc in the event attendees are selected for audit and confirmation of full/part attendance is required.

It is the responsibility of event providers to clearly advise attendees (in advance of the event) the accreditation number(s) allocated to the event by IOB, as well as the number of CPD hours applicable and the categories of CPD the hours awarded relate to. This should also be announced/indicated to attendees at the beginning/end of the event. If a company/event organiser amends the topics or duration of an event after it has been accredited, the event must be resubmitted for accreditation again.

Events accredited for CPD hours run by IOB and the IOB eCPD modules will be automatically recorded in the CECA's Online CPD Record on successful completion of relevant modules.

All CPD events, courses and training etc. are accredited for one CPD year only and must be re-accredited in each CPD year by application to [Re-accreditation | IOB](#)

## **Award of CPD Hours to Electronically Delivered Events and Activities**

In considering whether or not to grant CPD hours to eLearning courses and other electronically delivered events and activities, the relevance of their content is evaluated in the same way as other activities and events. In order to assess the level of active involvement required of its participants, IOB also carefully examines the learning approach and structure of electronically delivered events and activities. In this regard, to be awarded CPD hours:

### **Each eLearning course or module must:**

1. Be generally well-designed (e.g., divided into individual lessons or units of reasonable length, require little or no scrolling within pages, be easy to read and navigate).
2. Be highly interactive, requiring regular interaction between the course and the learner (through frequent exercises, questions, questions, links to websites or feedback etc.).
3. Incorporate a reasonable diversity of delivery approaches and/or media (e.g., appropriate combinations of text/slides, animation, pop-up pages, audio or video, attachments etc.).
4. Ensure that the module is designed so that individuals cannot bypass the learning material and go straight to the test.
5. Ensure that individuals spend a comparable amount of time completing a module as the accreditation awarded for the module i.e., if a module is accredited for two hours, then the module should take an individual two hours to complete, inclusive of the test.



6. Include computer-based testing to provide evidence that a learner has assimilated the knowledge and skills contained in the course (the question bank should contain a greater number of questions than the test in the event that a person fails the test and has to re-sit to ensure that a predominantly different set of questions is presented in a re-sit test). Please see the following matrix as a guide:

Duration of Module	2 hours	1.5 hour	1 hour	½ hour
Number of Questions Required in Bank of Questions (Minimum)	48	36	24	12
Number of Questions Required in Test/Exam (Minimum)	24	18	12	6
Pass Rate (Minimum)	16	12	8	4

7. A minimum pass rate of 65% or over is recommended: -
- Be capable of providing appropriate confirmation that the learner has successfully completed the test.
  - Include a minimum of a half hour of relevant learning (including tests).
  - A maximum of two hours may be awarded to each eLearning module.

**Events delivered using Web Casting and Web/Tele-Conferencing and similar technologies must:**

8. Be transmitted 'live' (to allow for interaction between learner and presenter). Presentations which are not viewed/attended 'live' will only be accredited for CPD hours where they include a test that meets the criteria in point 6 above.
9. Be generally well-designed and create a productive learning experience (e.g., participants must be able to hear and/or see the presenter(s), while simultaneously viewing the presenters' materials (e.g., slides or simulations).
10. Provide opportunities for all participants to put questions (verbal or written) to and engage in discussions with presenters during the event (unless recorded).
11. Provide a means for course organisers to verify those participating at each venue (to include verification that the participant attended for the full duration e.g., log-in and log-out confirmation).
12. Include provision of electronic or hard-copy confirmation of attendance for the full duration to participants.
13. Include a minimum of a half hour of relevant learning.

**Examples of CPD**

Some general examples of activities normally expected to come within the definition of CPD are given below. Members are required to seek accreditation (See 'Accreditation of Events for CPD Hours') of **all external CPD hours**.

- Relevant in-house training programmes
- Relevant seminars/webinars run by Compliance Institute
- Relevant seminars/webinars/eCPD run by IOB
- Relevant seminars of other professional bodies
- Relevant online training courses. A maximum of two hours is accredited for any single online course/module. See 'Award of CPD Hours to Electronically Delivered Events and Activities'

- Some of IOB exams (must be a minimum of 3 ECTS credits on a programme leading to a qualification at level 8 or above on the National Framework of Qualifications). Hours are awarded on successful completion of exam in the year the exam is passed – no hours for study or exam preparation.
- Relevant exams of other professional bodies or other academic exams (must be a minimum of 3 ECTS credits on a programme leading to a qualification at level 8 or above on the National Framework of Qualifications). Hours are awarded on successful completion of exam in the year the exam is passed – no hours for study or exam preparation.
- Writing/research for thesis, study manuals, books, and other publications – considered on a case-by-case basis.
- Seminars, webinars, conferences related to the material or content must be relevant to the Professional Diploma in Leading Cultural Change and Ethical Behaviour in Financial Services syllabus i.e., relate to the subject matter in:
  - The theory and practice underpinning culture, ethics, leadership, behavioural change, supervision in the context of financial services sector and institutions.
  - The implications of ethical theories and behaviour and evaluate the intended and unintended consequences of proposed resolutions to ethical dilemmas and decisions affecting customers, shareholders and the public good.
  - An institution's attitudes and cultural behaviour with a view to discerning its culture, applying pertinent tools, models or frameworks.
  - The impact of group dynamics and behaviour on board or team decision-making.
  - Evaluation of existing policies and practices taking account of the commercial, consumer protection and societal imperatives in the context of delivering cultural change.
  - Usefulness or otherwise of moral rules, codes, standards or principals in leading and delivering cultural change.
  - Communication to internal and external stakeholders how cultural and ethical behavioural change can be addressed and facilitated to deliver outcomes in the best interest of the company, customers and society.
  - Self-reflection on ethical and cultural decision-making, in their role as leaders of cultural change.
  - Ethics training.
- Relevant lecture/seminar presentation (if a presentation is given multiple times during the year, only the first presentation of a lecture/seminar will earn CPD hours, research and preparation for the lecture/seminar cannot be included for CPD hours).

CPD needs to be **widely spread**, to ensure that members maintain and enhance their knowledge across a range of topics. Members should ensure that they do not include events in their annual return that cover the same material e.g., attending two Ethics events that cover the same material – only one event should be counted; attending a live event and the same event as an eCPD module based on that same live event, will not count for two individual events within a CPD year.



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## Excluded Activities

The following are examples of activities not considered to be either formal/relevant, in that they do not meet the criteria, and are therefore excluded from counting towards CPD:

- Study or exam preparation. CPD hours are awarded on successful completion of relevant exams in the year the exam is passed.
- Normal working activities
- General software/application training (e.g. Microsoft Excel, Word etc)
- Internet training
- General communications training
- 'Soft-skills'/general training (such as programmes or courses on telephone techniques, customer care, time management, writing/communication skills etc.)
- Product launches or other primarily social occasions
- 'Motivational' seminars
- Reading and research
- DVDs, TV programmes
- Podcasts

## CPD Programme

IOB offer CECA's a comprehensive and cost effective CPD programme to help them meet the annual CPD requirements. The programme includes:

### Online Courses – eCPD

The eCPD portal available via IOB Learn offers CECA's a selection of online courses covering topics that are relevant to this designation. eCPD modules completed in the previous CPD year can be re-taken to count for CPD hours in a new year. So that you can get the most from the content, we recommend that at least three months have passed since the eCPD module was last completed before you complete it again. See 'Access to IOB Learn' on how members can access IOB Learn. The eCPD modules will appear under Access CPD.

### CPD Events and Webinars

Events and webinars are organised by Compliance Institute and IOB throughout the CPD year. Members can keep an eye on Compliance Institute's [Events page](#) for details during the CPD year.

### Accreditation of In-company and Other Events for CPD Hours

As described in 'Accreditation of Events for CPD Hours', IOB accredits relevant in-company training and other relevant events for CPD hours. Members should submit an online CPD Accreditation Request at [iob.ie/cpdaccreditations](http://iob.ie/cpdaccreditations) prior to holding an event, course, online module to check if it meets the criteria for awarding CPD hours.

**All applications must be made before or within three months of the date the event was held. For the month of December, IOB will only review events held in December. The final date for submission of accreditation requests is the 31 December.**

## Qualifications Programmes

Many of IOB's qualification modules are accredited for CPD hours. Members will automatically be awarded the CPD hours on successful completion of relevant exams (upon release of the ratified results). Information on IOB's qualification modules can be found on IOB's website. Plus, other Educational Institute's programmes, which are on the NFQ and relevant to your designation.

## Pro Rata Adjustment of CPD Hours

In certain circumstances (see (1) and (2) below) a pro rata adjustment (reduction) in required CPD hours may be granted, provided the CECA is not working for the relevant period of time. In order to be granted an adjustment, CECA's must complete the online Pro Rata Form which can be found [here](#).

You must attach at least one of the following confirming your leave and dates;

(i) Letter/email from employer and/or (ii) Other supporting documentation e.g. maternity leave agreement or medical certs.

See Access to IOB Learn on how members can access IOB Learn.

CECA's who have been granted a pro rata adjustment in CPD hours will not be required to comply with the requirement to complete at the mandatory requirement to complete at least one hour of CPD which relates to ethics (but they may choose to do so) in the year the pro rata adjustment is granted.

CECA's who have been granted a pro rata adjustment in hours for part of a year **must still make an annual return** of hours completed for the remainder of the year by 31 January (of the following year).

## Statutory Maternity/Parental/Adoption/Carer's Leave

There will be a pro rata adjustment in CPD requirements for members taking statutory maternity leave (current maximum 42 weeks i.e., up to 26 weeks paid and up to 16 weeks unpaid leave), statutory adoption leave (current maximum 40 weeks i.e., up to 24 weeks paid and up to 16 weeks unpaid leave), statutory block parental leave (currently maximum 26 weeks per child) or statutory carer's leave.

The adjustment will be given for paid and unpaid statutory leave only i.e., does not include holidays, additional unpaid leave, or career break. CECA's should contact IOB in advance of taking such leave, to apply for a temporary exemption from CPD activity for the duration of the leave.

## Illness

Brief periods of absence due to illness etc. will not entitle a CECA to any adjustment in CPD requirements. However, those out of work due to long-term illness (two months or more) may apply for a pro rata reduction in requirements subject to medical certification of the illness.

## Circumstances where a Pro Rata Adjustment of Hours will NOT Apply:

A pro rata adjustment of hours will not apply in the following circumstances:

- **Part-time work/Job sharing**
- **Holidays** - including where taken immediately prior to or following maternity/adoption/parental/carers' leave.



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- **Retirement/Redundancy/Unemployment** - where a CECA wishes to retain the use of the CECA designation at any point in the future.
- **Career Break/Sabbatical Leave** - where a CECA wishes to retain the use of the CECA designation at any point in the future.

## Newly Qualified Members – Applying for your Designation

### Application on Qualification

Newly qualified persons will be invited by the Compliance Institute to apply for the CECA designation when final ratified results are issued by the relevant Exam Board. All newly qualified persons are advised to apply for the CECA designation by the required date outlined in this invitation (including those not currently working in the financial services industry who wish to use the CECA designation at any time in the future).

### Newly Qualified Members - Commencement of CPD

A person who qualifies with the Professional Diploma in Leading Cultural Change and Ethical Behaviour in Financial Services during the course of the year will be required to commence CPD activity from January in the year after qualification.

#### Applying for your Designation within 2 years of Qualification:

- If you apply for your designation in the year of qualification you will not be required to log any CPD hours.
- If you apply for your designation from January – December in year 1 or from January – December in year 2 after qualification you will have 5 hours CPD to complete before the 31st December the year the application was submitted.
- If you apply for the designation after 2 calendar years after qualification, then the late application rules will apply (see below).

#### Late Application after Qualification

Persons who do not apply for the designation within two years from 01 January following qualification and who wish to apply at a later date will be bound by one or more of the late application rules:

##### After 2 years and up to 4 years:

Members are required to complete 1 year of backdated CPD hours, pay 1 year backdated fees and are set up as suspended until backdated CPD hours are completed.

##### After 4 years and up to 10 years:

If members have not applied for the CECA designation after 4 years and up to 10 years of completion of their programme, they will need to successfully complete the reinstatement module and examination, to be admitted to the designation CPD scheme.

##### Over 10 years:

If members have not applied for their CECA designation after 10 years of completion of their programme, they will be required to requalify to be admitted to the designation CPD scheme.



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## Other Designations

CECA's who also hold other designations such as LCI, QFA, Registered Stockbroker, Chartered Banker, CIP etc. are required to make an annual return of CPD hours for each separate designation held. In some cases, the CPD hours completed for other designations may also count for the CECA designation (please note that the reverse is not always true). Members should check with IOB or the relevant professional body in the event of any queries on qualifying hours.

## CECAs not working in the Financial Services Industry

CECAs who no longer work in the financial services industry are required to comply with the CPD requirements if they wish to retain their CECA designation for current or future use. Members who do not comply with the CPD requirements will be subject to the procedure outlined in 'Failure to Comply'.

## Keeping Records & Support Documentation

Each CECA is responsible for keeping their own records in relation to CPD undertaken.

CECAs are required by IOB to use their Online CPD Record to manage, record and return their CPD hours.

CECA's are also required to keep supporting documentation as evidence of attendance at events or completion of a course e.g. certificates of attendance, certificates of completion, computer printout/record of completion, written confirmation from employer or event provider etc.

It is essential to keep personal records and supporting documentation, as members will be required to present original versions of them should they be the subject of an audit at any stage (see 'Audit'). IOB reserves the right to verify the information contained in the records, including the right to contact any of the organisations/people listed in a member's records.

Such records and documentation should be retained for at least six years

## Annual Returns

Every CECA is obliged to **make an annual return by 31 January** every year declaring:

- The approved events that make up their CPD hours for the previous calendar year i.e., 1st January to the 31 December, and
- That the hours completed conform to the requirements and the CPD criteria for CPD (See 'Annual CPD Requirements' and 'The Compliance Institute Criteria in Relation to Awarding CPD Credit').

CECA's are required to record all approved CPD events in their Online CPD Record in [IOB Learn](#). A members Online CPD Record will then form the basis of their Annual Return. The online Annual Return process usually opens in early December each year until 31 January of the following year. For further information please see [CPD End of Year](#) and [IOB FAQs](#)

The Annual Return must be made by the 31 January even if they have a shortfall on their CPD record. Thereafter, anyone who has not made an Annual Return will be considered not to have complied with the CPD requirements and will be subject to the procedure outlined below under 'Failure to Comply'.



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**CPD hours must be completed by 31 December each year.** Hours completed in January will count for that CPD year and cannot be counted for the previous CPD year.

## Audit

IOB will audit a random sample of member returns each year in order to verify that the hours completed conform to the requirements set out in 'Annual CPD Requirements' and 'The Compliance Institute Criteria in Relation to Awarding CPD Credit' and the information returned is true. Should a member be the subject of an audit they will be required to present supporting documentation confirming attendance/completion for each CPD event in their CPD return that is external to IOB.

Examples that could be provided to prove attendance are as follows:

- Written/email confirmation from the event organiser confirming attendance.
- Certificates of attendance/completion.
- Written/email confirmation from an employer confirming attendance.

Details of the records will then be verified, as seen fit by IOB (including, if deemed necessary, contacting any of the organisations/people listed in the records). Audits are predominantly random and so a member may be the subject of an audit on any number of occasions (successive or intermittent) and must comply by furnishing IOB with appropriate records/proof of CPD completed during the previous calendar year.

Members found to have returned hours without supporting documentation confirming attendance or events covering predominately the same material will have the events removed.

Any resulting shortfall will be carried to the following year unless a five-year shortfall warning already applies. (See 'Failure to Comply')

Penalty hours may also be applied in addition to the shortfall hours.

## Failure to Comply

Any CECA who:

1. Fails to make an annual return and/or
2. Fails to co-operate when audited and/or
3. Fails to pay their Compliance Institute membership fees

will be deemed to be in breach of the CPD scheme requirements and in breach of one of the primary conditions of holding the CECA designation (See 'Welcome and Introduction'). This will result in the removal of the CECA designation from the member.

Where a CECA is found to have made a false or seriously incorrect annual return, this will be considered misconduct by the member and will be referred for consideration under the disciplinary procedure for members, which may lead to expulsion from membership or other sanction. A member found to have made a false or seriously incorrect return of hours may also be permanently excluded from holding the CECA designation.

## Reinstatement of the CECA Designation

A person who has had their CECA designation removed due to failure to comply with the CPD regulations (1) to (3) in Failure to Comply is advised to apply to reinstate their designation immediately. Such a person should state their case in writing to IOB. Requests to reinstate the CPD membership are considered on a case-by-case basis.

### 4 years or less out of the scheme:

Members are required to complete 1 year of backdated CPD hours, pay 1 year of backdated fees, reinstatement fee and are set up as suspended until backdated CPD hours are completed.

### After 4 and up to 10 years out of the scheme:

Members are required to successfully complete the reinstatement module and examination. No reinstatement fee or backdated designation and/or membership fees apply in this case as module/exam fees apply.

### 10 years out of the scheme:

Members will be required to requalify to be admitted to the designation CPD scheme.

## Suspended Members

A person with a shortfall in CPD requirements may apply to be included in the CPD scheme as a 'suspended' member in order to complete the CPD shortfall but will not have the CECA designation reinstated at this time. Annual fees are payable while a suspended member of the scheme.

A person will be given credit for any verified CPD completed in the period prior to suspension to the CPD scheme relevant to the CECA designation.

A shortfall warning will be applied on reinstatement i.e., if the member fails to complete the CPD requirements as set out in Annual CPD Requirements in any of the five years following the most recent failure to comply, the CECA designation will be removed.

A person will be reinstated to the CECA CPD scheme as a full member once they are in compliance with the CPD requirements i.e., has completed any shortfall in CPD requirements and paid the relevant fees.

Suspended members should advise IOB in writing (email [info@iob.ie](mailto:info@iob.ie)) when they have completed the outstanding hours to be considered for reinstatement of the CECA designation.

## Appeals

A member may appeal against the application of the CPD regulations as set out in these Guidelines & Regulations. Appeals should be submitted in writing (email [info@iob.ie](mailto:info@iob.ie)) addressed to the Deputy Register.

## Access to IOB Learn

Members can access their CPD section in IOB Learn by logging into [IOB Learn](#) using their IOB number or email address and password and then by clicking on Access CPD on the IOB Members page or by using the quick links on the home page





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## Correspondence with Members

IOB will correspond electronically with CECA's during the year regarding CPD hours required, annual returns etc.

CECA's can access all such correspondence in [IOB Learn](#) using their IOB number and password, then clicking on *My Correspondence* from Member Resources.

CECA's will be alerted by email and SMS text (per the contact information held on IOB's records) when correspondence has been posted to *My Correspondence* on IOB Learn. CECA's are advised to check *My Correspondence* section regularly for important CPD communications. IOB may also correspond via email and SMS text with members.

## Provision of Information to Employers

The information provided by you on your CECA application form and generated during the course of your CPD membership may be used and disclosed by Compliance Institute/ IOB for all purposes which are reasonably incidental to the administration of your CPD registration and ongoing membership. Those purposes may include the disclosure of CPD hours and compliance to your employer and such other information as may be necessary.

## Change of Personal Details

CECA's are required to update their personal details in the *My Details* section of IOB Learn in the event of any changes to mailing address, email address, contact phone number, company details etc.

CECA's can change their personal details in [IOB Learn](#) using their IOB number and password, then clicking on *My Details* from Member Resources.

## Further Information and Contact Details

You can find further information in our CPD FAQs at [iob.ie/info/cpdquestions](http://iob.ie/info/cpdquestions) or you can contact us: -

CPD Helpline:	01 611 6500
Email:	<a href="mailto:info@iob.ie">info@iob.ie</a>
Post:	1 North Wall Quay, Dublin 1
Website:	<a href="http://iob.ie">iob.ie</a> and <a href="http://compliance.ie">compliance.ie</a>

Queries	+353 1 7790200
Email:	<a href="mailto:info@compliance.ie">info@compliance.ie</a>
Post:	5 Fitzwilliam Square E, Dublin 2, D02 R744
Website:	<a href="http://compliance.ie">compliance.ie</a>