



# **Continuing Professional Development (CPD) Manual**

Issued by Carbon and Energy Professionals New Zealand (CEP)

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# CEP CPD MANUAL

## OVERVIEW

This Continuing Professional Development (CPD) manual defines the skills and practice maintenance and development requirements for holders of CEP (Carbon and Energy Professionals New Zealand) certifications.

It informs certification holders, CEP's Executive, CEP's Training and Accreditation Sub Committee (CATS) and the CEP Board on the procedures and regulations for managing continuing professional development within CEP's competence system.

The manual was approved by CEP Board on 23 February 2022 and came into force on 1 April 2022.

This manual gives effect to Clause 17 of the CEP Constitution and is to be used in a manner consistent with the CEP constitution.

## 1. GLOSSARY

<b>Anniversary Date</b>	The annual anniversary of the date on which a certification is first awarded.
<b>Appeal</b>	The process of contesting a decision or determination of the CEP Executive or CATS.
<b>Audit</b>	A qualitative and quantitative investigation, verification, assessment and evaluation of CPD activity.
<b>CATS</b>	CEP's Certification and Training Sub Committee.
<b>Certification Holder</b>	The individual holder of a CEP certification.
<b>CPD</b>	Continuing Professional Development.
<b>CPD Review</b>	The process of reviewing CPD activity or recording.
<b>Endorsement</b>	Acknowledgement by CEP of the attainment of expert-level competence in the specified area.
<b>Private Study</b>	The activity of undertaking reading or study, relevant to the certification or endorsement being claimed against outside normal working activity. Research undertaken as part of a work project, task or duties would not be considered Private Study.
<b>Professional Practice Reading</b>	Technical, scientific or professional development reading relevant to the certification or endorsement being claimed against undertaken outside normal working hours. Reading undertaken as part of a work project, task or duties should not be included.
<b>Relevant CPD</b>	CPD that is related to the maintenance of knowledge, skills and experience of the certification for which a CPD points claim is made and/or that will contribute to professional performance.
<b>Repeat Delivery</b>	A repeat delivery is defined as the delivery of a course, presentation or webinar that has substantially common content to a previous course, presentation or webinar. Substantially common content is defined as 50% or greater common content.
<b>Rolling Average</b>	the annual moving average based around certification anniversary date.

## 2. INTRODUCTION

CEP provides competence certification within a framework which encompasses competence at a general level in the separate areas of energy, carbon and sustainability plus specialist, “expert-level” endorsements in a range of associated disciplines.

A structured Continuing Professional Development (CPD) process provides an effective way for holders of CEP certifications to ensure they remain up to date with developing trends and practices. It provides CEP with a process for assuring its certified members are effectively maintaining the qualities that are required for certification. In turn this ensures holders of CEP certifications and the business community that the CEP certification system is a meaningful and current mark of quality.

Certification eligibility requires initial demonstration of competence plus an ongoing commitment to maintenance of competence through demonstration of CPD.

This manual specifies:

- CPD requirements for maintenance of certification;
- Administrative rules for the CEP Board, CATS and CEP Executive on the process for managing CPD as a key process for maintaining certification;
- The mechanism for recording CPD;
- Guidance to certification holders on the types of CPD activities, their assigned value and minima and maxima activities required to maintain certification;
- Processes for maintaining the integrity of the system; and
- Procedures for dealing with appeals and complaints related to CPD claim acceptance.

Continuous learning keeps certification holders up to date, focused on where opportunities lie and builds both the broad base of skills required to be effective consultants and professionals as well as assuring clients of the depth of specialisations required to apply effectively innovative technologies and practices.

### **3. CPD BASICS**

#### **3.1 CPD Principles**

Continuing professional development underpins professionalism and is inherent in maintaining Competence.

The onus is on the certification holder to meet or exceed their CPD requirements and demonstrate CPD progress and achievements. Certification by CEP includes a direct accountability for professional development and is a condition of maintaining certification.

There is no upper limit to CPD and certification holders are encouraged to be pro-active and forward looking in their approach to building their competence.

Failure to satisfy the CPD requirement will result in the revocation of certifications or endorsements after due process.

#### **3.2 Basic Structure**

The basic structure will be that of a points based system with published conversion factors to allow time-based activities to be translated into qualifying points.

The basic structure of the CPD system will be that certification holders will be required to maintain a three-year rolling average of 120 points. A minimum of 20 points a year and an average of 40 points each year must be maintained.

Individuals holding multiple CEP certifications or endorsements must maintain a CPD record for each certification and endorsement.

#### **3.3 Failure to Maintain the Required Points Balance**

If CPD is not maintained, certification and endorsement holders will be formally notified of the shortfall at anniversary and required to update their CPD records.

If updated records still show a shortfall, certification and endorsement holders will be granted a 90 (calendar) day grace period in which to address the shortfall.

If, after the grace period, there remains a shortfall, the certification or endorsement will be listed for review by CEP's CATS with the expectation of revocation. Unless CATS receives information, it considers warrants further deferral and/or remedial action, the certification or endorsement will be revoked following the CATS meeting.

### **3.4 CPD Points**

Qualifying CPD activities will carry a specific number of points or conversion factors to translate time-based activities into points.

No activity can be double counted across CPD categories, for example, preparing course materials cannot be counted as Course Preparation (Category I) and Authorship (Category H).

A single CPD activity can be applied to all relevant certifications, for example an 8 point conference attendance can be applied to CPE and CPC certifications so long as the content is relevant to both.

#### 4. CPD POINT ALLOCATION

The points associated with specific activities are as follows:

CPD Category	Definition	What CEP expects	Points	Annual Maximum Claimable Points
<b>A</b> <b>Attendance on Formal courses</b> (in person or online)	Courses delivered in person or online to a constrained number of participating students, max 20.	Course to be relevant to the certification.	1 point per hour	20
<b>B</b> <b>Mentored skills development</b>	Time spent under the direct tuition or shadowing of a senior, experienced practitioner.	Mentoring to be relevant to the certification.	1 point per hour	20
<b>C</b> <b>Conference and webinar attendance</b>	Attendance at larger event (>20) either in person or online.	Claims should relate only to relevant sessions, e.g. an 8 hour conference with 2 hours of relevant material warrants a claim of 2 hours.	1 point per relevant hour	20
<b>D</b> <b>Conference or webinar presentation</b>	Delivery of educational or informational material to an audience of >20.	Presentation topic to be relevant to certification held or UN SDGs 7, 8, 9, 11, 12, 13. Preparation time does not qualify.	2 points per delivery hour for first delivery. 0 points for repeat deliveries	15
<b>E</b> <b>Private Study and Professional and Technical Reading</b>	Reading of technical, scientific, engineering or professional practice articles with an educational purpose.	Appropriate articles would include those in peer reviewed journals or published in respected, technical sources.	0.5 points per hour	10
<b>F</b> <b>Authorship</b>	Authorship of relevant, technical material delivered in printed form, e.g. journal articles.	Articles to be published in a peer reviewed or other, respected organ. Joint authorship is acceptable.	0.5 points per preparation hour	20
<b>G</b> <b>Course preparation and delivery</b>	Delivery of educational or informational material to participating students in groups of $\leq 20$ .	Course must be relevant to certification held.	2 point per delivery hour for first delivery 1 point per delivery hour for subsequent deliveries	20



CPD Category	Definition	What CEP expects	Points	Annual Maximum Claimable Points
<b>H</b> <b>Recognised, CEP mentoring</b>	Mentoring of a CEP Emerging Professional.	Mentoring time is expected to develop technical or professional practice skill sets of the mentee.	1 point per hour	20

## **5. RECORDING ACTIVITY**

CPD points are to be recorded online through the CEP website.

All certification holders will be expected to maintain a record for each certification held through the online system.

## **6. CPD SYSTEM INTEGRITY**

### **6.1 The Need to Maintain Integrity**

Maintenance of value in CEP certifications is critical and valuable to all certification holders. This will be achieved through maintenance of the integrity of the CPD system both in respect of the system achieving its objectives of continuous learning and maintenance of the knowledge sets of individual certification holders.

CEP will review certification holders' CPD by undertaking CPD audits. Audits are undertaken to:

- a) confirm the CPD policy and process is working effectively;
- b) confirm an individual's CPD needs are being met by the CPD process;
- c) confirm areas of competence are being effectively developed;
- d) validate CPD declarations;
- e) identify areas where directed assistance or development is warranted;
- f) specify corrective actions and additional CPD activities if required;
- g) as part of an investigation into competence complaints; and
- h) confirm previously identified corrective CPD actions have been effectively adopted.

### **6.2 Obligations of Certification Holder**

A certification holder is required to provide the information requested by CEP's CATS or Board during a CPD review. Generally but not exclusively, this will require provision of evidence of CPD activity.

### **6.3 Random Audits**

CEP will conduct random audits of CPD records without notice as and when it chooses.

### **6.4 Directed Audits**

CEP may conduct directed audits as part of a competence review process in the event of a complaint against a certification holder or evidence that a certification holder has recorded CPD inaccurately or outside determined guidelines.

## 6.5 Periodic Audits

CEP will conduct a programme of periodic CPD audits with the intent of reviewing each certification holder approximately once every three years.

CEP's CATS will maintain a sampling policy for CPD review to ensure the CPD system is satisfying its intent and objectives.

## 6.6 Requested Audits

A certification holder may request a CPD review or seek advice on any aspect of CPD. CEP encourages a proactive and responsive approach to competence development and will suggest competence development options if requested.

## 6.7 Impartiality

CATS ensures CEP's competence system and certification procedures are operated objectively and impartially to deliver CEP certifications in a non-discriminatory manner consistent with the ISO 17024 basis for CEP's competence system.

CATS certification policies and procedures shall be non-discriminatory.

CEP certification shall be available to all applicants whose application for certification meets CEP's published criteria for certification;

Certification shall not be conditional upon membership of any association or group.

Certification may be restricted without discrimination where there is an unacceptable risk to CEP, its members or certification holders. Such risks include but are not limited to:

- Evidence of fraudulent behaviour;
- Concealment of information; or
- Providing false information in an application or assessment process.

All CEP Board members, personnel, contractors and volunteers involved in the delivery of services:

- Shall act objectively and be free from any undue commercial, financial or other pressures that could compromise impartiality; and
- Are under a continual obligation to disclose potential conflicts of interest.

CEP shall not offer or provide any service that impacts its impartiality. CEP does not provide consultancy services, or any other services that pose a risk to its impartiality.



Certification decisions shall be made impartially by CATS.

The CEP Board monitors conformance to this impartiality policy through annual review of CATS, including its certification applications, assessment, reviews, complaints and management of risks.

## **7. APPEALS AND REVIEW POLICY AND PROCEDURE**

This procedure details the process for appeals received against CATS decisions.

### **7.1 Right to Appeal**

A certification holder is able to request an appeal against a decision or determination made by CATS related to the granting or maintenance of a certification.

The appeal process covers:

- a) refusal to accept an application;
- b) refusal to proceed with an assessment;
- c) corrective action request;
- d) changes or clarification in certification scope;
- e) decisions to deny, suspend or withdraw certification; or
- f) any other action that impedes the attainment of certification.

### **7.2 Submitting an Appeal**

Appeals must be received by CATS within 20 working days of notification of a decision by CATS. The appeal will:

- a) specify the grounds on which the appeal is made;
- b) include any relevant documented evidence; and
- c) outline any steps taken to discuss or resolve the issue prior to lodging the appeal.

While appellants are encouraged to submit appeals through CATS, appeals must be in writing and can be accepted by email, registered mail or equivalent.

### **7.3 Levels of Appeal**

There are two levels of appeals available. The appeals process shall follow the levels in sequence as listed below.

- a) Level 1 appeals are heard by CATS;
- b) Level 2 appeals are heard by CEP's Board.

#### **7.4 Review by CATS (Level 1)**

CATS will be screened by the CEP Board for any potential conflict of interest.

CATS members will review the appeal and may:

- a) rule in favour of the appellant, promptly notifying the appellant and taking appropriate actions to address the issues or remedy the appeal;
- b) rule against the appellant, notifying the appellant of this decision and informing such appellant of their right to appeal to the CEP Board Level 2;
- c) request additional information from the appellant or involved parties;
- d) involve other experts, screening them for conflict of interest in coordination with the appellant; or
- e) take any other action that is necessary or appropriate.

#### **7.5 Review by CEP Board (Level 2)**

The CEP Board will be screened for any potential conflict of interest.

The CEP Board will conduct a hearing of the appeal in the following format:

- a) introductions;
- b) background to the appeal and prior decisions presented by CATS or its delegate(s);
- c) presentations by appellant and any other materially interested party;
- d) rebuttals from each party;
- e) additional discussion; and
- f) closed session discussion limited to the members of CEP Board.

The CEP Board will make a decision by majority vote of its members and provide prompt written notification to CATS and the appellant.

As a result of the hearing, the CEP Board may decide to:

- a) rule in favour of the appellant;
- b) rule against the appellant;
- c) request additional information from the appellant or involved parties;



- d) involve assessors or other experts, screening them for conflict of interest; or
- e) schedule another hearing.

Provided the CEP Board possesses all the necessary information to make an informed decision on the appeal, it will take no longer than 30 days to reach a final decision.

CEP will promptly notify the appellant of the CEP Board's decision and in case of a negative decision its reasoning.