

# CPE ADVISORY

## 4. CPE DOCUMENTATION

### 4.A Introduction

4.A.01 The Statement on Continuing Professional Education issued by the Institute requires that the Continuing Professional Education Committee (CPEC) shall issue directions and other guidelines from time to time to enable program organisers as well as all other persons connected with Continuing Professional Education (CPE) activities at Programme Organising Units (POUs) level as defined in the Statement on CPE, to discharge their responsibilities.

4.A.02 This Advisory is a guidance and direction to POUs to maintain appropriate records of programs organised by them, of participation in those programs, and post-program requirements including documentation.

4.A.03 The documentation and procedures as prescribed in Clause 4.A.04 are to be performed on the CPE Portal mandatorily. No other form of record like hard copy, CD's etc. would be acceptable to the CPE Committee. The Problems, if any, in regard to the CPE Portal should be brought to the notice of the CPE Committee by the concerned POU.

4.A.04 All procedures like seeking approval of the programmes to be organized, uploading of the attendance of the programmes organized and the related issues should be conveyed through the CPE Portal only.

4.A.05 It is emphasised that Program Organising Units must follow the directions embodied in the CPE Statement.

4.B.01 Documentation with regard to Programs as per CPE Calendar and Non-Calendar Events. During the first quarter of every calendar year, the CPE Committee announces the CPE Calendar for the immediately following financial year. The CPE calendar is divided into two parts:

- Obligatory Topics
- Optional Topics

CPE Programme Organising Units (POUs) with more than one thousand members of the Institute should conduct at least 2 topics each from the Obligatory Topics and Optional Topics in each quarters. POUs with less than one thousand members of the Institute should conduct at least one topic each from the Obligatory Topics and Optional Topics in each quarter.

4.B.02 The approval of all the CPE Programmes must be sought in advance through the CPE Portal.

4.B.03 POU's must maintain records with respect to every program that they conduct. The records that are to be maintained in this regard are:

- Program details including estimated costs and surplus as per **Form 3** and **Form 4**. **Form 4** has to be submitted to the controlling body within 30 days from the date of the CPE Programme.
- Attendance records as per **Form 5** to be submitted to the concerned Regional council and also to be uploaded on the CPE Portal by the concerned POU within 72 hours of holding the Programme.
- Feedback from participants as per **Form 6** to be submitted to the controlling body.

4.B.04 The members can print their Certificate of Participation from the CPE Portal, after the attendance of the concerned programme is uploaded by the concerned POU on the CPE Portal.(**Form 7**)

4.B.05 After every program, soft copies of the background material distributed in the program be sent to CPE Secretariat.

4.B.06 Periodic reports are to be submitted in **Form 8**.

#### 4.C **Other documentation**

Regional Monitoring Committees are entrusted with task of monitoring of CPE activities in their respective Regions.

#### 4.D **Obligation for Production of Records as per CPE Statement**

4.D.01 At the time of paying the annual membership fees, a member who is obliged to undertake CPE as per Statement on Continuing Professional Education will be required to confirm that he had completed the minimum annual requirement of CPE credit hours.

4.D.02 A member has to submit the records in this regard for inspection as and when required by the Institute.

4.E *This advisory comes into effect from Nov.1, 2011.*

# Form 3

Name of the POU :

Format for Budgeted Financial Details of CPE Programmes

Budgeted Financial Details in respect of \_\_\_\_\_ (Details of the CPE Programme)

<b>Expenditure</b>	<b><i>Budgeted</i> Rs.</b>	<b>Revenue</b>	<b>Budgeted Rs.</b>
Honorarium to Faculty Members		Participation Fees	
Venue Charges			
Refreshment Expenses		Other incomes (with details)	
Rent for Training Equipments			
Programme Kits			
Travel Cost Outstation/Local			
Other Expenses (with details)			
<b>Surplus</b>		<b>Deficit (if any)</b>	

# Form 4

Name of the POU :

## Format for Financial Details of CPE Programmes

Financial Details in respect of \_\_\_\_\_(Details of the CPE Programme)

Expenditure	Budgeted Rs.	Actual Rs.	Revenue	Budgeted Rs.	Actual
Honorarium to Faculty Members			Participation Fees		
Venue Charges					
Refreshment Expenses			Other incomes (with details)		
Rent for Training Equipments					
Programme Kits					
Travel Cost Outstation/Local					
Other Expenses (with details)					
<b>Surplus</b>			<b>Deficit (if any)</b>		

# Form 5

## Format for CPE Attendance Record<sup>§</sup>

Name of the POU :

Details of the programme :

Date :

Topic : Time :

CPE Credit \_\_\_\_\_ Hours

S.No.	Membership No.	Name of the Member	Signature			Remarks, if any
			Day 1	Day 2	Day 3	

A Summary Sheet containing the names and membership number who had attended the entire programme should be sent to the concerned Regional Council (in case of programmes organized by Branches) and to the CPE Secretariat.

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<sup>§</sup> The POU's can circulate pre-printed attendance slips (which may be signed and submitted to the POU's by the participants) along with the CPE Programme kits.

# Form 6

## Format for Feed back for CPE Programmes

Name of the POU \_\_\_\_\_ :

Details of the Programme \_\_\_\_\_ :

Title of the Programme \_\_\_\_\_ :

Date and Timings \_\_\_\_\_ :

CPE Credit \_\_\_\_\_Hours.

**1. Your experience in the profession<sup>@</sup>**

(i)	Less than 5 Years	
(ii)	More than 5 but less than 10 Years	
(iii)	More than 10 Years	

**2. What were your immediate expectations before attending the CPE programme?**

(i)	A refresher/update for enrichment of knowledge	
(ii)	Shall be of a routine one which you were bound by the profession	
(iii)	An occasion to meet your fellow members and share your experience	
(iv)	Meet resource persons and get to know their expertise relating to your field	
(v)	Shall not be of any use to your job career	

**3. New areas of professional opportunities**

**4. Please indicate your assessment of the following aspects of the programme:**

(i)	Programme Design	Excellent	Good	Moderate	Poor
(ii)	Reading Material	Excellent	Good	Moderate	Poor
(iii)	Academic Content	Excellent	Good	Moderate	Poor
(iv)	Interaction Time	Excellent	Good	Moderate	Poor

**5. How were the arrangements made by the POU for the CPE programme?**

(i)	Meticulous and Excellent	
(ii)	Good	

<sup>@</sup> Kindly put tick marks wherever boxes have been provided.

(iii)	Satisfactory but average	
(iv)	Need to be improved	
(v)	Other comments, if any.	

6. Your opinion, was the CPE programme too tight scheduled?

i) Yes

ii) No

7. After attending the training programme, do you feel that you have been

(i)	Enriched with knowledge and highly motivated	
(ii)	Enriched with knowledge only	
(iii)	No enrichment and mere attendance for the programme	
(iv)	Desired that training programme be given at initial years and not in late years job	

8. Having been through this programme please give your suggestions for improvements of the future programme(s).

(i)	
(ii)	
(iii)	

9. Kindly indicate how effective were the following sessions/topics to you

S.No	Topic	Faculty	Excellent	<u>Very Good</u>	Good	Fair
(i)						
(ii)						
(iii)						
(iv)						

Name, membership number and address:  
(Optional)



# Form 7

Format for Certificate of Participation in the CPE Programmes

THE INSTITUTE OF CHARTERED ACCOUNTANTS OF INDIA  
INDRAPRASTHA MARG, NEW DELHI - 110 002

## RECORD OF PARTICIPATION

SERIAL NO: CPE/

WE ARE PLEASED TO RECORD THAT

\_\_\_\_\_  
(NAME OF PARTICIPANT)

\_\_\_\_\_  
(MEMBERSHIP  
NO)

HAS ATTENDED THE SEMINAR/COURSE ON

\_\_\_\_\_  
(SEMINAR/COURSE TITLE)

\_\_\_\_\_  
(HELD  
AT)

\_\_\_\_\_  
(HELD ON/BETWEEN)

\_\_\_\_\_  
(ORGANISED BY)

THE CPE CREDIT FOR THIS PROGRAMME IS \_\_\_\_\_HRS.

\_\_\_\_\_  
SIGNATORY

\_\_\_\_\_  
SIGNATORY

PLACE: \_\_\_\_\_

DATE : \_\_\_\_\_

# Form 8

## Format for Periodic Report on CPE Programmes by the Regional Council and Branches to the CPE Secretariat of the Institute

To

The Secretary  
Continuing Professional Education Committee  
The Institute of Chartered Accountants of India  
A-29, Sector-62,  
Noida-201309

Name of the Regional Council/Branch						
Period Covered (Month)			From:		To:	
Details of CPE Programme organised						
S. No.	Title of the Programme	Date	No. of participants	No. of members of ICAI participated	Nature of the Programme	
					Obligatory	Optional

Thanking you,

Yours  
faithfully,

Signature \_\_\_\_\_  
(Name of the Office Bearer /  
Officer)