

# Chartered Banker

Leading financial professionalism

*Continuing Professional Development*

*Application for*

*Approved Employer Scheme*

## Part 1: Introduction

The Chartered Institute of Bankers in Scotland [CIOBS] is working with financial services organisations to recognise the development activity staff undertake at their workplace so that it can be taken into consideration as part of our Continuing Professional Development [CPD] scheme.

In the first instance, the employer's development and appraisal scheme needs to be reviewed and approved by CIOBS as meeting the professional development needs of our members through confirmation that the 5 high level principles can be met.

More details can be found at [www.charteredbanker.com](http://www.charteredbanker.com)

## Part 2: Details of Organisation

CPD Approved Employer status is available to a department or a division or an entire group.

This can be determined by considering whether training and development policies are consistently applied across the area concerned. The principles outlined in the next section should be reviewed and a view taken on whether or not these can be adhered to across the area covered by this application.

Name of Organisation	
Main Address	
Contact Details Name: Address:  Office Telephone: Mobile: Email:	
Areas of Organisation covered by CPD Approved Employer Scheme [eg department, division or group]	

## Part 3: Principles of CPD Approved Employer Scheme

To achieve Approved Employer status your organisation must demonstrate its commitment to the 5 high level principles:

<b>Principle 1</b>	<b>Principle 2</b>	<b>Principle 3</b>	<b>Principle 4</b>	<b>Principle 5</b>
Organisations encourage employees to develop professional judgment and ethical sensitivity	Organisations are committed to developing their employees	Development opportunities are made available to individuals	Development activity is recorded and monitored	Development needs are reassessed and performance reviewed on a regular basis

Examples of the type of evidence you may wish to submit are provided in the APPENDIX which gives more detail on the level of information expected. Please note that you only need to provide sufficient examples to demonstrate that you meet the principles i.e. you do not need to provide evidence in respect of ALL of the examples highlighted.

Your organisation will be assessed for Approved Employer status on the basis of the information contained within the application form and any supplementary evidence provided. On receipt of your application form, a meeting will be arranged between CIOBS and your organisation to review the content of your application.

**Please indicate in the boxes below, the examples of evidence which you have enclosed with your application.**

### Principle 1

#### Organisations encourage employees to develop professional judgment and ethical sensitivity

Examples of Acceptable Evidence
Please insert the examples of evidence which you have enclosed for Principle 1

### Principle 2

#### Organisations are committed to developing their employees

Examples of Acceptable Evidence
Please insert the examples of evidence which you have enclosed for Principle 2

**Principle 3**  
**Development opportunities are made available to individuals**

Examples of Acceptable Evidence

Please insert the examples of evidence which you have enclosed for Principle 3

**Principle 4**  
**Development activity is recorded and monitored**

Examples of Acceptable Evidence

Please insert the examples of evidence which you have enclosed for Principle 4

**Principle 5**  
**Development needs are reassessed and performance reviewed on a regular basis**

Examples of Acceptable Evidence

Please insert the examples of evidence which you have enclosed for Principle 5

## Part 4: Assessment

You will be assessed against your organisation's ability to evidence their commitment to the 5 principles of our CPD scheme. If successful, that organisation's approved status will cover a 3 year period, subject to ongoing reviews.

In relation to each of the principles, we are looking to:

- establish what training and development provision is made available to staff
- how the training and development materials are accessed
- obtain appropriate documentation to support application

The information provided will be reviewed as part of the overall application process.

In addition, we will approach a sample of your organisation's employees to obtain feedback on how they consider the 5 principles are met by their employer. A similar exercise will be undertaken when carrying out the annual monitoring of members.

## Part 5: Fees

The fee charging structure for the scheme will be as follows:

- Corporate Patrons                      Free [part of Corporate Patronage arrangement]
- Non Corporate Patrons                £495 + VAT [for 3 year period]

This includes:

- Visit by CIOBS to complete application form
- Guidance on the type of information required as evidence
- Assessment of evidence and benchmarking against standards
- CPD Approved Employer Certificate

## Part 6: Declaration

Our Organisation confirms that it is:

- Committed to the 5 high level principles outlined in Part 3
- The information given on this form is correct and will be updated as required

Our Organisation understands that:

- Name of organisation will be included on CIOBS website as a CPD Approved Employer
- Failure to meet the required criteria may result in the withdrawal of Approved CPD Employer status
- Review of Approved Employer status is required every 3 years and will be based on the criteria in place at the time of renewal
- Employees, who are members of CIOBS, may be approached to ascertain how they consider their employer meets the principles of the scheme. This may be undertaken at the assessment stage or at anytime throughout the 3 year period as part of monitoring procedures.
- CIOBS may suspend or withdraw Approved Employer status in the event that:
  - there is material failure to meet the high level principles
  - there is failure to comply with CIOBS monitoring requirements
  - there are actions by Approved Employers deemed by CIOBS to be sufficient grounds for suspension or withdrawal of Approved Employer status

Our Organisation consents to:

- CIOBS processing this information under the UK Data Protection Act 1998. The information will be retained on a database for administrative and regulatory purposes and for use in developing new products and services.

The person signing this declaration is authorised to do so on behalf of the organisation.

Signature: .....

Job Title: .....

Date: .....

**Examples of Acceptable Evidence to support Principles of Approved Employer Scheme**

**Principle 1**

**Organisations encourage employees to develop professional judgment and ethical sensitivity**

Examples of Acceptable Evidence
<ul style="list-style-type: none"> <li>▪ Standard responsibility within all job roles focused on professional and ethical behaviour- see sample text enclosed</li> <li>▪ Group policy explicitly outlines support available for professional membership- see extract from staff handbook/ divisional intranet</li> <li>▪ Work with CIOBS in integrating '<i>Professionalism and Ethics</i>' module into development programmes- copy of divisional Learning &amp; Development programme enclosed</li> <li>▪ Regular appraisal of Treating Customers Fairly principles- overview of checks and measures in place and guidelines for management teams</li> <li>▪ Group commitment to codes of practice- e.g. Banking Code</li> </ul>

**Principle 2**

**Organisations are committed to developing their employees**

Examples of Acceptable Evidence
<ul style="list-style-type: none"> <li>▪ HR Training and Development infrastructure is in place including comprehensive Appraisal systems/ performance reviews and processes</li> <li>▪ Copies of relevant sections of HR Policy documentation on performance and appraisal systems including details of talent management programmes</li> <li>▪ Copy of appraisal/ performance review guidelines</li> <li>▪ Documentation showing that Training and development needs are included as part of the appraisal/ performance review process</li> <li>▪ Copy of guidance provided to employees including relevant Development plan templates</li> <li>▪ Development needs of members are identified- copy of performance review guidelines</li> </ul>

### **Principle 3**

#### **Development opportunities are made available to individuals**

##### Examples of Acceptable Evidence

- Details of the range of resources available and examples of activities undertaken by members
- Details of the Talent programmes in place to support the development of staff in line with their development plans

### **Principle 4**

#### **Development activity is recorded and monitored**

##### Examples of Acceptable Evidence

- Template of documentation used to record the outcome of development activities through the appraisal process
- Copy of appraisal/ performance review guidelines which describe how development activity should be recorded and monitored

### **Principle 5**

#### **Development needs are reassessed and performance reviewed on a regular basis**

##### Examples of Acceptable Evidence

- Schedule of appraisal process together with overview of HR team workplan
- Extract from training given to managers