

# PE Regulations 2021

## PE Regulations 2021:

	PE points		Tone at the Top sessions <sup>3</sup>
	Accredited	Electives <sup>2</sup>	
Managing Directors	10	20	2
Proxy Holders	10	20	-
Compliance Officers <sup>1</sup>	10	20	-
Client Managers, Compliance Officers and Management Team members	-	10	-

<sup>1</sup> for further details, see the April 2018 Compliance Officer Guideline (HQ website/publications)

<sup>2</sup> The electives include training for the purpose of acquiring knowledge and developing soft skills.

<sup>3</sup> Each TatT session also results in accredited points

### 1 PE obligation

1.1 Holland Quaestor members have a continuing professional education (PE) obligation. From January 1, 2021, the following obligation applies on an annual basis:

- Proxy Holders and Compliance Officers<sup>1</sup>: 30 PE hours a year, including 10 HQ PE-accredited ones and 20 PE elective hours.
- MDs: 30 PE hours a year, including 10 HQ PE-accredited ones and 20 PE elective hours. MDs must attend a minimum of 2 Tone-at-the-Top ('TatT') sessions a year, with the points attained falling within the obligation of 30 PE hours (note: TatT sessions always earn the participant HQ-accredited points).
- Client Managers, Compliance Officers and other Management Team Members: 10 PE hours, which can all be part of the elective curriculum.

1.2 Any excess of PE points attained (including both HQ-accredited and in the elective curriculum) can be carried over to subsequent years with no restriction. This provides scope for promoting participation in a longer-term course.

1.3 The training courses can be designed as required, including the format, with both content and soft skills contributing to the employees' development. A growing range of courses is available online, although these should preferably be alternated with in-person/classroom sessions.

1.4 PE points may also be awarded to employees at the various offices who offer these courses either within the company or elsewhere. The person attending the course receives 1PE in credit for any training course taking a full 60 minutes.

<sup>1</sup> Compliance Officers: see the April 2018 Compliance Officer Guideline (HQ website/publications)

## **2 Accountability**

- 2.1 In the annual audit, it is up to the organization and individual employees to provide evidence that they have fulfilled their PE obligation; they can do so by submitting proof of the PE registration for all employees with a PE obligation or by submitting the office's accredited HQ training and education policy.
- 2.2 The office must certify every year in its Self-Declaration that its employees have fulfilled the PE obligations set by Holland Quaestor.

## **3 Awarding PE points**

- 3.1 Several training and education institutions have been in possession of a standard HQ accreditation since January 1, 2019. A list of these accredited training courses is available on the HQ website (<https://hollandquaestor.nl/en/geaccrediteerde-opleidingsorganisaties-instellingen/>), with new courses being added regularly<sup>2</sup>
- 3.2 The number of PE points allocated to a course of study, module, seminar or training course is related to the number of actual training hours, i.e. excluding breaks, preparation for the sessions, and examinations. (1PE = 1 hour).
- 3.3 Accreditation for institutions or for office training policies is granted by the Holland Quaestor Education Committee.
- 3.4 Both the institution and the trust office must apply for accreditation of their training and education policy by completing the application form, which is available from Holland Quaestor.
- 3.5 PE points are always awarded in advance. Holland Quaestor's Education Committee requires at least two weeks for its assessment.

## **4 Confirmation of the points awarded**

The granting of the accreditation will be confirmed in writing.

## **5 Registering attendance**

The course organizer records the attendance of the participants at all training sessions, as well as providing written confirmation of participation afterwards, including the number of PE points earned.

## **6 Evaluation and Quality Assurance**

The Education Committee may conduct annual spot-check audits of the HQ-accredited institutions and/or courses of study/programmes.

## **7 Dispensations**

- 7.1 Part-time versus full-time workers. Part-time workers will remain subject to the full PE obligation.
- 7.2 Garden leave If a member of staff transfers from one trust office to another, the PE obligation continues to apply, since this is a personal obligation.
- 7.3 Long-term absence (four months or more) For employees on extended leave due to illness or for other reasons, the number of PE points to be attained on an annual basis can be adjusted on a prorated basis without the requirement to submit a prior request for dispensation to the Education Committee. Employees are personally (jointly) responsible for ensuring that their office management is consulted about this dispensation in a timely manner and that it is recorded in the employee's file.

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<sup>2</sup> This means you no longer need to submit any courses of study, modules, seminars or training courses in which people are enrolled at these institutions or through which you are organizing office training to the Education/Accreditation Committee in order to have HQ PE points awarded.

## **8 Objections**

If you wish to lodge an objection because PE points have not been awarded, or if you feel the number of points awarded is insufficient, you can do so by sending an email to the management at the following address: [info@hollandquaestor.nl](mailto:info@hollandquaestor.nl)

## **9 Penalty clause**

Non-compliance with the Continuing Professional Education requirement is subject to the penalty clause as set out in Article 6 of the Holland Quaestor Internal Rules.

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