

# AUDIT POLICY

CPD Australia



*At CPD Australia, we uphold values of inclusivity, diversity, and respect for all individuals, paying homage to the rich cultural heritage of Aboriginal and Torres Strait Islander peoples, as well as honouring the diverse backgrounds and experiences of every member of our community. With a commitment to fostering a culturally safe and inclusive learning environment, our CPD Home embraces the principles of equity and cultural responsiveness, ensuring that every participant feels valued and supported on their educational path.*

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**PURPOSE**

This policy is established to govern the annual audit process of practitioners' adherence to the CPD Program requirements, in accordance with the guidelines stipulated by The Medical Board of Australia. It specifies the methodology for selecting minimum 5% of participants for random audits each year and outlines the procedural steps undertaken during the audit.

**DEFINITIONS**

Term	Definition
Assessment	The initial phase to determine the appropriateness of CPD activity records against specific criteria outlined in the audit process.
Review	A secondary phase conducted by a CPD assessor to re-evaluate the assessment findings and address any uncertainties.
Appeal	A formal request from a member for an independent review of the determination by the CPD Australia Educational Board.

**AUDIT PROCESS**

OVERVIEW

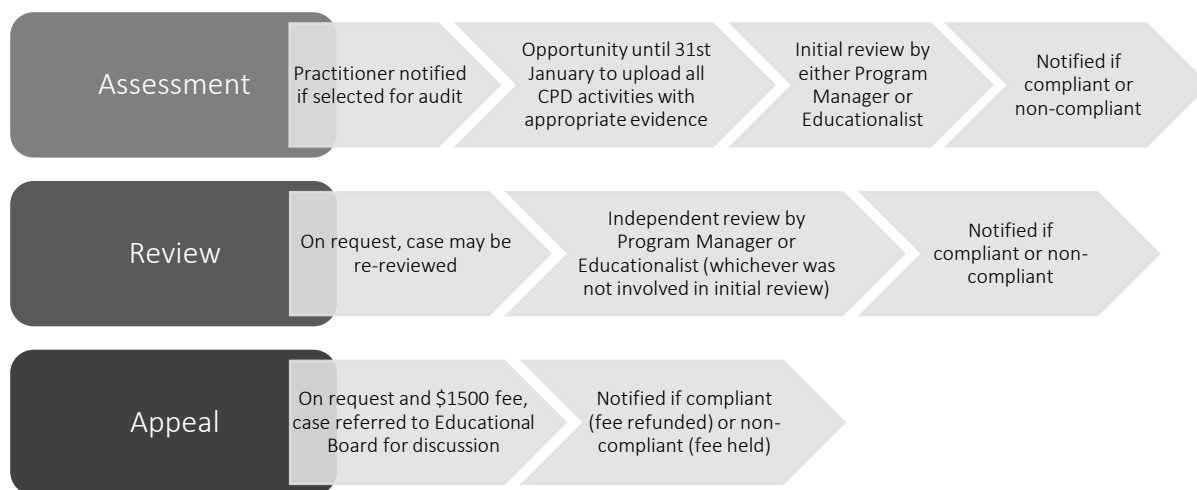
The CPD Program operates on an annual cycle from January to December. In January, practitioners will receive a notification regarding their compliance status. They have until January 31st to log and update their CPD activities for the preceding year.

Practitioners selected for audit will be informed via email shortly after January 1st. Audits are conducted between February and March. Those who have received an exemption from the CPD requirements, as per the Eligibility and Exemptions Policy, will not be audited.

PHASES

The CPD Australia Annual Audit consists of three phases: Assessment, Review, and Appeal.

*Figure 1) CPD Australia Annual Audit Process*



**Notification of Audit Selection:**

- Each year, after January 1st, CPD Australia will randomly select 5% of its eligible CPD Home participants to audit their compliance with the CPD Program for the past reporting period.
- Practitioners chosen for the audit will be informed in writing through an email notification.
- Practitioners must ensure their CPD activities are submitted by 31st January with uploaded evidence for each activity

**Phase One: Assessment**

- The audit documentation of a selected participant will be initially assessed by either the Program Manager or Educationalist, who are appropriately trained to assess the completeness of evidence and educational quality of the CPD activities undertaken.
- The audit assessment will consider:
  - o Completion of a personal career development plan and self-reflection on the plan.
  - o 50 hours of activities that meet mandatory criteria, including at least 12.5 hours (25 per cent of the minimum) in educational activities, at least 25 hours (50 per cent of the minimum) in activities focused on reviewing performance and measuring outcomes, with a minimum of five hours for each category, and the remaining 12.5 hours (25 per cent of the minimum), and any CPD activities over the 50-hour minimum across any of these types of CPD activity
  - o At least one activity that is relevant to each of the following components of the Good Medical Practice Code of Conduct and meets program-level requirements: Encourage and promote culturally safe practice, address health inequities, maintain and develop professionalism, maintain and develop ethical practice.
  - o Required specialist high-level requirements (if applicable).
  - o Any other requirements and criteria, as necessary.
- Necessary examples of proof required for learning activities are found in *Program Requirements* document on our website.
- Quality of CPD activities will be assessed against the *CPD Activity Evaluation Framework* as required.
- If any discrepancies or uncertainties are identified, members may be notified via email and provided with opportunity to submit additional evidence or justification.

- Upon receipt of additional information, the Educationalist or Program Manager will complete the review, and provide a determination to the practitioner.
  - o A participant will be deemed to be 'non-compliant' in the CPD Program if they meet any of the following criteria:
    - fail to record the annual CPD requirements outlined in *Program Requirements*
    - fail a compliance audit.

#### Phase Two: Review

- If the audited participant disagrees with the initial determination, they may request a formal review. No fee will be incurred at this stage.
- The Educationalist or Program Manager will re-evaluate the case, depending on who did not participate in the original review. The reviewer may consult external experts if needed and will make an independent decision, which will be communicated to the participant.

#### Phase Three: Appeal

- The audited participant may appeal the outcome of the review.
- The process for appeal is outlined in our Appeals and Complaints Policy.

### AUDIT COMPLETION AND REPORTING

- Following the completion of the audit process, participants who have successfully met CPD Program requirements will be notified in writing and issued a certificate of completion for the CPD year.
- All audit outcomes, including instances of non-compliance, will be reported to the Medical Board of Australia before July 1st.
- As part of our continuous improvement process, the audit's findings and methodology will be examined by the Educational Board and the Organisational Leadership to identify potential enhancements to either the CPD Home or Program or the audit process itself.

### CPD ACTIVITY ASSESSMENT

A separate review mechanism is in place that runs during the CPD annual cycle, in which a sample of activities not uploaded under a suggested activity category will be assessed by the Educationalist and Project Manager to ensure it meets the necessary educational value and relevance standards required of CPD activities. This is termed the 'CPD Activity Assessment'. All activities are subject to the same standards outlined in the *CPD Activity Evaluation Framework*.

Individual activities offered by peak bodies with authority and expertise in the relevant area are presumed to meet the standards outlined in the framework and so may be approved without review. For example, CPD Australia will recognise the CPD activities of AMC-accredited specialist medical colleges, AMC-accredited CPD Homes and other peak bodies such as the Australian Indigenous Doctors' Association without assessment.

By default, all activities uploaded will count towards the practitioner's selected CPD requirements. However, if a CPD activity is rejected, the practitioner will be notified and will not count towards meeting yearly requirements.

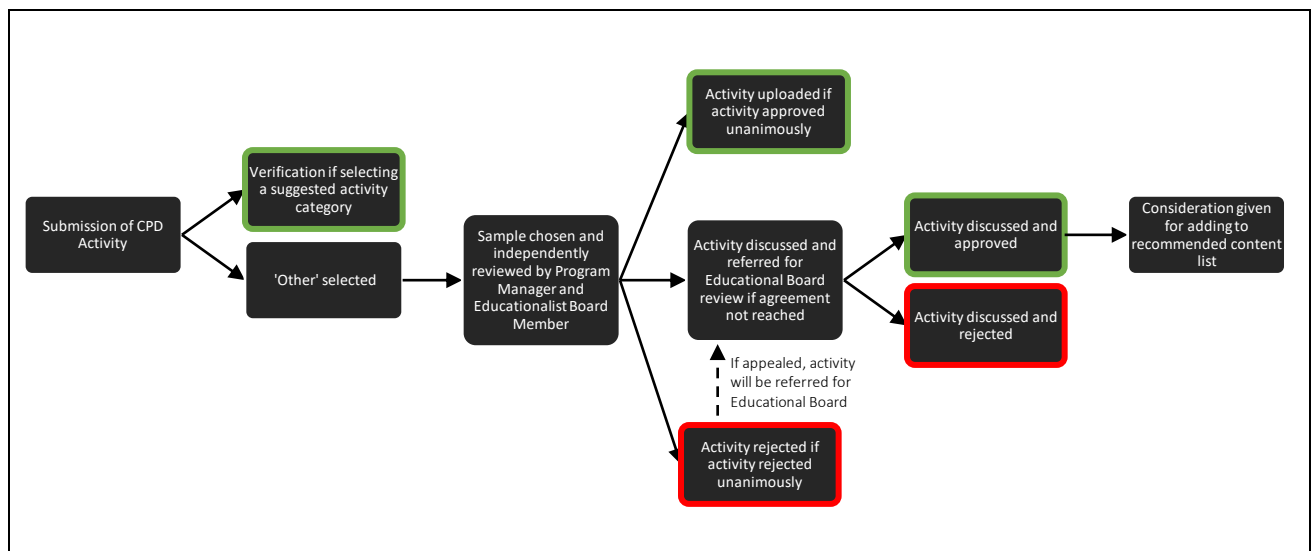
The process for the CPD Activity Assessment is summarised below:

Each month sampled activities will be sent to both the Educationalist and Program Manager, to make independent determinations on whether the activity is recognised based on the *CPD Activity Evaluation Framework*.

- If the activity is deemed by both the Educationalist and the Program Manager to meet the standards outlined and is to be recognised, they activity is approved and the practitioner notified.
- If the activity is deemed by both the Educationalist and the Program Manager to not meet the standards outlined and is not recognised, they activity is rejected, and the practitioner notified.

If a unanimous decision cannot be reached on discussion, the activity may be referred for discussion at the next Educational Board meeting. The *CPD Activity Evaluation Framework* will again be applied, and the practitioner notified of the outcome.

Figure 1) CPD Activity Assessment Process



If the practitioner wishes to appeal the determination, they may do so according to the process outlined in the *'Appeals and Complaints'* policy.

QUALITY CONTROL REVIEW PROCESS

In addition to this, the Educational Board will conduct a separate, independent review of the *CPD Activity Evaluation Framework* to ensure it is being applied consistently and fairly and indicate if there are areas that need improvement.

Audit Policy		
Status	Active	
Author	Lauren Jackson, Program Manager	
Review and Approved	Tristan Dale, Chief Operations Officer	
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<sup>i</sup> Used with consent by Karolina Grabowska, available at pexels.com