



AUSTRALASIAN COLLEGE
FOR EMERGENCY MEDICINE

CONTINUING PROFESSIONAL DEVELOPMENT

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POLICY ON CPD COMPLIANCE AUDIT

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1. PURPOSE AND SCOPE

The Australasian College for Emergency Medicine (ACEM/the College) conducts Continuing Professional Development (CPD) programs to ensure medical practitioners practising in the field of emergency medicine maintain and improve their knowledge and skills as applicable to their professional practice. These programs are designed to meet the requirements of the Medical Board of Australia (MBA) and the Medical Council of New Zealand (MCNZ) for the purposes of individual practice.

This policy is made pursuant to Regulation E1: Recertification. The purpose of the ACEM CPD programs are to:

- demonstrate the accountability of medical practitioners practising in emergency medicine to the community by monitoring their participation in CPD;
- comply with relevant legislation and other jurisdictional requirements.

This policy applies equally to participants in both the Specialist CPD Program and Non-Specialist CPD Program, except where otherwise stated herein.

2. DEFINITIONS

'Auditee' means any participants selected for a compliance audit.

'CPD year' means the 12 month period starting on 1 July and ending on 30 June the following year.

'Close of each CPD year/cycle' means the 31 July immediately following the end of the relevant CPD year.

'Participant' (except where the context otherwise allows) means any person participating in an ACEM CPD Program, irrespective of whether or not they are a member of ACEM.

'Practice', 'clinical practice' and **'non-clinical practice'** have the same meanings as those given by the MBA or the MCNZ, according to the appropriate jurisdiction.

'Completion'

means the participants have recorded the minimum requirements of an ACEM CPD Program for the CPD year and/or three year CPD cycle.

'Compliant'

means the participants of an ACEM CPD Program have successfully passed a CPD Compliance audit for the CPD year and/or three year CPD cycle

'Non-Compliant'

means participants of an ACEM CPD Program for the CPD year and/or three year CPD cycle who meet any of the following criteria:

- do not satisfy minimum requirements for a CPD year and/or cycle;
- fail to submit their audit by the due date;
- fail a compliance audit - results in non-compliance.

3. COMPLIANCE AUDIT OF THE SPECIALIST CPD PROGRAM

Pursuant to Regulation E1.2, the CPD Committee shall conduct a compliance audit annually to determine whether auditees are compliant with the requirements of the Specialist CPD program. The CPD Compliance Audit process is outlined in detail in the *ACEM CPD Compliance Audits Standard Operating Procedure*.

3.1 Selection for Audit

Audit cohorts

Immediately following the close of each CPD year and cycle, a cohort of a minimum of five (5) per cent of participants in the Specialist CPD program shall be selected for compliance audit in respect of that year and/or cycle.

The cohort shall include any 'mandatory auditees', being those who:

- (a) had been granted a deferral from the audit process in relation to the CPD year immediately preceding the year to which the current audit relates;
- (b) failed to record minimum requirements in respect of the year and/or cycle to which the audit relates;
- (c) failed to submit a compliance audit by a nominated due date in the immediately preceding CPD year to which the current audit relates;
- (d) failed a compliance audit in the immediately preceding CPD year to which the current audit relates.

The remaining auditees for the CPD year and/or cycle in question shall be selected randomly from CPD participants.

Mandatory auditees may be selected for audit more than once in any given CPD cycle.

Immunity from Audit

CPD participants who, due to CPD commencement date or exemption, have no requirements for the year or cycle under audit shall not be randomly selected.

Auditees who pass the compliance audit of a CPD year shall not be randomly selected for audit more than once during the relevant three-year CPD cycle.

Auditees who pass the compliance audit of the cycle shall be exempt from being randomly selected for audit in the first year of the following cycle.

Auditees who subsequently withdraw from the Specialist CPD program shall have their audit requirement waived. Immunity will be revoked should the individual subsequently apply to re-enrol in any ACEM CPD program, and must pass the applicable audit requirements before the application will be considered.

Randomly selected auditees who have passed an AHPRA audit in the 12 months prior to ACEM audit selection shall have their audit requirement waived.

Notification of Selection

Auditees shall be notified in writing that they have been selected for audit, and shall be required to submit their audit return within two (2) months of the date of notification for annual audits, and three (3) months of the date of notification for the cycle audit.

Extenuating circumstances

Applications for extension of time, deferral or waiver may be granted pursuant to the provisions of the College's *Exceptional Circumstances and Special Consideration Policy*. Applications should be submitted using the appropriate form available on the website together with all required information. Applications will be considered by the Chair of the CPD Committee and applicants notified of the outcome as soon as practicable.

3.2 Audit Requirements

3.2.1 All auditees selected for the first year of the CPD cycle will be audited against the minimum annual requirements for that year.

3.2.2 All auditees selected for the second year of the CPD cycle will be audited against the minimum annual requirements for that year.

3.2.3 All auditees selected for the final year of the CPD cycle will be audited against the minimum cycle requirements. Mandatory auditees who have failed to record the minimum annual requirements for the final year of the CPD cycle will additionally be audited against the minimum requirements for that year.

3.2.4 All auditees who fail to pass the compliance audit(s) of the final year of the CPD cycle will subsequently be audited against the minimum requirements of each CPD year in that cycle, as well as the minimum cycle requirements.

4. COMPLIANCE AUDIT OF THE NON-SPECIALIST CPD PROGRAM

Pursuant to Regulation E, the CPD Committee shall conduct a compliance audit annually to determine whether auditees are compliant with the Non-Specialist CPD program requirements. The CPD Compliance Audit process is outlined in detail in the *ACEM CPD Compliance Audits Standard Operating Procedure*.

4.1 Selection for Audit

Audit cohorts

Immediately following the close of each CPD year, a cohort of a minimum of five (5) per cent of all participants in the Non-Specialist CPD program shall be selected for compliance audit in respect of that year.

The cohort shall include any 'mandatory auditees', being those who:

- (a) had been allowed a deferral from the audit process in relation to the CPD year immediately preceding the year to which the current audit relates;
- (b) failed to record the minimum requirements in the year to which the audit relates;
- (c) failed to submit a compliance audit by the nominated due date in the immediately preceding CPD year to which the current audit relates;
- (d) failed a compliance audit in the immediately preceding CPD year to which the current audit relates.

The remaining auditees for the CPD year in question shall be selected randomly.

Mandatory auditees may be selected for audit in two or more consecutive years.

Immunity from Audit

CPD participants who, due to exemption, have no requirements for the year under audit shall not be randomly selected.

Audit participants who are found to be compliant shall not be randomly selected for audit for the two CPD years immediately following the successful audit year.

Auditees who subsequently withdraw from the Non-Specialist CPD program shall have their audit requirement waived. Immunity will be revoked should the individual subsequently apply to re-enrol in any ACEM CPD program, and must pass the applicable audit requirements before the application will be considered.

Randomly selected auditees who have passed an AHPRA audit within 12 months prior to the ACEM audit selection shall have their audit requirement waived.

Notification of Selection

Auditees shall be notified in writing that they have been selected for audit, and shall be required to submit their audit return within two (2) months of the due date of the notification. In extenuating circumstances, an extension of time may be granted upon written request.

Extenuating circumstances

Applications for extension of time, deferral or waiver may be granted pursuant to the provisions of the College's *Exceptional Circumstances and Special Consideration Policy*. Applications should be submitted using the appropriate form available on the website together with all required information. Applications will be considered by the Chair of the CPD Committee and applicants notified of the outcome as soon as practicable.

4.2 Audit Requirements

All participants selected for audit will be audited against the minimum annual requirements for that year.

5. DOCUMENTATION REQUIRED FOR AUDIT

Unless an exemption has been granted, the minimum evidence which must be provided for the purposes of a compliance audit are:

- for all participants:
 - Hours of activity
 - Procedural skills
 - Cultural Competency requirement
- for participants registered with the MCNZ:
 - Audit of Medical Practice requirement
 - Peer review
 - Continuing medical education

The documentation required for audit as specified in the *CPD Provision of Evidence Guideline* must be provided to the College via upload to *MyACEM*.

If additional evidence is required, auditees shall be notified in writing and be required to comply within a four-week period. In extenuating circumstances, an extension of time may be granted upon written request.

6. ACKNOWLEDGEMENT OF COMPLIANCE

Unless the participant is selected for audit, an annual *completion* certificate is available via *My ACEM* for participants in the CPD Program.

A CPD *compliance* certificate will be available to participants via *My ACEM* upon successfully passing a compliance audit.

7. DOCUMENT REVIEW

Timeframe for review: every two (2) years, or earlier if required.

7.1 Responsibilities

Document authorisation: Council of Education
Document implementation: General Manager, Education / relevant unit manager
Document maintenance: General Manager, Governance and Standards

7.2 Revision History

Version	Date of Version	Pages revised / Brief Explanation of Revision
v1	Jun-2018	Approved by Council of Education
v2	May-2019	Revisions throughout to clarify compliance and selection for compliance audit.