



eCPD Module Monitoring and Audit Policy

Document Control

Date	Version	Approved by	Amendments made
29 March 2023	1.0	NZSTA Board	Nil

All policy effective as above except where individually noted.

Acknowledgement

The New Zealand Speech-language Therapists' Association (NZSTA) gratefully acknowledges Te Poari Whakaora Ngangahau o Aotearoa Occupational Therapy Board of New Zealand's Board ePortfolio Policy and the ePortfolio Audit Policy in the development of this document.

Purpose

The New Zealand Speech-language Therapists' Association/Te Kāhui Kaiwhakatikatika Reo Kōrero o Aotearoa (NZSTA) mandates engagement in the Continuing Professional Development (CPD) Framework for all registered and practising speech-language therapists.

Registered members with annual practising certificates provide assurances about the maintenance of their continuing competence through the appropriate engagement in professional development activities, as required by the [NZSTA Continuing Professional Development Framework](#) and as evidenced in the eCPD module.

eCPD audits are intended as an enabling and supportive process to help SLTs maintain their continuing eligibility to practice.

Scope

This policy applies to all speech-language therapists registered as NZSTA members and holding a current annual practising certificate.

Oversight and monitoring of the eCPD

The NZSTA has oversight of the eCPD module at different levels.

Declarations

Each time a speech-language therapist applies for a practising certificate, they are required to declare that they understand their requirements and meet them in regard to CPD and supervision.

Monitoring

The NZSTA engages in continuous monitoring of eCPD participation and supervision at various stages throughout the cycle.

Other

The eCPD module of an individual speech-language therapist may be viewed at any time by the NZSTA.

The NZSTA secretariat is available throughout the year to provide support, answer questions and provide CPD resources to members.

SLTs who do not meet these requirements will be reminded of this responsibility at various stages during each eCPD module three-year cycle.

Concerns and unsatisfactory results

In general, concerns about a speech-language therapist eCPD may be raised or identified by

- a notification from a third party or supervisor
- a referral from an audit process
- routine monitoring by NZSTA
- NZSTA staff

Concerns may be in the form of

- failure to engage with the eCPD module
- concerns about the content of the SLTs eCPD
- problems in achieving a required standard in their eCPD
- compliance issues are identified during an audit.

Where concerns or unsatisfactory results are identified, these will be managed according to the eCPD audit process. The process may begin at any step, and steps may be included or excluded depending on the circumstances. Unsatisfactory progress will be managed by the NZSTA Board.

Where the content of an eCPD module raises a question about the competence, conduct, or fitness of a speech-language therapist, this will be managed as a notification in accordance with the NZSTA raising a concern or complaints process.

Audit selection criteria:

Annually, at least 10% of the registered members will be audited with current annual practising certificates.

The selection of SLTs for audit of their eCPD module occurs based on one or more of several risk-based criteria:

Group	Rationale	Chance of audit
Random selection - annually	Registered SLTs with a current annual practising certificate will be randomly selected for audit	Low to medium (up to one in ten)

SLTs who have little or no evidence of eCPD module interaction	NZSTA requires all practising speech-language therapists to demonstrate their continuing development via the eCPD module. Those who do not meet this criterion may be selected for audit.	High
SLTs of a particular class	NZSTA may elect to audit a specific class or classes of SLTs. This may be due to the class's risk or other reasons as directed by NZSTA.	Medium
SLTs recommended for audit	NZSTA may audit an SLT due to a notification (such as from a complaint) that suggests the practitioner's practice may be at risk.	High

*Approximately 10% of eligible SLTs will be selected for audit each year.

Definitions and Responsibilities

Auditor

A person selected by the NZSTA board who meets specific criteria (Appendix two) and has been trained to carry out audits.

Audit manager

A staff member responsible for coordinating allocation and responding to enquiries from auditors or SLTs.

Executive director

The executive director (ED) will retain overall responsibility for the eCPD module process under delegation from the NZSTA Board.

Audit process and criteria

- SLTs selected for audit will be notified of this action. The audit manager will give SLTs selected for audit four weeks (20 working days) notice of their impending audit.
- The audit manager manages conflicts of interest and requests for deferment or exclusion. Grounds for deferment or exclusion may include:
 - Not currently practising (in which case NZSTA may recommend a change in membership status)
 - Personal issues (e.g., illness)
 - Scheduled leave
- Audits are conducted according to the eCPD module audit process (Appendix 1)

Non-engagement and unsatisfactory progress

As described in the eCPD module policy, concerns about the eCPD portfolio may arise as part of the eCPD module audit process, which will be managed according to the eCPD module audit process (appendix one).

When addressing concerns, the escalation process aims to be supportive in helping SLTs maintain their continuing competence to practice and provide safe care to the public.

Risk of harm

Where an auditor identifies a potential risk of harm, this will be referred to the NZSTA board portfolio holders for professional development and standards for further investigation and management under the complaints policy.

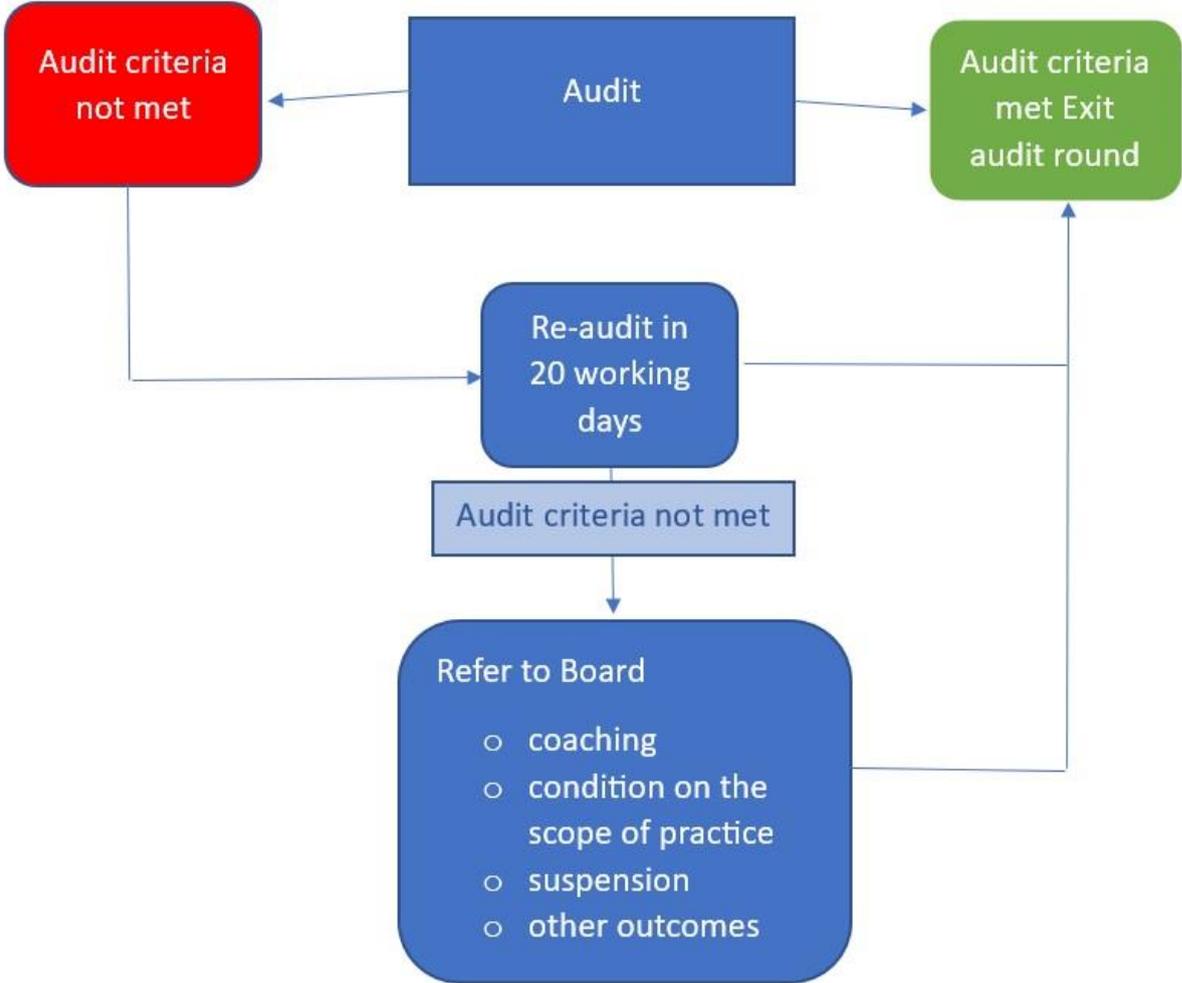
Grounds for referral may include unaddressed issues relating to the SLT's competence, conduct or fitness.

Reporting

Audit progress and outcomes are reported regularly to NZSTA Board. Matters of concern and or unresolved engagement will be reported to the NZSTA Board.

Appendix One

Audit process



Appendix Two

Auditor selection and appointment

NZSTA appoints auditors to carry out our eCPD module audits on its behalf. Auditors are appointed for a set period and may be required to apply for re-appointment when the period ends.

Each auditor will be expected to complete 10 - 15 CPD audits over two months.

Selection

Selection of auditors will be by a call for expressions of interest process and will require two members to endorse the expression of interest. The members endorsing will attest to the potential auditor's good reputation in the speech-language therapy profession and good interpersonal skills.

Current NZSTA board members are not eligible to be auditors.

Criteria for selection include:

- experienced in various speech-language therapy practice contexts, with over five years of post-graduate experience.
- registered in New Zealand as a speech-language therapist, holding a current practising certificate with no conditions on their scope of practice.
- adheres to the core values and ethics of a speech-language therapist.
- able to preserve the confidentiality of the information that comes to their knowledge while conducting an audit.
- suitably qualified with post-graduate qualifications or other evidence of advanced reasoning and critical thinking skills.
- experienced in providing supervision.
- experienced in the evaluation of clinical practice and audit processes.
- understands the reasons for engaging in and the content of an eCPD module
- experienced in the development and implementation of continuous quality improvement systems.
- currently engaged in the eCPD module cycle.
- be computer literate and able to manage to review eCPD modules online
- have excellent verbal and written communication skills.

Auditors are appointed as volunteers and are asked to sign volunteer and confidentiality agreements. They will be supplied with an NZSTA email address.

Auditors are provided training by NZSTA, which includes:

- Privacy and security
- IT training for accessing the member data
- Trial audits to ensure:
 - auditor inter-rater reliability.
 - consistency in feedback for SLTs.
 - consistency in the policy application.