

POLICY STATEMENT

ePortfolio Audit Policy

Purpose

The purpose of the ePortfolio audits is to provide assurance to the OTBNZ that the practitioners on its register are using the ePortfolio as a tool to maintain competence and to provide feedback and suggestions that we hope will enhance the use of the ePortfolio. The ePortfolio audit will examine the practitioner's ePortfolio and make an assessment of the practitioner's evidence of maintaining competence to practice. The auditors will provide feedback to practitioners. The ePortfolio process is seen as enabling and supportive in helping practitioners maintain their continuing competence to practice.

Definitions

Auditor

A person selected by OTBNZ, who meets certain criteria, and has been trained to carry out audits on behalf of the Board.

No response from practitioner

No response means that attempts have been made to contact the practitioner by the Audit Manager, and the practitioner has not responded. Or the auditor has not received a response from the practitioner despite a response to the initial contact.

Policy

General matters

- 1.** This policy is linked to the *ePortfolio Policy* and must be taken into consideration if changes are made to that policy.
- 2.** Each practitioner can expect their ePortfolio to be audited at least once in every 5 years. Approximately 20 percent of practitioners on the register will be audited each year.
- 3.** Practitioners holding current practising certificates will be randomly selected from the Register for ePortfolio audit. The OTBNZ may decide to target for audit a particular class or classes of practitioners. The Board will be informed of any changes to the audit class/es and why the change is required. (s41 (5).)
- 4.** The OTBNZ will develop audit standards and an audit tool based on the competencies for registration and continuing practice.
- 5.** An OTBNZ member of staff will be designated the Audit Manager, and will be responsible for the logistics of allocation and responding to enquires from auditors or practitioners. The Chief Executive will retain overall responsibility for the ePortfolio process.
- 6.** The OTBNZ will establish a pool of trained auditors to carry out the audit of practitioner's ePortfolio. The auditors will receive training prior to commencing in the role and annually thereafter. Part of the training will examine consistencies in application of the policy, feedback to practitioners and auditor inter-rater reliability.
- 7.** All auditors will be occupational therapists with at least five years experience. Selection of auditors will be by a call for expressions of interest and selection will be against established criteria.
- 8.** All auditors will be given contracts, confidentiality agreements, information on remuneration rates and an auditor handbook. They will have working links with the Audit Manager, Professional Advisor and CEO/Registrar.
- 9.** Each auditor will be given a list of practitioners to audit. Where there are conflicts of interest between the auditor and practitioner then re-allocation

will take place. The collation and timed allocation of practitioners for audit will be managed by the OTBNZ.

- 10.**The OTBNZ will formally notify practitioners who are targeted for audit that this action is being taken pursuant to section 41(6) of the HPCAA. Practitioners selected for audit will be given 4 weeks (20 working days) notice of their impending audit by the Audit Manager. Any further identified conflicts of interest must be addressed at this stage. If practitioners are unable to meet the four week notification for reasons of ill health, annual leave or special circumstances, the Audit Manager must discuss this with the Registrar or delegated deputy.
- 11.**Auditors will be issued with an *Auditors Handbook*.
- 12.**Auditors will communicate any audit feedback to practitioners using the audit tool/feedback form.
- 13.**The OTBNZ will allow reasonable time frames for practitioners to respond to requirements under its ePortfolio programme (s 41(4)).
- 14.**Auditors will submit reports which will be collated for presentation and review by the Board.
- 15.**The Registrar will deal with matters referred from the audit manager particularly where issues arise about compliance and/or concerns. The Registrar may be supported in this role by a designated deputy.
- 16.**Audit reports showing analysis and trends will be presented to the Board. The reports will usually follow each yearly audit cycle. Intermediate reports may be made to the Board when there are matters of concern or information on themes and trends.
- 17.**The Board will decide on any proposed changes to the audit target.
- 18.**Matters of concern and or unresolved engagement will be reported to the Board.
- 19.** The Registrar's process for dealing with engagement and /or concerns will follow the algorithm attached (Appendix 1). This will assist in managing the following issues:
 - a. no engagement with the ePortfolio process;
 - b. problems in achieving the required standard in the ePortfolio;

- c. compliance issues in the course of an audit;
- d. concerns about the content of the practitioners ePortfolio; and,
- e. where there is auditor / practitioner conflict of interest.

Date approved

June 2016

Review date

June 2018

A.Charnock

June 2016

Appendix 1

Figure 1 - Algorithm of the of ePortfolio audit processes and compliance (Recertification programme)

