

# Continuing Professional Development Audit Process

## **POLICY**

The Continuing Professional Development Audit Process (CPDAP) will be in respect of Continuing Professional Development Compliance Reports submitted for the immediately preceding year.

### **Objective**

To establish a process to verify compliance with the Institute's Mandatory Continuing Professional Development (CPD) requirements.

### **Audit Process**

1. The Manager of Compliance will conduct the audit.
2. Members/Registered Students<sup>1</sup> who are subject to audit will be selected randomly.
3. The CPD activities undertaken during the period subject to audit must be summarized as follows:
  - The title of the event attended, the name of the publication reviewed, or other identifying information as appropriate.
  - A description of the CPD activity undertaken.
  - The number of hours for each CPD activity.
  - The date on which the CPD activity took place.
  - Indicate the nature of the CPD Activity (verifiable/unverifiable)
4. Members/Registered Students subject to audit are required to submit to the Institute supporting documentation relating to verifiable CPD activities such as:
  - A certificate, transcript or other document evidencing completion.
  - A communication from the providing organization confirming registration, payment and/or attendance.
  - Copy of course or presentation materials, including date and speaker details.

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<sup>1</sup> Registered Students who may be required by the Institute's By-laws to complete CPD

- Meeting agenda or minutes.
  - Brochures or course descriptions.
5. The required information shall be submitted to the Institute to the attention of the Manager of Compliance within one month of being notified of selection for audit.
  6. During the conduct of the audit, it may be necessary for the he Manager of Compliance to contact the Member/Registered Student to request further information or explanation with respect to the CPD activities undertaken and the nature of their work and professional responsibilities.

#### **Non-Compliance with Mandatory Continuing Professional Development Requirements**

1. Any Member or Registered Student whose CPD was subject to audit and who did not provide appropriate and complete supporting information or whose CPD did not comply with the Institute's Mandatory CPD Requirements will be notified of non-compliance by the Institute and will be given 30 days to provide additional supporting information or submit explanation as to why the CPD is in compliance.
2. The provisions of section 6.2 of By-law 1 of the Institute, as amended, apply to all Members and Registered Students who fail to complete satisfactory CPD or who fail to report in accordance with CPD requirements.

Board of Directors  
November 29, 2018