

GUIDELINE 12

Procedure for Auditing Compliance with Professional Development Requirements

The objective is to maintain confidence in the PD achievements of Chartered Professional by an audit process. The majority of audits are selected from a statistically representative number of accredited Chartered Professionals for compliance with Professional Development, in accordance with the requirements of Guideline 9.

1. Statistically Derived Audit Sample Size

1.1 Definitions

1.1.1 The level of compliance, p , is the percentage of Chartered Professionals that complied with the PD requirements over the last three years. This is an actual percentage, which we would know if we were to audit everyone and is the number we are attempting to estimate by sampling a smaller group of CPs. The case when $p = 0.5$, that is to say, when half of the audited CPs do not comply and the other half does, is the case demanding the largest number of professional audited.

1.1.2 The confidence level is the probability that the estimate of compliance is correct. The recommended confidence level for the audit is 95 per cent, although any confidence level can be used.

1.1.3 The confidence interval is the range within which we expect the true estimate of compliance to fall for a given confidence level. It is expressed as the normalised value z , the number of standard deviations around the mean required to achieve the confidence interval. For a confidence level 95 per cent, $z = 1.96$

1.1.4 The margin of error, or precision, α , is the error of the estimate of compliance (the 'plus or minus' percentage). It is recommended that the margin of error be limited to $\alpha = 10.1$

1.2 Sample size calculation

1.2.1 If there were an infinite number of Chartered Professionals, the sample size n by the expression:

$$n_0 = \frac{\pm z 2p(1-p)}{\pm \alpha 2}$$

Example: To ascertain with a confidence limit of 95 per cent, that is to say a confidence interval of $z = 1.96$ – and a precision of level of 10 per cent, $\alpha = 0.1$ that at least half of all audited professionals comply with PD, $p = 0.5$, the size of the sample required is:

$$n_0 = \frac{\pm 1.96 2 \cdot 0.5 (1 - 0.5)}{\pm 0.12} = 96$$

1.2.2 For finite populations of size N , the finite sample size required, n is given by the expression:

$$n = \frac{n_0}{1 + \frac{n_0}{N}}$$

Example: Using the sample required for an infinite population as calculated above, $n = 96$ and adjusting it for a total of $N = 800$ Chartered Professionals in The AusIMM, the number to be audited n is:

$$n = \frac{96}{1 + \frac{96}{800}} = 86$$

2. Auditing Procedure

2.1 Determining the statistical sample

2.1.1 To the number of Chartered Professionals in the previous year, N , add the number of new accreditations and subtract the number of revoked accreditations to arrive at the number of Chartered Professionals in the current year N and determine the sample required in the current year, n_t , as explained in 1.2.1 and 1.2.2.

2.1.2 From the Register of Chartered Professionals, take out the names of the n_t and n Chartered Professionals audited in the previous three years, $t-3$, $t-2$ and $t-1$. Add the names of the professionals audited four years prior to the current year, n .

2.1.3 Using a uniform random number generator select n Chartered Professionals at random from the Register, request their PD Logbooks and assess in accordance with Guideline 7 Professional Development (PD).

2.1.4 Determine the level of compliance, p .

2.2 Determining the non-statistical sample

2.2.1 To ensure that Chartered Professionals do not statistically slip through un-audited for long periods of time, any Chartered Professional who has not been audited for seven years and has not been drawn in the statistical sample will be automatically added to the list of names to be audited.

2.2.2 Any Chartered Professional that the Board has reason to believe may not be fulfilling their PD requirements can be added to the list of names to be audited.

3. Auditing Process

3.1 Determination of and advance to the Chartered Professionals to be audited

3.1.1 During the first two months of the year the Secretariat will examine the Chartered Professionals on the Register and produce a list of those eligible to be selected in the statistical sample. The Secretariat will then determine the number of Chartered Professionals to be audited in accordance with Clauses 1.2.1 and 1.2.2, select the names of the Chartered Professionals from the list in accordance with Section 2 above and advise the Board. The Board will then advise the Secretariat of the number and structure of audit phases to be conducted during the year by the second Board meeting of the year.

3.1.2 The Secretariat will request in writing that those Chartered Professionals chosen for audit submit their Logbooks of their Professional Development as detailed in Guideline 9 according to the audit phases advised by

- the Board. The request will advise that they have been chosen in accordance with Guideline 12 of the By-laws of the Board of Chartered Professionals, will include a blank copy of a Logbook and will request that the Logbook for the year just ended, along with the two years preceding, be submitted to the Secretariat within two months.
- 3.1.3 An Audit Register will be maintained of the names of the Chartered Professionals to be audited, the date of the mailing of the request for submission of Logbooks and the subsequent actions.
- 3.2 Audit of the Logbooks
- 3.2.1 As Logbooks are received for audit the receipt will be noted in the Audit Register and the Logbook will be forwarded by the Secretariat electronically to two members of the Board for determination of compliance with Guideline 9, with a covering email requesting assessment and/or comment.
- 3.2.2 The Board members will review the Logbook and advise the Secretariat by of return email whether the Chartered Professional is in compliance with Guideline 9, or if not in compliance, where the non-compliance occurs. The reviewer's comments will be noted in the Audit Register.
- 3.2.3 If the reviewers determine that the Chartered Professional's PD is satisfactory then the Board as a whole will be advised by way of a summary at the next scheduled meeting of the Board. Any Board member may seek further details of Chartered Professionals Logbooks from the reviewers, or must accept the recommendation of the reviewers. After acceptance of the summary, the Audit Register and the Register of Chartered Professionals will be updated and the Chartered Professionals advised of satisfactory compliance.
- 3.2.4 If the reviewers find that the Chartered Professional's PD is not in compliance with Guideline 9 then the assessment will be submitted outlining the deficiency. The Secretariat will advise the Chartered Professional of the finding and give the opportunity for the Chartered Professional to comment. The status of the review will be noted to the Audit Register and the Chartered Professional will be allowed one month to respond.
- 3.2.5 Any response will be forwarded to the original reviewers for final recommendation:
- if compliance is found then the summary for the next scheduled meeting of the Board will contain that recommendation
 - if no compliance is found by one or both reviewers, then the matter will be referred to the full Board for resolution. Board members may request copies of the Logbook and all the correspondence. The Audit Register will be noted as regards the final outcome.
- 3.2.6 In the event that the Board finds that there is non-compliance in content of the PD program under Guideline 9, the Chartered Professional will be advised in writing that their name will be removed from the Register of Chartered Professionals and their exclusion from the Register will be noted in such form as the Board may decide upon.
- 3.3 Removal from the Register of Chartered Professionals. The Board may direct the removal of the name of any Chartered Professional from the Register for either:
- 3.3.1 non-submission of a Logbook as requested in writing, or
- 3.3.2 for non-compliance with the PD requirements. The Chartered Professional will be advised in writing that their name will be removed from the Register and their exclusion will be noted in such form as the Board may decide upon.
- 3.4 Annual process
- The Auditing Process detailed in Clauses 3.1 to 3.3 shall be performed annually in accordance with Clauses 2.1 to 2.2 above.