

NZSC - CPD Compliance Audits

An essential component of the NZSC Registration Board's recertification framework is the audit of CPD records. An audit is an official examination of CPD records against the five elements of the NZSC CPD log. These audits are a means of reassuring both the NZSC Management Board and the New Zealand public that practising Associate and Registered Safety Professionals (ASP or RSP) of NZSC are engaged in an ongoing process to maintain their competence within their relevant scopes of Health and Safety practice.

The NZSC Registration Board convenes a CPD audit panel and undertakes an annual audit of approximately 10% of registered professionals to assess their compliance with the NZSC CPD programme.

Every ASP and RSP may be called up to undergo a recertification audit by the CPD audit panel. You may be called up for audit within a five-year period.

Audit of Compliance with the Board's Recertification Framework:

Each year the NZSC Registration Board undertakes an audit of 10% registered professionals who hold a current ASP or RSP certification.

The NZSC website (members' area) contains the CPD Logbook (Excel spreadsheet). This document is downloaded by individuals and relevant details completed in the page "Log Book Summary". The five sections (tabs) must be completed by each ASP / RSP and submitted to the NZSC Registration Board, for review by the CPD audit panel by end of December annually.

Log Book Sections

- Learn
- Apply
- Share
- Serve
- Extend

Note that ASP and RSP are required to reach 80 points per annum.

The audit is overseen by the Registration Board and carried out by other Professionals nominated by the NZSC CEO, all of whom are registered safety professionals (ASP/RSP) of NZSC. All documentation is evaluated against a standard set of criteria. See link at bottom of this page to download a copy of the Registration Board's Recertification Audit Evaluation Form.

Audit participants are selected randomly. If you have been audited within the previous 3-year period and passed all of the audit requirements, your name will not be included in the

current audit. However if you were exempted, failed the previous audit or recalled for audit, you can expect to be included in the next audit.

You will be notified by email if your name has been selected for audit. You will be given approximately 7-8 weeks within which to provide the NZSC Registration Board with all requested documentation so it can be reviewed by the CPD audit panel.

You will be required to provide evidential documentation to support the areas of CPD for which you have claimed points, this includes:

- Evidence of CPD activities you have undertaken. For example, certificates of course attendance; course outlines, publications reviewed, reports, presentations, papers, etc.
- Activity records
- Your portfolio (if you have chosen to do a portfolio for further registration or upgrading within NZSC) rather than the option of meeting a specified number of credits

In addition to providing the above documentation you will also be required to complete a Questionnaire/Declaration which must be included with your audit documentation. This document must be completed by yourself as well as your immediate manager (if employed) or another NZSC registered professional (if self-employed). See link at bottom of this page to download a copy of the Registration Board Questionnaire/Practitioner/Employer Declaration Competence Audit form.

You must ensure that you provide all the requested documentation prior to the audit taking place, failure to do so could delay your audit results. Only photocopies of your audit documents should be submitted as they will not be returned to you after the audit has been completed.

The audit is usually scheduled for March of each year. This means that should you fail the audit you will have a 3 month timeframe within which to reach the required competency standard and/or remedy any areas of deficiency prior to the issue of your next annual ASP / RSP certification.

Exemption from Audits

You may be exempted from audit if you are currently:

- On maternity leave;
- Working overseas;
- On long-term sick leave (i.e. more than 3 months) and provide a medical certificate;
- Experiencing a family bereavement that results in non-practice for a period of greater than 3 months.

All requests to be exempted from an audit must be forwarded in writing to the NZSC Registration Board within 14 working days of your having received notification that you have been selected for audit.

- [Auditor Checklist | download pdf 26 KB](#)

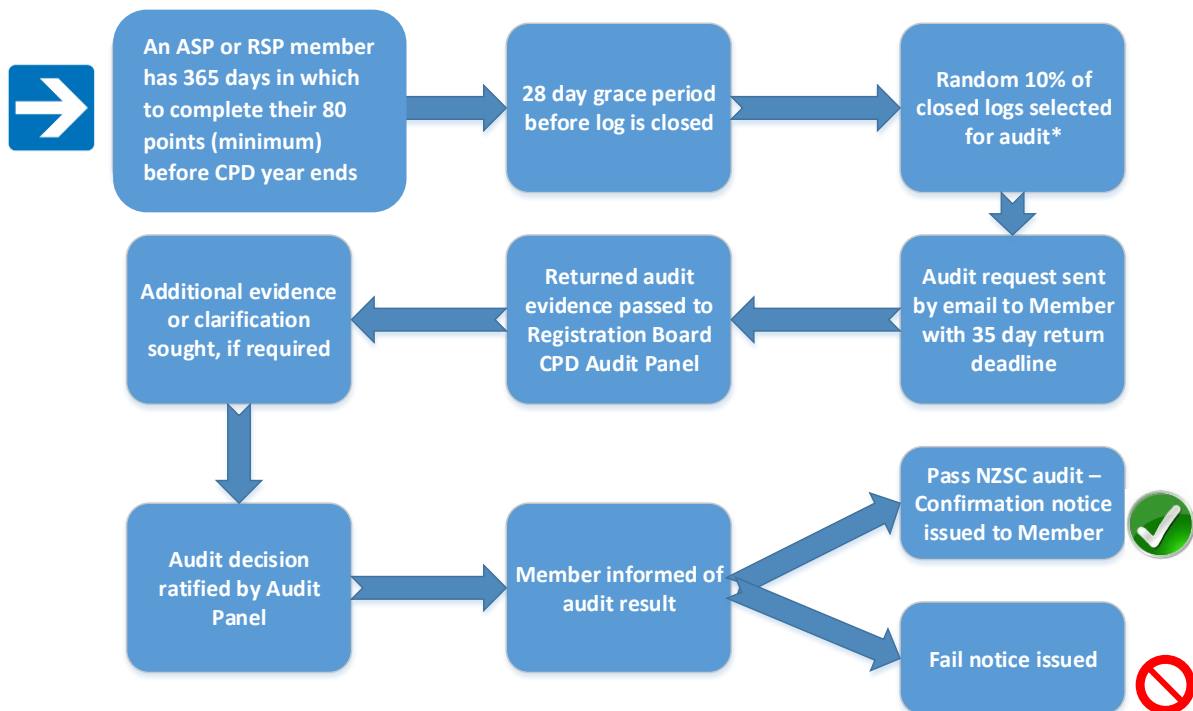
CPD Auditing

The NZSC has adopted a risk-based approach to the auditing of members' CPD records and selected auditing is carried out annually.

Members whose logs have completed the end of year process may be chosen randomly for auditing and will be asked to verify their CPD Log Book entries they have logged as CPD. Examples of acceptable evidence can be found in the CPD guidance notes.

Audit process

The chart below outlines the process and timeline for CPD auditing.



*Auditing occurs annually and members can be audited in consecutive years. Every user of the NZSC CPD scheme can expect to be audited a minimum of once every five years.

The CPD scheme supporting evidence guidelines will help you identify the supporting evidence you need to retain when entering CPD entries into your log over the 12 month period for which your CPD log runs.

Members who attend a third party CPD qualifying event should obtain a third party CPD certificate which has been completed and signed by the event provider.

Frequently Asked Questions

Below are some questions relating to the audit process.

Who will be audited?

A random sample of members from the ASP / RSP membership categories, representing 10% of the total number of registered members, will be selected for audit. Auditing occurs in March annually.

What will I be audited on?

The NZSC will audit at minimum of 80 points (ASP and RSP) for meeting the minimum requirements. NZSC attended workshops or presentations will count towards the total in the audit and evidence does not need to be provided for these activities. For non-NZSC CPD activities (i.e. Items that do not necessarily fit in the five Log Book section categories) that are logged on your record, you will be required to submit supporting evidence and will be audited on the appropriateness of this evidence based on the supporting evidence examples.

How will I know if I am being audited?

The NZSC Registration Board CPD audit team will contact you by email and inform you that you have been selected for auditing. All of the information required and the evidence guidelines will be included in this email.

How can I prepare for my log being selected for auditing?

We recommend evidence is electronically scanned / attached for all activities as these are added to the log however it can also be done at a later time within the CPD year. This reduces audit preparation burden. A Document portfolio of evidence may be submitted and this will be retained by the Registration Board, although electronic version is preferred.

How much evidence do I need to provide?

Members are required to provide the NZSC with a minimum of 80 points (ASP and RSP) evidence for audit. All of the points must have been earned within the preceding 12 months before submittal. The NZSC will audit each category and it is advised that evidence should be obtained for all five categories as this demonstrates a rounded learning professional. Members can select the evidence they wish to present for audit. Please note that if some of the submitted audit information is found to not meet the requirements of NZSC may need to contact you for additional evidence. Members do not need to provide evidence for reading, but need to ensure the learning outcomes contain full information as these will be reviewed by the auditors.

I've undertaken more than the minimum points required but I'm concerned some of my evidence may not be suitable. Can I send you excess evidence so I do not run the risk of failing?

Yes, although we will only review the additional evidence if problems are found. Please view the supporting evidence guidelines before submitting your audit to the NZSC if you do have concerns over the suitability of content.

How long should I keep evidence for my logged CPD activities?

Members are recommended to identify evidence pertaining to relevant sections of the CPD Log Book and are strongly advised to keep at least 1 years supporting evidence, at any time as Members can be selected for audit up to one year after the annual CPD log has closed.

Can I still log CPD for the next year if my log is currently under audit?

Once your previous year's log has been selected for audit you should continue to log any CPD earned for your current CPD year.

Can I be audited two years in a row?

Yes, members who have previously been audited are not exempt from future audits. However, members will only be audited once in a 12-month period.

Why is CPD auditing necessary?

The CPD scheme users' logs (Log Books) undergo regular auditing to ensure the quality of CPD logged is in line with the high standards required. If logs were not regularly audited, the scheme would not hold any credibility.

What kind of supporting evidence will I be asked to provide?

Please see the supporting evidence examples for more information. Please ensure evidence contains at least:

- identity of the member;
- proof of attendances;
- the activity undertaken;
- the topics covered within the CPD activity;
- the date and time;
- the provider;
- the duration (in hours) of the CPD activity;
- the score or grade (where appropriate)

How should I present my supporting evidence once I have it compiled?

Evidence should be compiled for each CPD entry within the year that has been selected for audit. Once you are happy that all required evidence has been gathered, you can then submit the Log Book and referenced documents (ideally electronically) for auditing and, from there, we would undertake an initial review.

How long will I be given to collate and submit my supporting evidence for my audit?

You will be given 35 days to submit your evidence from the time we notify you by email that your CPD log is under audit. Your audit deadline date will be included in the email confirmation.

How long will my audit take to process once submitted to the NZSC?

If there are no queries or missing evidence from the documents supplied, normally we would take up to 4 weeks to complete our assessment. Audits that are incomplete, contain unsuitable evidence or require detailed debate by the NZSC Audit Panel will take longer to process.

Who will audit my record?

Your NZSC audit panel contact will carry out a preliminary review of your CPD Log. Any issues arising from either the logged CPD entries or the uploaded evidence can be referred to the NZSC Registration Board.

Can I opt out of being audited?

You can. However, you will be deemed to have failed to have successfully met the NZSC's CPD target for that year. As such an audit fail will then be awarded and recorded on your CPD log. You will then receive written communication from the NZSC stating this outcome and the reason for the fail result being awarded. Please note, for NZSC ASP and RSP members, it is mandatory to meet CPD requirements and so opting out of the audit will impact on your registration status and you will not be able to submit your CPD Log Book evidence again until the next annual cycle.

How will I be notified if I have passed the audit?

You will receive a confirmation email informing you of your pass. Your NZSC CPD log will be updated to show that your log was audited and awarded a pass and you will receive an Audit pass certificate.

What happens if I refuse to complete the requirements of the audit?

If you refuse to complete the audit you will be deemed to have failed to have successfully met the NZSC's target for that year. As such an audit fail will then be awarded and recorded

on your CPD log. You will then receive written communication from the NZSC stating this outcome and the reason for the fail result being awarded. Please note, for NZSC ASP and RSP members, it is mandatory to meet CPD requirements and so refusing to complete requirements of the audit will impact on your registration status and you will not be able to submit your CPD Log Book evidence again until the next annual cycle.

What happens if I submit my audit but, having been reviewed by the NZSC Audit panel it is awarded a fail?

The NZSC auditors will contact you regarding your CPD log for further evidence or clarification. If after this no further information can be provided then a fail will then be awarded and recorded on your CPD log. You will then receive written communication from the NZSC stating this outcome and the reason for the fail result being awarded. Please note, for NZSC ASP and RSP members, it is mandatory to meet CPD requirements and so failing the audit will impact on your registration status and you will not be able to submit your CPD Log Book evidence again until the next annual cycle.

What happens to my personal ASP / RSP Registration if I fail my audit?

If you fail your audit your Registration status will be suspended and you will return to a **member grade only** for a year. If you then pass your subsequent CPD year and the audit you will regain your ASP / RSP Status. If you do not pass your subsequent CPD year or audit then your Registration status will be removed and you will then need to meet the current Registration criteria requirements to upgrade.

Can I appeal against the audit outcome?

Yes, by writing to the NZSC Chief Executive Officer, outlining your concerns. An independent panel of three current RSP's will be selected by the CEO to review the CPD panel audit decision and recommendations will be made to the CEO. The CEO will consider recommendations and make one of the following determinations.

1. Accept the panel's recommendations and progress
2. Reject the panel's recommendations and uphold the CPD panel audit decision

In either case the CEO's direction and decision is final and no other appeal can be made.