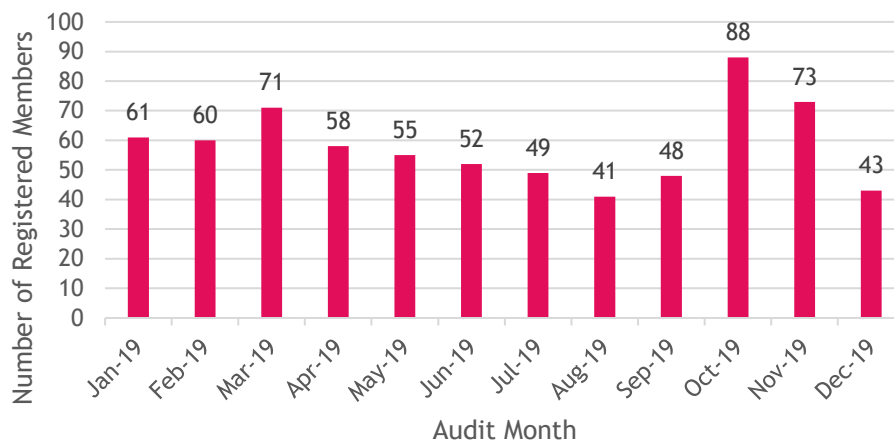


Audit data report 2019

Members who have been on the register for over a year are eligible to be audited for continuing professional development, supervision and indemnity insurance. Those that completed an audit at the point of their last renewal are excluded from the selection for the coming year. However, they are then included into the pool again for future years. This also includes members new to the register.

The register team reviewed the sample size in 2018 and has since lowered the percentage to 2%. This is in response to the significant increase in the number of registrants, the high standard of the audit submissions and the positive level of engagement with members. Graph 1 shows the number of members who were selected for audit from January to December 2019.

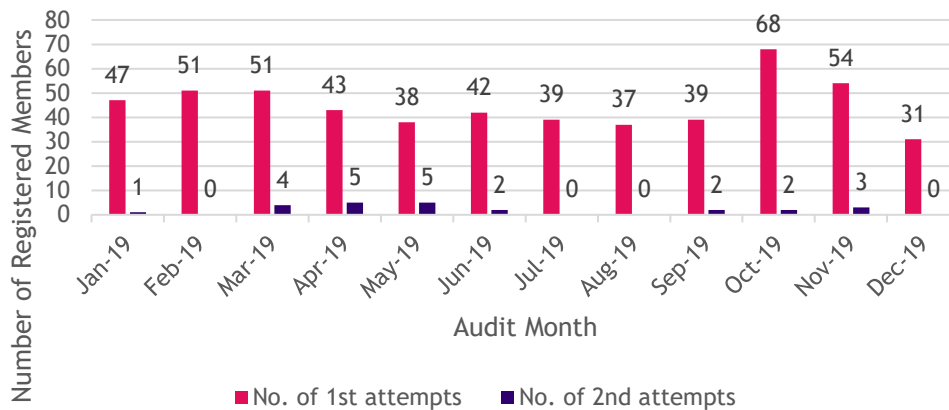
Graph 1. Number of Registered Members selected for audit between January to December 2019



From the number of members who have been selected for audit, 96% passed on their first attempt and 4% passed on their second attempt, from January to December 2019. Graph 2 shows the individual number of attempts of members who passed their audit across this time period. Those who passed on their second or third attempt were asked to provide further information for one or more of their audit documents. For instance, members have been asked to provide an amended CPD record as this was completed for the incorrect timeframe. However, as demonstrated in Graph 2, the percentage of these attempts are low. Members were also given a standard or strong pass as dependent on the level of detail included in their CPD record.

Of those who have passed their audit, 4 have been issued a letter of advice from January 2019 to December 2019. This process is in place when there is evidence that there may have been a low impact breach to the register terms and conditions that was minor or technical. Advice is given to avoid the likelihood of repetition.

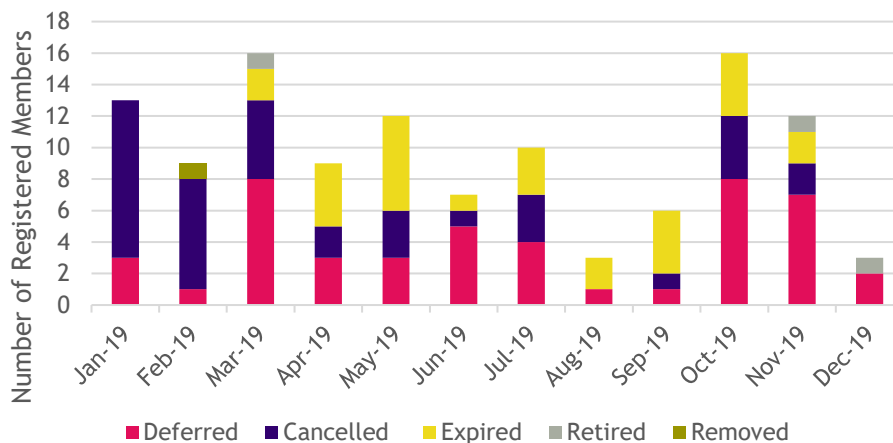
Graph 2. Members who passed their Audit based on number of attempts from January to December 2019



Some members who were selected for audit could not complete the audit process at all or on time due to personal circumstances. In these cases, their audit was either deferred for 12 months or extended in two-week increments. Extensions were also given if members did not receive the original audit selection email. If this was the case, members had six weeks to submit their audit from the date of receiving the same email again. On average around 4% of members were given an extension from April 2019 to December 2019. Months prior to April 2019 were not recorded.

Members who moved to the retired category or whose membership had lapsed were not required to complete the audit process. Members who did not engage with the audit process following multiple communications, such as phone calls and emails, were eventually removed from the register. Graph 3 shows the audit process from January to December 2019.

Graph 3. Audit process from January 2019 to December 2019



Currently, there are some pending audit tasks due to some submissions yet to be assessed, extensions, and waiting for some members to submit. Graph 4 shows the number of audit tasks remaining from January 2019 to December 2019.

Graph 4. Total number of Pending Audit Tasks

