

Recertification audit requirements

The recertification audit process underpins the Board's recertification programme and enables the Board to measure practitioner compliance and engagement with continuing professional development (CPD).

Recertification plan

A psychotherapist applying for an annual practising certificate (APC) must declare that they are involved in the Board's recertification process and attest to this when they sign their APC renewal form. Any psychotherapist who holds an APC during the practising year may be selected for an audit. If selected for audit, a psychotherapist is required to provide evidence of their ongoing professional development (recertification plan).

A psychotherapist participating in a recertification plan audit will be required to use the Board-approved template and submit their recertification plan paperwork within a specific period of time. A recertification plan should be relevant to and based on Psychotherapist Core Clinical Competencies, Cultural Competencies and Standards of Ethical and Legal Practice. There should be a clear connection between self-reflection, development and progress.

Recertification audit cycle

The recertification audit is a rolling audit and will cover 2 years. The cycle runs from 1 October to 30 September each year. When the Board audits a practitioner's recertification documentation, they will audit the completed recertification plan as well as review the intended recertification plan for the current year.

Recertification audit selection

Selection for audit will be random and/or requested by the Board, including but not limited to:

- the Board may consider the recertification plan of an identified category of psychotherapists (e.g. interim scope)
- the Board may require that, following the completion of a competence review or a disciplinary hearing, the psychotherapist's recertification plan activities are audited in subsequent audits
- any practitioner specifically identified for audit or re-audit.

Exclusion from recertification audit selection

There are sometimes extenuating circumstances where it is not possible or practical for a psychotherapist to be selected for audit:

- A psychotherapist recently issued with an APC for the first time can be excluded from random selection for that audit.
- A psychotherapist currently working with the Board on completing existing recertification requirements can be excluded from random selection for that audit.
- The Board may wish to exercise discretion to exclude a psychotherapist from selection for audit.

Exclusion from recertification audit participation

There are sometimes extenuating circumstances where it is not possible or practical for a psychotherapist to participate in an audits:

- A psychotherapist suffering from serious health problems or experiencing other exceptional circumstances may apply for a deferment of audit. However, they will be automatically included in the next audit following successful issue of an APC.

- Psychotherapists who indicated on notification of an audit selection their intention to retire or cancel their registration or declare themselves non-practising may apply for a deferment. However, if their circumstances change and they maintain their registration, they will automatically be included in the next audit following successful issue of an APC.
- Should a previously deferred practitioner subsequently apply for an APC, the Board will remind them of their obligation to participate in the next audit.

The Registrar will consider applications to be excluded from audit on a case-by-case basis.

Recertification audit non-respondent¹

All psychotherapists who have been selected for audit are required to acknowledge their selection in writing. A non-respondent is a psychotherapist who:

- has been selected to participate in a particular audit but does not respond in any format
- has initially acknowledged their selection in a particular audit but does not respond further.

The Health Practitioners Competence Assurance Act 2003 (HPCAA) section 43 contains provisions for steps that may be taken regarding unsatisfactory results of a recertification programme, including a review of the practitioner’s competence (HPCAA section 36(4)).

Recertification audit participation – extension of time request

A psychotherapist may apply for an extension of time by making a request in writing stating the date they believe they can submit by. Any submission must include the reasons for the time extension request. The timeframe should be reasonable for all parties. The Registrar will consider time extension requests on a case-by-case basis.

Unsafe practice or ethical or legal issues²

The Registrar is informed immediately if an auditor believes that a psychotherapist has potentially unsafe practice or an ethical or legal issue is identified in a psychotherapist’s recertification plan. Clear rationale for the potentially unsafe practice, ethical or legal issue must be provided. The Registrar may request further information from the practitioner and may determine that no further action is required or consult the Chair, or the matter may be forwarded to the Notification and Complaints Committee if deemed sufficiently serious.

<i>Approved by: The Board</i>	<i>Policy in effect from: To be approved</i>
<i>Previous review dates:</i>	<i>Date to be reviewed: November 2020</i>

¹ This policy assists the Board in fulfilling its statutory responsibilities under HPCAA section 41.

² This policy assists the Board in fulfilling its statutory responsibilities under HPCAA section 41.