

# ePortfolio Monitoring and Audit Policy

## Purpose

Te Poari Whakaroa Ngangahau o Aotearoa Occupational therapy Board of New Zealand (Te Poari) mandates participation in the ePortfolio as a recertification programme for all practising occupational therapists under section 41 of the Health Practitioners Competence Assurance Act (HPCAA). The ePortfolio provides Te Poari with assurance about practitioners' maintenance of their continuing competence through the appropriate engagement in professional development activities, evidenced in the ePortfolio. The ePortfolio audit process forms part of the ePortfolio oversight process.

ePortfolio audits are intended as an enabling and supportive process to help practitioners maintain their continuing competence to practice.

## Scope

This policy applies to all kaiwhakaora ngangahau occupational therapists who are registered in the General Scope of Practice and hold a current practising certificate in Aotearoa New Zealand

## Monitoring

Participation in the ePortfolio and nomination of an ePortfolio supervisor is mandatory for all practising kaiwhakaora ngangahau. The Te Poari engages in continuous monitoring of ePortfolio participation and supervision.

Practitioners who do not meet one or either of these requirements will be reminded of this responsibility at various stages during each ePortfolio two-year cycle.

The [ePortfolio reference guide](#) section 2.2 provides further information about participation requirements during the cycle.

## Selection criteria

The audit process exists to ensure that practitioners are continuing to demonstrate their competence to practice using the ePortfolio process. Selection of practitioners for audit of their ePortfolio occurs based on one or more of several risk-based criteria:

Group	Rationale	Chance of audit
Practitioners who have little or no evidence of ePortfolio interaction	Te Poari requires that all practising occupational therapists demonstrate their continuing development via the ePortfolio. Those who do not meet this criterion may be selected for audit.	Medium
Practitioners who have no nominated supervisor	Te Poari requires that all practising occupational therapists be actively engaged in supervision. Those who have no supervisor	Medium

	may be selected for audit as this may be indicative of isolation or lack of professional oversight.	
Practitioners of a particular class	Te Poari may elect to audit a particular class or classes of practitioner. This may be due the risk the class may present, or other reasons as directed by Te Poari.	High
Practitioners recommended for audit	Te Poari may audit a practitioner as the result of a notification (such as from a complaint) which suggests the practice of the practitioner may be at risk.	High
Random selection	Practitioners who do not meet any of the criteria above may be randomly selected for audit	Low

Approximately 20% of eligible practitioners will be selected for audit each year.

## Definitions and Responsibilities

### Auditor

A person selected by Te Poari, who meets certain criteria (Appendix 1) and has been trained to carry out audits.

### Audit manager

A member of staff who is responsible for the coordination of allocation and responding to enquires from auditors or practitioners.

### Chief Executive

The Chief Executive (CE) will retain overall responsibility for the ePortfolio process under delegation from Te Poari.

## Audit process and criteria

- Practitioners selected for audit will be formally notified that this action is being taken pursuant to section 41(6) of the HPCAA. Practitioners selected for audit will be given 4 weeks (20 working days) notice of their impending audit and auditor identity by the Audit Manager.
- Conflicts of interest and requests for deferment or exclusion are managed by the Audit Manager. Grounds for deferment or exclusion may include:
  - Not currently practising
  - Personal issues (e.g., illness)
  - Scheduled leave
- Audits are conducted according to the ePortfolio audit criteria (Appendix 2)

## Non-engagement and unsatisfactory progress

As described in the ePortfolio policy, concerns about an ePortfolio may arise as part of the ePortfolio audit process which will be managed according to the ePortfolio escalation process.

When addressing concerns, the aim of escalation process is to be supportive in helping practitioners maintain their continuing competence to practice and provide safe care to the public.

Process for escalation of non-engagement or unsatisfactory progress:



#### Risk of harm

Where an auditor identifies a potential risk of harm this will be referred to the Audit Manager for further investigation and management under the notifications policy. Grounds for referral may include any unaddressed issues relating to practitioner's competence, conduct or fitness.

#### Reporting

Audit progress and outcomes are reported regularly to Te Poari. Matters of concern and or unresolved engagement will be reported to the Te Poari .

## Appendix 1

### Auditor selection and appointment

Te Poari appoints auditors to carry our ePortfolio audits on its behalf. Auditors are appointed for a set period and may be required to apply for re-appointment when the period ends.

#### Selection

Selection of auditors will be by a call for expressions of interest.

Criteria for selection include:

- experienced in a variety of occupational therapy practice contexts, with over 5 years of post-graduate experience.
- registered in New Zealand as an occupational therapist; and hold a current practising certificate; with no condition or recertification programme on their scope of practice.
- considered to have a good reputation in the occupational therapy profession, with good interpersonal skills.
- adhere to the core values and ethics of an occupational therapist.
- able to preserve confidentiality of the information that comes to their knowledge while carrying out an audit.
- suitably qualified with a post graduate qualifications or other evidence of advanced reasoning and critical thinking skills.
- experienced in providing supervision.
- experienced in evaluation of clinical practice and audit processes.
- understand the reasons for engaging in and the content of an ePortfolio
- experienced in the development and implementation of continuous quality improvement systems.
- currently engaged in the ePortfolio cycle.
- be computer literate and able to manage reviewing ePortfolio's online
- have excellent verbal and written communication skills.

Auditors are appointed as contractors and supplied with contracts, confidentiality agreements, information on remuneration rates, an auditor handbook, and a Te Poari email address.

Auditors are provided training by Te Poari which includes:

- Privacy and security training
- IT training for the audit process
- Trial audits to ensure:
  - Assessment of auditor inter-rater reliability
  - Consistency in feedback for practitioners
  - Consistency in policy application

## Appendix 2

### ePortfolio audit Standards

These ePortfolio audit standards are based on the Te Poari whakaora ngangahau o Aotearoa Occupational Therapy Board of New Zealand (Te Poari) Competencies for Registration and Continuing Practice and the Code of ethics.

1. Work history is up to date with current employment indicated.
2. Self-assessments are completed for all 5 areas of competencies. The self-assessment is clearly linked to the competency outcome and/or identified performance indicator.
3. Self-Assessment provides a succinct picture of the practitioner's professional journey to date relevant to the competence area and plan.
4. Reflective practice is evident in the self-assessments and clearly links to identified relevant areas for learning and development.
5. There is an appropriate goal in each area of competence. The goal must link with the competency area/outcome and/or performance indicators.
6. Development activities are present and appropriate for the practitioner's context, position, and experience.
7. Outcomes discuss changes to practice and improved outcomes for people. Digital uploads support the outcome of the goal.
8. Critical reflections demonstrate consideration of impacts on practice and ways of working and link to competence identified in self-assessment and goals.
9. Engagement in the supervisory relationship is evident and supervisors' confirmation statements have been made.
10. ePortfolio evidences the cyclic intent of the process and reflective practice. Where appropriate the current ePortfolio builds on previous cycles.
11. Personal information is anonymised and protects privacy.
12. Acronyms or jargon are clearly defined or understandable.

## Appendix 3

### Audit process

