



DHP-AS CPD ACTIVITY ACCREDITATION LIVE AUDIT POLICY

Policy Category: Activity

Policy Name: DHP-AS CPD Activity Accreditation Live Audit Policy

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Validity: This policy is valid until updated, replaced or canceled by the Department of Healthcare Professions-Accreditation Section (DHP-AS). Update, replacement or cancellation of this policy may occur without prior notice. However, all concerned individuals and parties shall comply with such once officially notified by the DHP-AS.

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1. Introduction

The DHP-AS developed a provider-based CPD accreditation system to recognize CPD provider organizations that have met established standards in areas of educational development, governance, organizational infrastructure and administrative operations. All DHP accredited CPD provider organizations are required to develop CPD activities that meet all established administrative, educational and ethical accreditation standards. All CPD activities developed by accredited CPD Provider organizations following DHP standards and notified to DHP-AS as per the requirements will be approved for credit within category 1 or category 3 of the CPD Accreditation Framework.

CPD providers who have not been approved as accredited CPD providers in Qatar may apply directly to the DHP-AS for review and approval of individual CPD activities credit within Category 1 or Category 3 of the CPD Accreditation Framework.

The DHP-AS CPD Activity Live Audit Policy defines the process by which the DHP-AS executes part of its quality control plan to support the consistent application of the DHP-AS accreditation standards for CPD activities by CPD provider organizations. The objective of the audit is to evaluate the adequacy of the CPD provider's internal operations and application of the DHP-AS accreditation standards for CPD activities.

2. Policy Statement

- 2.1. 3% of all accredited CPD activities within Category 1 or Category 3 of the CPD Accreditation Framework will be selected to participate in the live audit process. This includes activities developed by accredited CPD providers and those submitted to the DHP-AS for review.
- 2.2. The DHP-AS reserves the right to live audit purposively selected CPD activities and, whenever necessary, more than 3% of randomly selected activities provided by the same (or different) CPD provider according to the DHP-AS's judgment.
- 2.3.** CPD activities selected for audit will be assessed on their level of compliance with the DHP-AS accreditation standards for CPD activities.
- 2.4. The CPD provider organization responsible for developing and implementing the accredited CPD activity will be provided with an audit report generated by the DHP-AS.
- 2.5. The CPD provider organization responsible for developing and implementing the accredited CPD activity is responsible to respond to audit recommendations and required follow-up actions.



3. Definitions

- 3.1. Action Plan:** is a written document submitted to the DHP-AS by a non-accredited CPD provider or an accredited CPD provider organization describing how the organization will address issues identified in an CPD provider accreditation report, in a live CPD activity audit report, or an accredited CPD provider audit report. For each identified issues, the non-accredited CPD provider or accredited CPD provider organization must define the strategy, tactics, anticipated challenges and anticipated barriers, risks, resource responsibility assignment, timelines, and measures used to determine success.
- 3.2. Live Audit Process:** The process by which the DHP-AS selects accredited CPD activities for audits whereby a DHP-AS Accreditation Auditor will conduct an on-site visit where a live accredited CPD activity is being delivered.
- 3.3. Accreditation Auditor:** is an individual appointed and trained by the DHP-AS tasked with evaluating a live CPD activity to determine whether the DHP-AS accreditation standards for CPD activities are consistently applied by CPD provider organizations.

4. Abbreviations

CPD: Continuing Professional Development

DHP: Department of Healthcare Professions

DHP-AS: Department of Healthcare Professions-Accreditation Section

5. Scope

This policy applies to all accredited CPD activities within Category 1 or Category 3 of the CPD Accreditation Framework. This includes activities developed by accredited CPD providers and those submitted to the DHP-AS for review.

6. Roles/Responsibilities

- 6.1.** The DHP-AS selects 3% (or more) of accredited CPD activities within Category 1 or Category 3 of the CPD Accreditation Framework to be subject to the live audit.
- 6.2.** The DHP-AS informs the CPD provider, in writing, that their accredited CPD activity has been selected for the live audit.
- 6.3.** The CPD provider organization provides the DHP-AS Accreditation Auditor with access to the CPD activity (including any required registration information, name badges, logistical support etc.).



- 6.4.** The DHP-AS Accreditation Auditor conducts the live audit using the DHP-AS Live Audit Form.
- 6.5.** The DHP-AS communicates, in a formal report to the CPD provider organization, the results of the review of the submitted documentation and the conducted live audit.
- 6.6.** The CPD provider organization responds to any areas of concern identified during the live audit in the form of a written response to the DHP-AS.

7. Procedures/Guidelines

7.1. Selection of CPD activity to be audited

- 7.1.1.** The DHP-AS reviews the list of accredited CPD activities and identifies the CPD activity that will be audited. 3% of accredited CPD activities within Category 1 or Category 3 of the CPD Accreditation Framework are subject to the live audit. The CPD activities subject to audit are randomly selected by the DHP-AS staff.
 - 7.1.1.1.** The DHP-AS reserves the right to live audit purposively selected CPD activities and, whenever necessary, more than 3% of randomly selected activities provided by the same (or different) CPD provider according to the DHP-AS's judgment.
- 7.1.2.** The DHP-AS notifies the CPD provider organization, in writing, that their CPD activity will be subject to a live audit at least 14 days before the start of the program.

7.2. Responding to a live audit notification

- 7.2.1.** The CPD provider acknowledges receipt of the audit notification by signing the audit notification letter and returning it (electronically) to the DHP-AS.
- 7.2.2.** The CPD provider organization provides registration and other logistical information to the DHP-AS.

7.3. Failure to respond to a live audit request

- 7.3.1.** If the CPD provider organization fails to respond to a live audit notification, the DHP-AS sends a reminder 5 days prior to the start of the activity.
- 7.3.2.** If the CPD provider organization continues to fail to respond to a live audit notification, the DHP-AS issues a warning letter indicating that the next accredited CPD activity developed by the CPD provider is subject to a live audit.
- 7.3.3.** If a **non-accredited CPD provider** fails to respond to two consecutive notifications of live audit, the CPD provider organization will be suspended from submitting activities to the DHP-AS for accreditation for a 180-day period.
- 7.3.4.** If a DHP accredited CPD provider organization fails to respond to two consecutive notifications of live audit, the accredited CPD



provider is subject to the Revocation of Accredited CPD Provider Status Policy (*MOPH/DHP/AS/CPDProvider/008*).

7.4. Conducting an audit

- 7.4.1.** The DHP-AS Manager assigns one DHP-AS Accreditation Auditor (a DHP-AS staff member) to conduct the live audit.
- 7.4.2. The DHP-AS Accreditation Auditor attends the CPD activity and conducts audit using the DHP-AS Live Audit Form.
- 7.4.3.** The DHP-AS Accreditation Auditor submits their DHP-AS Live Audit Report to the DHP-AS Manager for review, signature and approval.
- 7.4.4.** Once approved, the DHP-AS Accreditation Auditor submits their completed Live Audit Report to the DHP-AS CPD provider.
- 7.4.5.** The final Live Audit Report is submitted to the CPD provider within 30 days of the conclusion of the CPD activity.

7.5. Responding to a Live Audit Report

- 7.5.1. The CPD provider organization submits to the DHP-AS a plan of action for how they will address any areas identified for improvement within the Live Audit Report within two weeks of receiving the Live Audit Report.
 - 7.5.1.1. If the Live Audit Report does not identify any areas for improvement, no response is needed from the CPD provider.
- 7.5.2. The DHP-AS acknowledges receipt of the plan of action and provides any feedback, as required, within 7 days of receipt of the plan of action.

7.6. Unsatisfactory/failure to submit plans of action

- 7.6.1.** If the CPD provider's plan of action is found to be unsatisfactory (for example, inadequate detail is provided of how the CPD provider will address issues identified during the live audit), the next accredited CPD activity offered by the CPD provider organization will be subject to a live audit.
 - 7.6.1.1. If a non-accredited CPD provider fails to submit a satisfactory action plan for 2 successive live audits, the CPD provider shall be suspended from submitted CPD activities for accreditation for 180 days.
 - 7.6.1.2. If an accredited CPD provider fails to submit a satisfactory action plan for 2 consecutive live audits, the accredited CPD provider shall be suspended from self-approving their CPD activities for 180 days.
- 7.6.2.** If the CPD provider fails to submit a plan of action within the required timeframe, the DHP-AS sends a reminder 5 business days after the submission deadline.
- 7.6.3.** If a **non-accredited CPD provider** fails to respond to the plan of action submission reminder within 10 business days, the DHP-AS issues a warning letter indicating that the CPD provider could be suspended from submitting CPD activities to the DHP-AS for accreditation review for 90 days.
- 7.6.4.** If a non-accredited CPD provider fails to submit a plan of action within 10 business days of the warning letter, the CPD provider



organization will be suspended from submitting activities to the DHP-AS for accreditation for a 90-day period.

7.6.5. If the DHP accredited CPD provider organization fails to submit a plan of action, the accredited CPD provider is subject to the Revocation of Accredited CPD Provider Status Policy (*MOPH/DHP/AS/CPDProvider/008*).

7.7. Appeals

7.7.1. The CPD provider organization may appeal the decision as described in the DHP-AS CPD Activity Accreditation Appeals Policy (*MOPH/DHP/AS/CPDActivities/005*).

8. Flowcharts

8.1. CPD Activity Live Audit – Appendix 1

9. References and Sources for Further Reading

N/A

10. Related Policies

10.1. DHP-AS CPD Activity Accreditation Appeals Policy (*MOPH/DHP/AS/CPDActivities/005*)

10.2. Revocation of Accredited CPD Provider Status Policy (*MOPH/DHP/AS/CPDProvider/008*)

11. Governing Law or Regulations

11.1. Emiri Decree No. 7 for the Year 2013

12. Attachments/Appendices

12.1. Flowchart: Selecting and Conducting the Live Audit

12.2. Flowchart: Results of the Live Audit

12.3. Template: Notification of live activity audit letter

12.4. Template: Live Audit Warning Letter

12.5. Template: CPD provider suspension letter – live activity audit

12.6. Template: Live audit reminder email

12.7. Template: Live audit action plan reminder email

12.8. Template: Live audit action plan warning letter

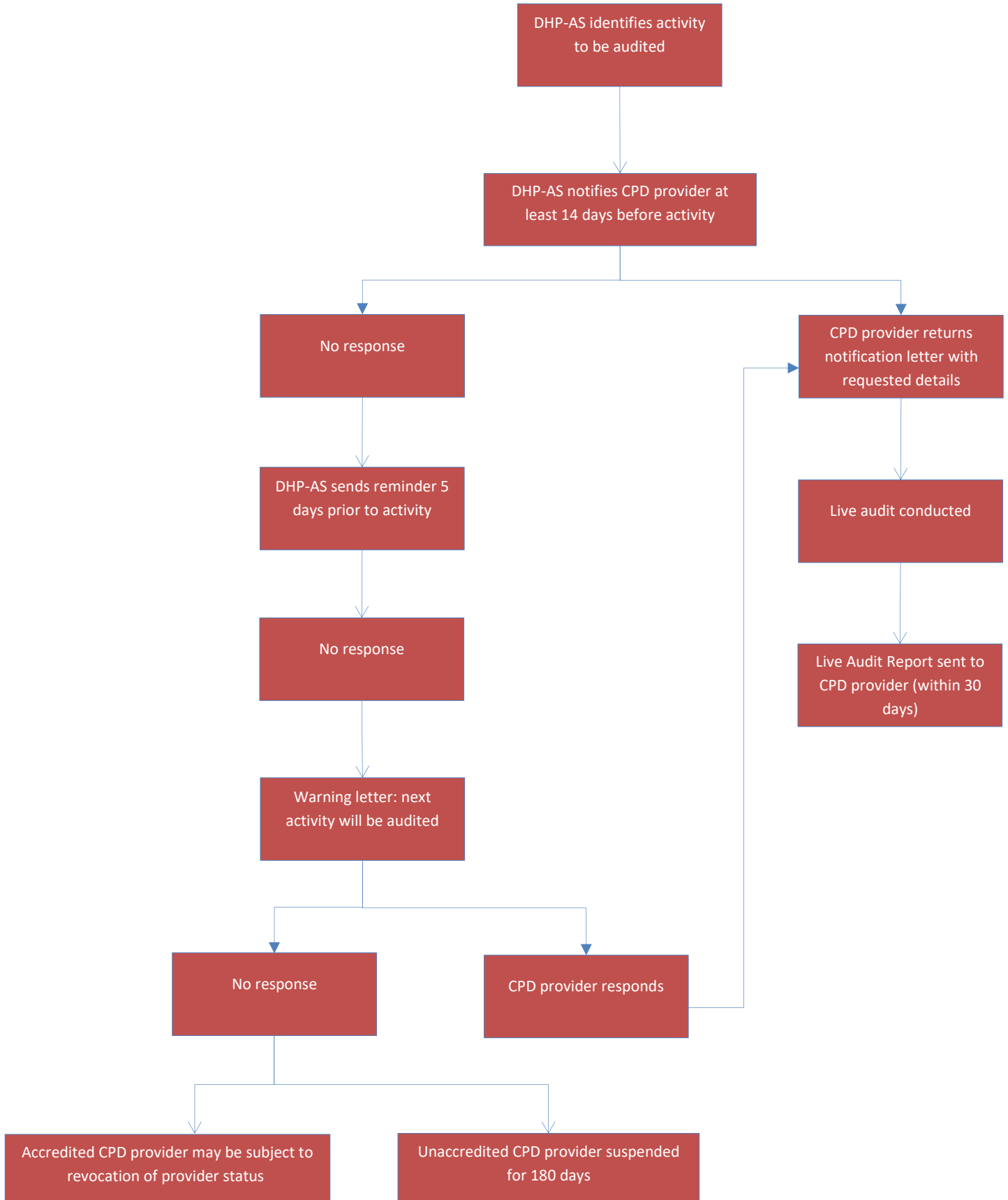
12.9. Template: Live Audit Results Covering Letter

12.10. Template: DHP-AS Live Audit Form and Report – Category 1 Live Group Learning



Appendix 1 - CPD Activity Live Audit flowchart

Selecting and Conducting the Live Audit





Results of the Live Audit

