



Mining and Metallurgical Society of America

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CPD Audit Process V4

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Introduction

Years 2016 to 2018 were designated as ramp-up years in which the audits of the CPD “will be conducted for the purposes of working out any problems in the auditing program and assisting those QPs who have been audited in properly recording their CPD activities.” The program for maintaining and submitting CPD logs and audit procedures is still in the development and evaluation period. The following audit processes have been (or will be) conditionally approved by the MMSA Council. As the Audit Committee gains experience with performing audits, it may be necessary to make changes to any part of the process.

Audit Process Summary

Auditing of the CPD compliance program presented and passed by the Council can be summarized as follows:

1. Each QP is responsible to maintain his/her CPD logs on an annual basis (January 1 to December 31).
2. CPD logs are only required to be submitted at the request of MMSA
3. MMSA Audit Committee Chair and the Executive Director will randomly select 15% of the QPs each year and request submittal of his/her CPD logs for the last 3 years for review by the CPD Audit Committee.
4. Once a QP passes review he/she will not be audited for at least another 3 years.
5. All QP’s will be audited at least once every 7 years.

Qualifications for Auditors

Auditors are MMSA QPs or Retired QPs who have submitted at least one 3-year CPD Log that meets MMSA’s CPD requirements.

The number of Auditors will vary depending on the number of CPD logs to be audited and the amount of time each Auditor can commit to the Auditing Process. The Audit Committee members will be selected for individual audits based on the QP status of the submitter and the Audit Committee members. QP status of an Auditor will determine which logs he/she will examine.

The Chairman of the CPD Audit Committee will be appointed by the President.

Audit Process

Selection of QP members to Audit

MMSA Audit Committee Chair and the Executive Director will randomly select 15% of the QPs to be audited each year and ask him/her in writing to submit his/her CPD Logbooks. Those selected will be asked to submit his/her CPD logs on the supplied form for the last 3 years for review by the CPD Audit Committee. The selection will be reported to the CPD Audit Committee Chair.

The request will advise

- that he/she has been chosen in accordance with these guidelines;
- that the selected individual will provide a completed CPD log. A blank copy of a CPD Logbook will be provided, and;
- that the CPD Logbook for the year just ended, along with the two years preceding, be submitted to the Executive Director within two months.

An Audit Register will be maintained of

- the names of the QPs to be audited;
- the date of the mailing of the request for submission of CPD Logbooks, and;
- any subsequent actions.

Auditor Meetings

The Audit Committee will meet at least once a year to review CPD logs and provide recommendation(s) (if any) from the Auditors.

Audit of the CPD Logbooks

As CPD Logbooks are received for audit, the receipt will be noted in the Audit Register. The CPD Logbook will be forwarded by the Executive Director electronically to *two members* of the Audit Committee (the reviewers) for determination of compliance with the CPD requirements. A covering email to the auditor will request assessment and/or comment.

The Audit Committee members chosen as reviewers will review the CPD Logbook and advise the Executive Director by way of return email whether the QP is in compliance with the CPD requirements, or if not in compliance, where the non-compliance occurs. The reviewers' comments will be noted in the Audit Register.

If the reviewers determine that the QP's CPD is satisfactory then the Audit Committee as a whole will be advised by way of a summary at the next scheduled meeting of the Audit Committee. Any Audit Committee member may seek further details of a QP's Logbooks from the reviewers, or must accept the recommendation of the reviewers. After acceptance of the summary, the Audit Register and the Register of QPs will be updated and the QPs will be advised of satisfactory compliance.

If the reviewers find that the QP's CPD is not in compliance with the CPD requirements, then an assessment will be submitted outlining the deficiency. The Executive Director will advise the QP of the finding. The QP will have an opportunity to comment and correct the deficiency. The status of the review will be noted to the Audit Register and the QP will be allowed one month to respond.

Any response will be forwarded to the original reviewers for final recommendation:

- If compliance is determined, the summary for the next scheduled meeting of the Audit Committee will contain that recommendation.
- If partial or no compliance is found by one or both reviewers, then the matter will be referred to the full Audit Committee for resolution.

Audit Committee members may request copies of the CPD Logbook and all related correspondence. The Audit Register will be noted with the final outcome.

In the event that the Audit Committee finds that a QP member's CPD is not in compliance, the QP will be advised in writing and given up to a year to bring his/her CPD hours up to date.

Removal of QP Member Status

The Audit Committee may direct the removal of the name of any QP from the Register for either:

- non-submission of a CPD Logbook as requested in writing, or
- for non-compliance with the CPD requirements within a reasonable time.

If the QP has not complied within the "reasonable time", the QP will be advised in writing that his/her QP status will be removed and his/her exclusion will be noted in such form as the Audit Committee may decide upon.

Annual Process

The Audit Process shall be performed annually.