
Policy Type	Operational
Policy Number	OP04

Policy Title	Membership Audit Policy
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1 Purpose

Financial Counselling Queensland (FCQ), as the peak body for financial counsellors in Queensland, is responsible for ensuring the maintenance of the professional standards of its members. These professional standards are outlined in the National Standards and FCQ Membership Policy, which all Queensland financial counsellors are required to comply with to remain eligible for membership with FCQ.

The Membership Audit Policy is adopted to manage the operation of an annual compliance audit of members to ensure the requirements for Continuous Professional Development (CPD) and Professional Supervision are being met.

2 Scope

The Policy applies to all practising Financial Counsellors and working Student members of the Association.

3 Definitions

Association or FCQ means Financial Counselling Queensland Inc.

Chief Executive Officer or CEO means a person appointed by the Management Committee to that position, or an employee of the Association acting in that position on a temporary basis.

Continuing Professional Development (CPD) is the reinforcement or acquisition of skills or knowledge relevant to the workplace.

External training refers to any training activity that has not been registered for via the Members' portal.

FCQ Operations refers to the operational staff of the Association.

Grace period refers to the period from 1st January to 15th of January during which members whose membership expired on 31st December in the preceding year will be considered eligible for membership, for the purposes of the licensing exemptions.

Independent evidence is documentation issued by a third party to confirm the member's CPD or professional supervision records are accurate and true. Examples of evidence include certification of attendance/completion of CPD or Professional Supervision, receipts of payment for CPD or Professional Supervision, completed training materials and signed records of supervision by the member's Supervisor.

Management Committee refers to the management committee of the Association.

Members' portal refers to the password protected area of the FCQ website, with access restricted to FCQ members and staff only.

Membership year runs from 1st January to 31st December.

National Standards means Financial Counselling Australia's National Standards for Membership and Accreditation and National Standards for Supervision agreed to by State and Territory Financial Counselling Associations, as amended from time to time.

Professional Supervision is a formal relationship between Supervisor and Supervisee designed to promote wellbeing, facilitate reflective practice, explore ethical issues, develop casework skills and foster best practice.

Renewal period means the period from 1st December to 31st December during which membership renewals are due for submission.

Rules refers to the Rules of Association.

4 Audit Policy

A random audit of member compliance will be conducted annually to ensure members are meeting the professional standard requirements for CPD and Professional Supervision as outlined in the National Standards and the FCQ Membership Policy.

The following will be automatically included in the audit:

- Members who have had any special provisions imposed on their CPD and Supervision requirements for the preceding membership year.
- Members who are upgrading from Associate to Accredited membership.
- Members who fail to submit a renewal application by the end of the Grace period.

5 Audit Process

At the conclusion of the Grace period, FCQ Operations will, using an electronic system, randomly select 20% of practising Members and working Student Members and will conduct an audit of those members' CPD and Professional Supervision records for the preceding membership year.

The Members will be notified via email that they have been selected for audit.

FCQ Operations will audit compliance with record keeping processes for CPD and Supervision in accordance with the FCQ Membership Policy. One of the following outcomes will be assigned:

- Pass – member will be notified of compliance
- Further information required – member will be notified and provided with 2 weeks to provide additional information requested

- Fail – member will be notified of the potential serious breach of Professional Standards and disciplinary action may be commenced in accordance with the Rules.

Members may appeal an outcome in accordance with the Membership Related Appeals Policy.

The Audit process will be finalised by 14th March each year. Members who fail to renew their membership in accordance with the Rules and FCQ Membership Policy will have their membership deemed as lapsed, resulting in termination of membership.

6 Relevant Documents

FCQ Rules of Association

FCQ Membership Policy

FCQ Membership Related Appeals Policy

National Standards for Membership and Accreditation

National Standards for Supervision

FCA Financial Counsellor Disciplinary Process: Policy and Procedures

7 Approval

Approved by the FCQ Management Committee: 1 October 2025

8 Contact

For any questions about this policy, contact the Systems and Operations Manager.

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Ratified	1 October 2025
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1	01/10/2025	New Policy	Management Committee