



COLLEGE OF
APPLIED BIOLOGISTS
Professional Accountability

Policy 8 – 200 AUDIT PROGRAM

September 2021



Policy Name:	Audit Program Policy				
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Responsible Staff:	Registrar/Deputy Registrar	Revised:	September 2021		
Responsible Committee:	Audit and Practice Review Committee	Contact:			

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1.0 Purpose

The Audit Program is a professional development tool designed to assess registrants' compliance with legal requirements and identify actions that can be taken to resolve and mitigate any deficiency(ies) identified their practice. The Audit Program aids the College in fulfilling its mandate to protect the public interest by ensuring registrants maintain professional competency(ies), competence and compliance with professional standards and requirements.

Note: Registrants should not use or refer to the decision of the audit process as an indication of College certification of practice.

2.0 Scope and Eligibility

Within scope:

- All practicing registrants in good standing of the College of Applied Biology one year after the date of registration with the College are eligible to be audited.
- In Training registrants in good standing of the College of Applied Biology three years after the date of registration with the College are eligible for a **level I audit**.
- On-leave registrants once they reinstate are eligible to be audited.
- Registrants (practicing, in Training, on leave) who have successfully completed an audit will not be selected for another audit for a period of 5 years unless an audit is specifically identified to occur during the investigation or discipline process.

3.0 The Policy

As a part of the College of Applied Biology the audit aims to ensure that all registered practicing and in training registrants are:

- in compliance with the following:
 - *Professional Governance Act (PGA)*;
 - *Associated PGA Regulation* for the College;
 - College Bylaws, Code of Ethics;
 - College's Professional Practice Competencies and Competence Standard and any other applicable appropriate policies; and
 - other relevant legal and regulatory requirements (Federal, First Nations, Provincial and Municipal).
- practicing within their area of expertise, level of knowledge and associated self-declared level of competence; and
- are knowledgeable of any and all approved government and/or regulatory guidance and guidance documents applicable to their practice.

3.1 Annual Target Rate

The College has set an audit target rate of auditing three percent (3%) of all eligible auditable registrants annually.

3.2 Roles and Responsibilities

3.2.1 College Staff

College staff manages the Audit Program and process as outlined in the College Bylaws Part 8 section 8 – 3 and are as follows:

- Determine the number of audits (both level I and II) to be conducted annually based on the annual audit target rate of 3%;
- Randomly 1) selects registrants (referred to as auditees) to be audited and 2) assigns an Audit Assessor to each auditee;
- Prior to the audit commencing, notifies the auditee, in writing of:
 - their selection to be audited;
 - who their assigned Audit Assessor is;
 - provides information and answers questions regarding the audit process and requirements (e.g. submittals, timelines, continuing education program); and
 - receives conflict of interest declarations from auditees and Audit Assessors regarding their assignment and if a conflict is declared re-assigns the Audit Assessor;
 - approves an extension or exemption as outlined in Policy 8 – 400 Audit and Practice Review Extension and Exemption Requests.
- Post audit determination, notifies the auditee, in writing of:
 - the determination of their audit by the Audit and Practice Review Committee (APRC); and
 - if required any additional requirements/conditions as per the audit determination (e.g. submittals, timelines) and a final determination by the APRC.

3.2.2 Audit and Practice Review Committee (APRC) Membership and Responsibilities

Membership requirements of the APRC are outlined in the College Bylaws Sections 2 – 8, 2-11, 8 – 1 and 8 – 4 and Committee member profile documents.

The APRC's responsibilities are outline in section 8 – 1 and 8 – 4 of the College bylaws and the committee's Terms of Reference and includes but is not limited to the following:

- Supervise the Audit Program;
- Recommends Audit Assessors to be appointed by the CEO;
- Reviews the audit program and process;
- Makes recommendations to Council to improve the audit program and process;



- Supervises the Audit Assessors;
- Makes a final determination of an audit considering the recommendation from the Audit Assessor(s) with the presence of a lay committee member 50 business days from the date auditees have been notified of their selection to be audited.
 - For a conditional audit determination, sets any conditions or requirements for an auditee (e.g. submitting a learning plan to comply with the College's Continuing Education Program) to resolve any deficiencies identified in the audit; and
 - Reviews the auditee's conditions or requirements (e.g. any submittals) and renders a final determination to confirm the audit has been completed as per the conditions or requirements.
 - Additional APRC meetings may be required to make a determination of an audit(s) where an auditee(s) was granted an extension.
- Approves an extension or exemption as outlined in Policy 8 – 400 Audit and Practice Review Extension and Exemption Requests.

3.2.3 Audit Assessor Responsibilities and Requirements

An Audit Assessor must meet the requirements outlined in the College bylaws sections 8 – 2 and the Audit Assessor profile.

Audit Assessors responsibilities are detailed in the College bylaws section 8 – 4, Audit Assessor profile document and includes but is not limited to the following:

- Declare any known or potential conflict of interest 10 business days after being notified by College staff who their assigned auditee is.
- Completes the audit within the 20 business days of being notified by College staff that their auditee has completed and submitted the requirements outlined in 3.2.4.
- Communicates with their assigned auditee prior to beginning the audit to:
 - Introduce themselves, provide information or answer any questions regarding the audit process once the audit has begun; and
 - Determine an agreed upon timeline/schedule to complete the audit and identify availability to discuss or follow up on any identified deficiency(ies), questions or concerns, resolutions with their auditee's submitted materials.
- Provides constructive feedback regarding their auditee's compliance and any resolutions or mitigation advice for any deficiency(ies) identified their practice by the audit.

For an assigned auditee that received a conditional determination an Audit Assessor or is required to:

- Review any additional required conditions (e.g. submitted documents) and provide a recommendation to the APRC within 10 business days of receiving the auditees submissions.

3.2.4 Auditee Responsibilities and Requirements

It is a requirement as a registrant of the College to participate in the College's Audit Program if selected as per the College Bylaws section 8 - 4.

An auditee is required to:

- declare any known or potential conflict of interest with their assigned Audit Assessor 10 business days after being notified by College staff they have been selected to undergo an audit;
- to complete and submit the following within 20 business days of being notified by College staff they have been selected to undergo an audit:
 - Audit form;
 - Continuing Education Program (CEP) form; and
 - A current C.V./or resume.
- Communicates with their assigned Auditor Assessor prior to beginning the audit to:
 - Ask any questions regarding the audit process once the audit has begun; and
 - Determine an agreed upon timeline/schedule to complete the audit and identify availability to discuss or follow up on any identified deficiency(ies), questions or concerns, resolutions with their auditee's submitted materials within the Audit Assessors 20 business day timeline.

Note: an auditee that has been granted an extension as per Policy 8 – 400, will be required to complete and submit approve within the deadline that was approved by the Deputy Registrar or APRC.

If an auditee has been granted an exemption, they are no longer required to complete the audit process that year.

For an auditee that has received a determination with required conditions to complete remediation action(s) to resolve/mitigate a non-compliance(s). The Auditee is required to:

- Fulfill the conditions (e.g. submit documents etc.); and
- Provide any submittals to the College within 20 business days of receiving the notification of the conditional audit.

If an auditee fails to submit the requested information within 20 business days, or to comply with additional requests for informational by their assigned Audit Assessor or College staff may have their audit determined to be not in compliance by the APRC and recommend Council to have the Registrar strike the auditee from the College register.

3.3 Methodology

The audit is designed to align with compliance requirements, inclusive of the variety of the professional practice of registrants and allow mechanisms to resolve and mitigate any identified deficiency(ies). There are two audit levels detailed below in section 3.4.

Audit methodologies may comprise a review of all or a portion of the following, depending upon the level of the audit (i.e. Level I or Level II):

- Compliance with the:
 - *Professional Governance Act (PGA)*
 - Applied Biologists Regulation

- College Bylaws and policies
- College's Professional Practice Competencies and associated self-declared level of competence
- Continuing Professional Development Standard requirements
- May include reference checks (with clients, colleagues and other professionals);
- Recommendation of determination of the audit to the APRC by the Audit Assessor; and
- A determination by the APRC.

3.4 Audit Levels

There are two audit levels referred to as Level I and Level II. Appendices A and B outline the Level I and II audit processes, respectively.

A Level I audit is conducted by College staff, with a recommendation to the APRC for a final determination of the audit. The audit focuses on a review of a registrant's:

- 1) compliance with the:
 - a. PGA, associated regulation(s);
 - b. College's Bylaws and Code of Ethics;
 - c. College's Policy 7 – 200 Continuing Professional Development (CPD) Program and CPD Standard.
- 2) alignment with their declared area(s) of practice and competence via a review of their C.V./Resume.

A Level II audit is conducted by an Audit Assessor, with a recommendation to the APRC for a final determination of the audit. The audit focuses on a review of a registrant's:

- 1) compliance with the:
 - a. PGA, associated regulation(s);
 - b. College's Bylaws and Code of Ethics;
 - c. College's Policy 7 – 100 Professional Practice Competencies and Competence and any other applicable appropriate policies; and
 - d. College's Continuing Education Program (CEP).
- 2) alignment with their declared area(s) of practice and competence via a review of their C.V./Resume and audit form;
- 3) examples of work products/project management; and
- 4) may include reference checks (e.g. clients, colleagues, other professionals, other PGA registrants etc.).

For Level II process see Appendix B.

3.5 Stratified Audits

Audits can be stratified to focus on a specific area(s) of practice. Stratified audits can be triggered or initiated by a:

- Referral from the Investigations and/or Discipline Committee; or
- Referral from the Registrar/Deputy Registrar

3.6 Determinations

The APRC convenes within 50 business days after the auditees are notified of being complete to make a determination of each audit, taking into account the recommendation of the Audit Assessor. Additional APRC meetings may be required to make a determination of audits where a registrant(s) was granted an extension. Determinations are:

- In-compliance;
- Conditional: required to complete remediation action(s) to resolve/mitigate a deficiency(ies);
- A Practice Review is required;
- Refers auditee to the College's Investigation Committee; or
- Recommends to Council the Auditee be struck from the registrar.

College staff provides the Auditee their audit results in writing within 10 business days of a determination by the APRC.

3.6.1 Conditional Determinations

For an auditee that has received a conditional determination with requirements to complete remediation action(s) to resolve/mitigate a deficiency(ies)(s). The Auditee needs to:

- Fulfill the requirements (e.g. submit documents etc.) to the College within 30 business days of receiving the notification of the conditional audit;

3.7 Extensions and Exemptions

Details on requesting an audit extension or exemption is found Audit and Practice Review Extension and Exemption Request Standard. If an extension request is granted timelines will be adjusted in consultation with the assigned Audit Assessor and if required a different Audit Assessor may be assigned to meet new audit timelines.

3.8 Reporting

Results of Audits will be reported annually in compliance with the *Freedom of Information and Privacy Act*, the *Professional Governance Act*, the *Applied Biologists Regulation* and Bylaws, and all pertinent approved policies.

4.0 Definitions

Auditee - a registrant selected for an audit.

Audit Assessor – a registrant who has met the College’s requirements outlined in the College Bylaws Section 8 – 2 and the Audit Assessor profile document to conduct audit assessments of other another registrant and has been appointed by the Chief Executive Officer.

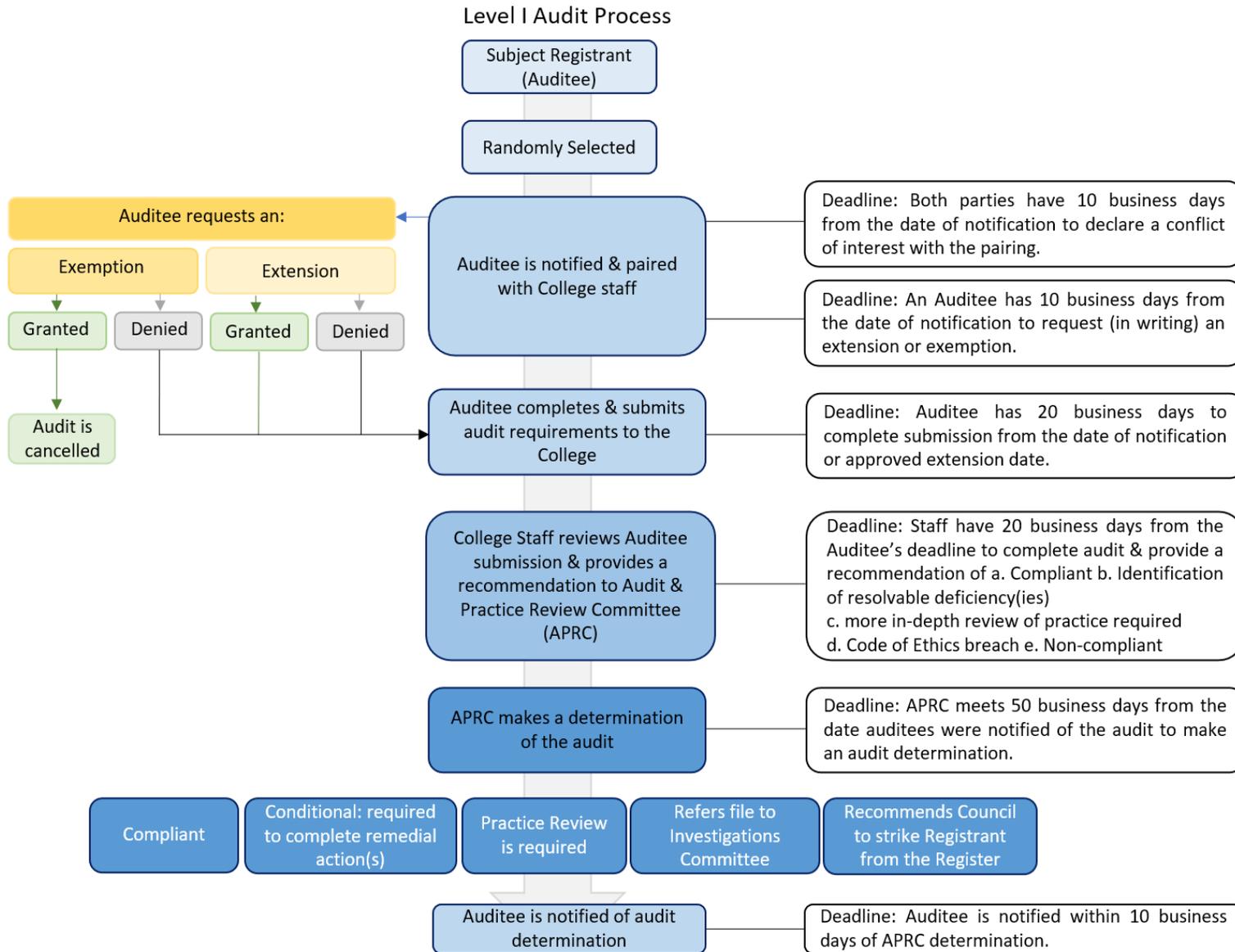
Policy - means a document approved by Council that provides further context or direction in relation to the Act or other legislation, the Regulations, or the College’s bylaws

Manage – be in charge of (a program, undertaking etc.); administer; run

Standard - means a document approved by Council that provides technical and professional requirements for registrants or potential registrants.

Supervise – observe and direct the work of someone.

Appendix – A



Appendix – B

