



COLLEGE OF
APPLIED BIOLOGISTS

Policy 8 – 400 Audit and Practice Review Extension and Exemption Requests

November, 2020



Policy Name:	Policy 8 – 400 Audit and Practice Review Extension and Exemption Requests				
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1.0 Purpose

This policy provides details on the College's process for a registrant selected for an audit or practice review to request an extension or exemption to the audit or practice review process.

2.0 Scope

Within scope¹:

- All practicing, in Training registrants and on-leave registrants (once they reinstate) selected for an audit; and
- All practicing, in Training registrants and on-leave registrants (once they reinstate) selected for a practice review.

3.0 The Policy

The policy is intended to ensure a fair, impartial, and transparent standard process for registrants who have been selected for an audit and/or practice review to request an extension or exemption to the process for which they have been selected for.

3.1 Roles and Responsibilities

3.1.1 College Staff

College Staff:

- renders a decision for an audit extension request of up to and including two weeks and exemption under exceptional circumstance(s)²
- College staff will review the request, make a decision and inform the registrant in writing of the decision within 5 business days of receiving the request.
- College staff will forward on an extension request greater than two weeks and an exemption request without exceptional circumstances to the Audit and Practice Committee (APRC) for their decision.
- College Staff will inform the registrant, in writing, of the APRC's decision regarding an extension or exemption request within 2 business days of the decision being made.

¹ College Bylaws define practicing, in training, on-leave and retired registrant categories; what each registrant's category's rights and obligations are and what the requirements are for resignation and reinstatement.

² Exceptional Circumstance(s) - covers circumstances which are out of the ordinary, unavoidable or unexpected.



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3.1.2 Committee Membership and Responsibilities

The Audit and Practice Review Committee (APRC):

- Renders a decision for an audit or practice review extension request greater than two weeks and exemptions that are not considered to be under exceptional circumstances. No decision can be made without the lay committee member.
- APRC will receive a request by a registrant from College staff within 10 business days of the request and will meet to make a decision and provide rationale for the decision within a reasonable timeframe.

3.2 Methodology

3.2.1 Extensions

Upon receiving the notification that they have been selected for an audit or practice review, if a registrant wants to request an extension they must:

- Within 10 business days of the audit or practice review notification make a request in writing (email) to College staff (Deputy Registrar) for an extension and include the extension timeline request (e.g. 1 week, 2 weeks, 3 weeks) and a rationale for the request.
- For extension requests up to two weeks the Deputy Registrar will make a decision to approve or deny the request and provide a response with a rationale for the decision to the registrant in writing within 5 business days.
- Extension requests greater than two weeks are determined by the Audit and Practice Review Committee (APRC).
 - The request will be forwarded to APRC within 10 days business days of the request.
 - APRC will meet to make a decision and provide a rationale for the decision within a reasonable time frame.
 - College staff (Deputy Registrar) within 2 business days of the APRC's decision will notify the registrant in writing of the decision and provide the rationale of the decision.

3.2.2 Exemptions

Upon receiving the notification that they have been selected for an audit or practice review if a registrant wants to request an exemption they must:

- Within 10 business days of the notification make a request in writing (email) to College staff (Deputy Registrar) for an exemption and provide rationale for the exemption.
- For exemption requests under exceptional circumstances the Deputy Registrar will make a decision to approve or deny the request and provide a response to the registrant in writing within 10 business days.
- Exemption requests that are not under exceptional circumstance are determined by the APRC.
 - The request will be forwarded to APRC within 10 days business days of the request.
 - APRC will meet to make a decision and provide a rationale for the decision within a reasonable time frame.



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- College staff (Deputy Registrar) within 2 business days of the APRC's decision will notify the registrant in writing of the decision and provide the rationale of the decision.

For the extension and exemption processes see Appendices A and B respectively.

4.0 Definitions

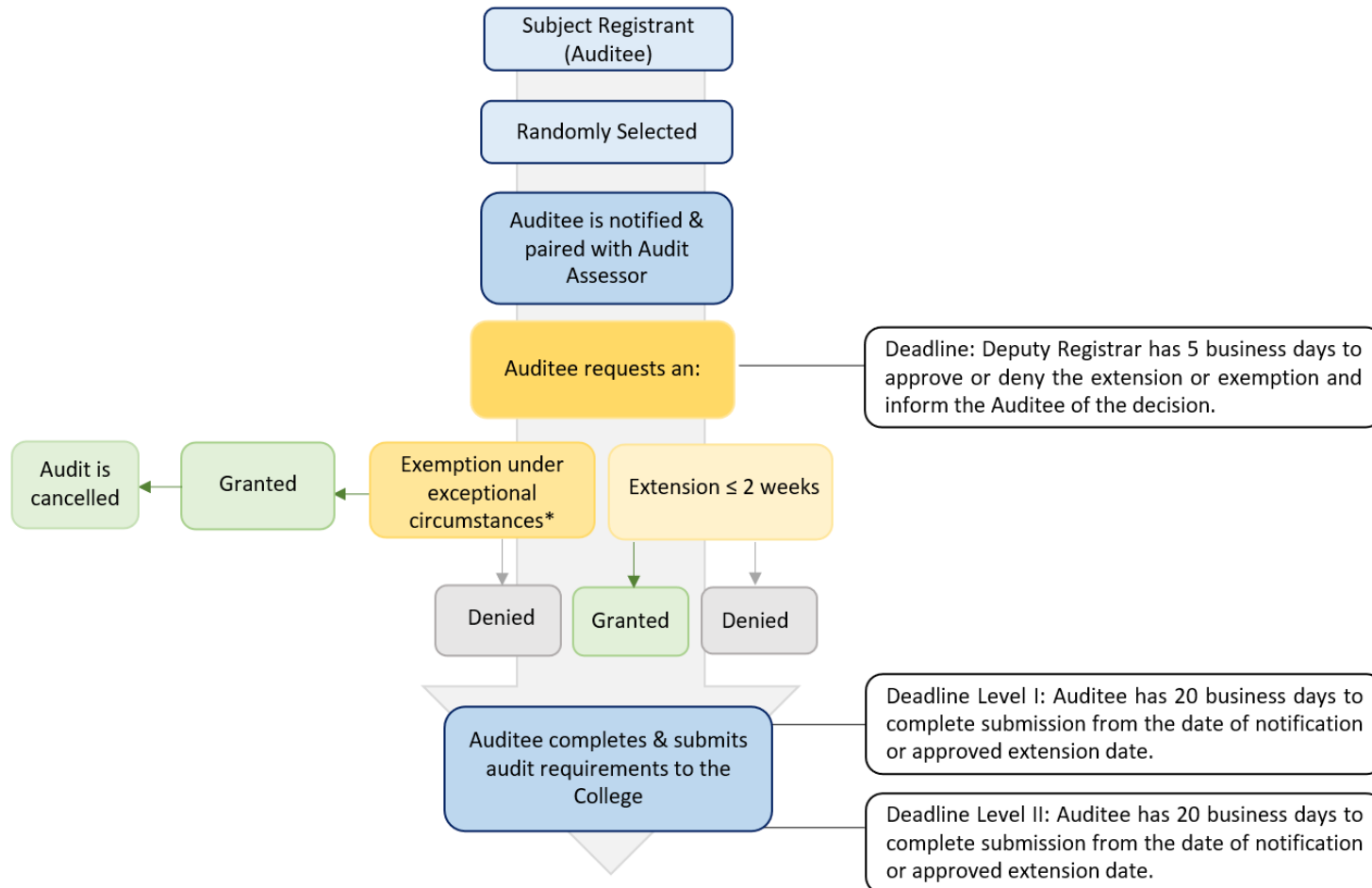
Auditee - a registrant selected for an audit.

Exceptional Circumstance(s) - covers circumstances which are out of the ordinary, unavoidable or unexpected.

Registrar or Deputy Registrar – is an individual appointed by the College Council carrying out regulatory duties pursuant to section 2 – 3 of the College Bylaws.



An Audit or Practice Review Extension or Exemption ≤ 2 weeks Request is determined by the Deputy Registrar





An Audit or Practice Review Extension or Exemption Request > 2 weeks is determined by the Audit and Practice Review Committee (APRC)

