Schedule 6 – Audit Program

Overview

The College of Applied Biology Audit Program is an educational and professional development process that monitors and promotes excellence in members' practice of applied biology. The program assists the College in meeting its legislated public interest mandate by providing the means for a proactive quality assurance check on members' practice.

The audit is a quality assurance process that is used to assess how members:

- generate and administer their work product;
- are able to demonstrate awareness and understanding of the *Code of Ethics*; and
- undertake professional development activities.

Auditee Selection

The Audit and Practice Review Committee will determine annually the number of audits to be undertaken, and the auditee selection process. The Committee will direct the Registrar to generate a list of names and contact information. Where the process is to be other than a simple random selection of registered and enrolled members, the Committee will specify the parameters to be considered.

Auditors and Audit Program Administration

The Audit and Practice Review Committee administers the Audit Program by determining the selection process for auditees and the number of audits to be undertaken each year, and by appointing an auditor for each auditee. An auditor may be responsible for conducting audits on more than one auditee. Auditors serve on a voluntary basis, and are eligible to have their expenses reimbursed in accordance with College policy. Registered members in good standing are eligible to be considered for appointment as an auditor, but may be required to meet additional eligibility criteria determined by the Committee. Experienced auditors may also be appointed to the Committee to assist with the administration of the Audit and Practice Review Programs.

Reasonable effort will be made to ensure that auditors and auditees are comfortable with the pairing. The auditor and auditee will have an opportunity to advise the Committee of any real or perceived conflicts associated with the pairing within five business days of being notified of the audit. Where deemed necessary in the opinion of the Committee Chair, a replacement auditor will be appointed.

Audit Process

Upon their selection, auditees will receive the Audit Program Guide as well as copies of the current Audit and Continuing Professional Development (CPD) forms. Auditees will submit

their completed forms to the Executive Director or designate who will review the material for completeness and either contact the auditee for additional information, or forward the package to the auditor. The auditor will review the file and if necessary contact the auditee for additional information and/or clarification, or advise the Executive Director or designate to do so on their behalf.

Following the review, the auditor will make a recommendation to the Audit and Practice Review Committee concerning the outcome of the audit. The Committee will consider the recommendation and make one of six determinations: a successful completion with no mandatory follow-up action by the auditee (Rule 14.14.1), a re-audit or a requirement to bring more information forward for consideration (Rule 14.14.2), a requirement to undertake mandatory remedial actions (14.14.3), a requirement to undergo a practice review (14.14.4), removal from the College register due to non-compliance with the audit program as a result from a failure to cooperate (14.14.5), or a referral to the Discipline Committee due to a serious breach of ethical or professional conduct (14.14.6).

Following their determination on the file, the Audit and Practice Review Committee will inform the auditee of the outcome in writing, and will inform the Registrar who will place a copy of the official results letter in the auditee's file.

Audit results will remain confidential. Anonymous, aggregated information and data compiled throughout the course of audits may be used by the College for educational purposes.

Audit Time Frame

Audit correspondence and the submission of forms will be undertaken electronically so as to result in timely completion. Auditees are expected to complete and forward all forms and accompanying material to the Executive Director within 20 business days of being notified of the audit. If this timeframe cannot be met, the auditee must notify the Executive Director as soon as practicable, providing reasons and stating the requested extension period. Where the reasons are acceptable to the Committee, the schedule may be amended. Where, in the opinion of the auditor, information additional to that noted in the forms is required, additional timelines will be set in place.

Failure to Comply

A failure to submit the requested information within 30 business days of the initial audit, or to comply with requests for additional information within a reasonable timeframe may, at the discretion of the Audit and Practice Review Committee, result in the member being referred for a practice review (Rule 14.4.4), being struck from the register (Rule 14.14.5), or being referred to the Discipline Committee (Rule 14.14.6). Five business days will be considered a reasonable response time for requests for more information; however it is at the discretion of the auditor to determine if more or less time is appropriate based on the complexity of the request.

Audit Committee Reporting

The Committee will prepare a summary report for Council for presentation at the Annual General Meeting that contains the generalized results of audits conducted since the last Annual General Meeting. This will help uphold the educational component of the Audit

Program, and inform both members and public of the Audit and Practice Review Committee findings. Where a matter has been referred to the Discipline Committee, the reference will be noted and further reports on the matter will fall to the Discipline Committee.

The Committee will also report throughout the year on the status of audits undertaken by the Committee as and when available using the communication method preferred by the Council.