



College of Applied Biology – Rule 14 Audit and Practice Review Committee

14.1 The Audit and Practice Review Committee is hereby established pursuant to section 21(1) of the *Act*.

Membership of Committee

14.2 The Committee shall

14.2.1 consist of at least one individual who is not a member of the College and no fewer than three registered members, who are appointed by Council for a 3 year term and may be reappointed, and

14.2.2 operate in accordance with Council resolutions and Rules, policies, procedures, and guidelines approved by Council from time to time, if any.

Selection of Auditees

14.3 Auditees will be selected from the College registers for active Professional Biologists and Registered Biology Technologists, and for Biologists in Training and Trainee Registered Biology Technologists.

14.4 Auditees may be selected by way of a stratified random selection process that may take into account various factors, including but not limited to practice focus, geographic location of practice, length of time of membership, employer category and previous audit results.

14.5 The Committee will set annually the selection process parameters.

14.6 The Committee will determine annually the number of College members to be selected for audit.

14.7 Auditees will be selected by the Committee for the purposes of implementing this Rule.

Mandatory Compliance

14.8 A member shall comply with the requirements of the Audit Program as set out in Schedule 6.

Cost of Audit Program

14.9 The College will be responsible for the cost of administering and undertaking audits with the auditee bearing responsibility for their personal audit associated costs.

14.10 In recognition of the associated costs, the Committee will take every effort to ensure that auditees' personal costs are kept to a minimum.

Conduct of Audits

14.11 Audits will be conducted in accordance with the Audit Program as set out in Schedule 6.

- 14.12 Audits will be conducted by auditors who are appointed by and report to the Audit and Practice Review Committee.
- 14.13 Members of the Audit and Practice Review Committee may be appointed as auditors by the Committee.

Audit Results

- 14.14 Following the completion of an audit, the auditor may make a recommendation concerning the outcome of the audit to the Audit and Practice Review Committee, and the Committee shall
- 14.14.1 grant the auditee a successful completion if they demonstrate compliance with the requirements of the Audit Program and the College; or
 - 14.14.2 grant the auditee another opportunity to meet the audit requirements by presenting additional information to the Committee for consideration or require the auditee to be re-audited in a subsequent year; or
 - 14.14.3 require the auditee to undertake mandatory remedial action(s) if the audit process reveals practice-related issues, or
 - 14.14.4 require the auditee to undergo a practice review;
 - 14.14.5 request Council to direct the Registrar to strike the member from the register if it is determined that they are not in compliance with the Audit Program due to a failure to provide completed audit forms within 30 business days of being notified of an audit, or to respond to requests for additional information within a reasonable timeframe, typically defined as 5 business days, or
 - 14.14.6 determine that the auditee has demonstrated a serious breach of professional or ethical misconduct and forward their file to the Discipline Committee.

Audit Reports

- 14.15 The Committee shall make an annual report to Council setting out
- 14.15.1 the number of audits undertaken;
 - 14.15.2 the number of audits that met the Audit Program Requirements;
 - 14.15.3 the number of audits that did not meet the Audit Program requirements and the resulting actions.
- 14.16 The names of auditees and the specific results of individual audits are confidential unless and until the files are forwarded to the Discipline Committee at which time the provisions of Rule 15 will apply.
- 14.17 Auditees should not use or refer to the successful completion of the Audit Program as an indication of College certification of practice.