



COLLEGE OF  
APPLIED BIOLOGISTS

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

January 2024



<b>Policy Name:</b>	<b>Policy 8 – 400 Audit and Practice Review Extension and Exemption Requests</b>				
<b>Approval Authority:</b>	College Board	<b>Adopted:</b>	Nov 2020	<b>Reviewed:</b>	Jan 2024
<b>Responsible Staff:</b>	Registrar/Deputy Registrar	<b>Revised:</b>	Jan 2024		
<b>Responsible Committee:</b>	Audit and Practice Review Committee	<b>Contact:</b>			

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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 scope:

- All registrants who have been selected for an audit or 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 extension request of up to 10 business days and exemption requests under exceptional circumstance(s)
- Will review the request, make a decision and inform the registrant in writing of the decision within 5 business days of receiving the request.
- Will forward an extension request greater than 10 business days and an exemption request without exceptional circumstances to the Audit and Practice Committee (APRC) for their decision.
- 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.



### 3.1.2 Committee Members

The Audit and Practice Review Committee (APRC):

- Renders a decision for an audit or practice review extension request greater than 10 business days and exemption requests without exceptional circumstances. No decision can be made without the lay committee member.
- Will 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:

- Make the extension request within 10 business days of the audit or practice review notification and include the extension timeline and a rationale for the request.
- For extension requests up to 10 business days 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.
- For extension requests greater than 10 business days the Audit and Practice Review Committee (APRC) will make a decision to approve or deny the request.
  - The request will be forwarded to APRC within 10 business days of the request.
  - APRC will make a decision and provide a rationale for the decision within a reasonable time frame.
  - College staff (Deputy Registrar) will notify the registrant in writing of the decision and provide the rationale for the decision within 2 business days.

### 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 business days of the request.
  - APRC will make a decision and provide a rationale for the decision within a reasonable time frame.
  - Within 2 business days of the APRC's decision, College staff 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.



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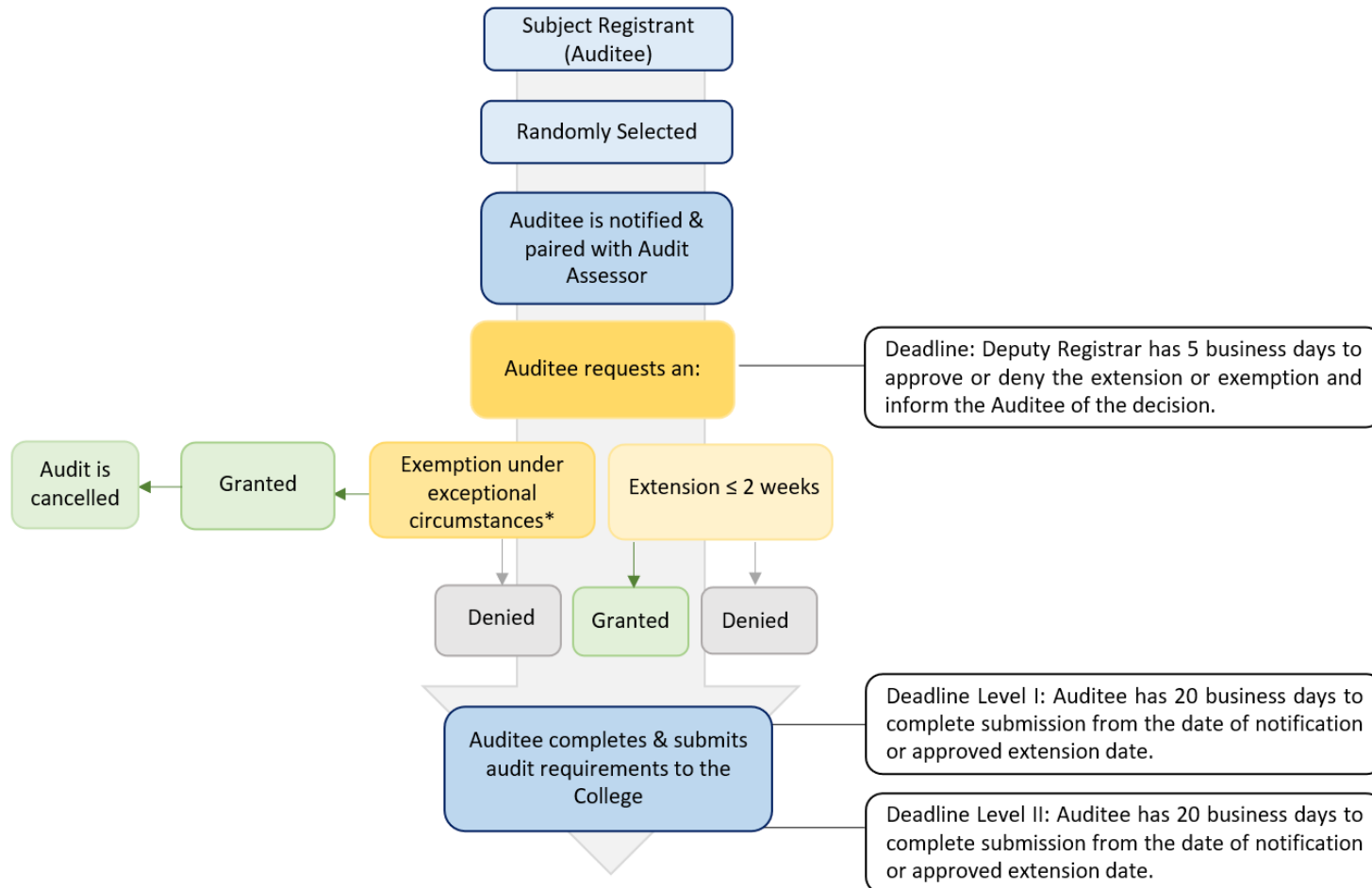
### 4.0 Definitions

**Auditee** - a registrant selected for an audit.

**Exceptional Circumstances** are out of the ordinary, unavoidable or unexpected. Exceptional circumstances may include serious health issues, death of loved one, care of loved one with serious health issue, birth or adoption of a child, divorce, bankruptcy, or serious legal actions. Exceptional circumstances do not include demands from work or vacations.



An Audit or Practice Review Extension or Exemption  $\leq 2$  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)

