

Auditors' Report

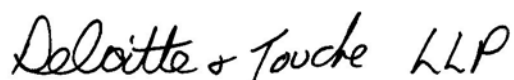
To the Members of the College of Physicians and Surgeons of Ontario
To the Fairness Commissioner for the Province of Ontario

At the request of the College of Physicians and Surgeons of Ontario we have audited the College of Physicians and Surgeons of Ontario (the "College") compliance for the 12 month period from April 2, 2008 to April 1, 2009 with the provisions described in Sections 15-22, 22.2-22.4, 22.6-22.7 and 22.9-22.11 in Schedule 2 of the Regulated Health Professions Act, 1991.

We conducted our audit in accordance with Canadian generally accepted auditing standards. Those standards require that we plan and perform an audit to obtain reasonable assurance whether the College complied with the provisions established in the Act referred to above. Such an audit includes examining, on a test basis, evidence supporting compliance, and evaluating the overall compliance with the Act. There are certain sections within Act that are not amenable to audit as suitable criteria have not been established. Accordingly we are unable to, and do not, opine on the College's compliance with sections 22(4), 22(5), 22.2, and 22.4(2)

Appendix A to this report lists the criteria identified by the Fairness Commission that we considered in our audit. Compliance with the provisions established by the Act is the responsibility of the College. Our responsibility is to express an opinion on compliance based on our audit. Appendix A to this report also includes management's assertion in respect of each of the criteria considered, management's comments regarding their assertion, a summary description of the audit work performed, and the audit findings related thereto.

In our opinion, for the 12 month period from April 2, 2008 to April 1, 2009, the College was in compliance, in all material respects, with the provisions described in Sections 15-22(3), 22(6)-22(8), 22.3, 22.4(1), 22.4(3), 22.6-22.7 and 22.9-22.11 in Schedule 2 of the Regulated Health Professions Act, 1991.



Chartered Accountants
Licensed Public Accountants
November 4, 2009

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria – 15(1)

When a person applies to the Registrar for registration the Registrar (a) registers the applicant or (b) refers the application to the Registration Committee.

Management assertion

This criteria is met by the College.

Management comment

Every application that is received by the College is passed to the Credentials Section of the College's Registration Department (note: the Registration Department acts on behalf of the Registrar). After the application is received by the Credentials Section it undergoes an assessment process.

This process consists of three main stages:

1. Qualifications Assessment stage - This involves checking that the applicant possesses the qualifications and meets the requirements for the class of certificate of registration in question. This process usually takes 4 weeks. The main object of this phase is to make an initial determination of whether the applicant is missing any requirements and must therefore be referred to the Registration Committee.
2. Credentialing stage - This consists of source-verifying the applicant's qualifications, practice history and good standing.
3. Approval/Issuance stage - This consists of final checks for completeness of the application, accuracy of applicant's data entered in the registration database, and issuance and mailing of the certificate of registration.

For those applications that have been referred to the Registration Committee (see below for reasons that applications are referred to the Registration Committee), this approval/issuance stage cannot be carried out until the Registration Committee has decided on the application and has directed the Registrar to issue a certificate.

The requirements by which all applications are assessed are set out in the registration regulation (O.Reg. 865/93) under the Ontario *Medicine Act*. The registration regulation (Regulated Health Professions Act, 1991) was first approved in 1991. Since then, for some of these regulatory requirements the College has introduced registration policies that offer acceptable alternatives. All applications submitted under these policies must be referred to the Registration Committee.

Requirements fall into three general categories: (1) academic requirements (these vary depending on the class of registration for which application is made), (2) credentialing requirements and, (3) general non-exemptible requirement relating to good character (usually by reference letter, letter of good standing and etc), competence, capacity and professionalism.

The academic qualifications consist of a degree in medicine (this is the common, baseline requirement for all applicants) along with specific postgraduate training, examination and certification requirements. These specific postgraduate requirements vary by class of certificate.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Management comment (continued)

The credentialing requirements, including the specific forms and documents we require to verify qualifications, are derived from the general requirement in O. Reg. 865/93 that every applicant must establish his or her identity and provide documentary evidence of credentials.

Auditors procedure to test management assertion

Select a sample of applications from a complete listing of applications that were received by the Registrar for the period under audit. Ensure that all applications have gone through the three main stages (Qualifications Assessment, credentialing and approval/issuance).

Review each application selected for evidence that the applicant was either registered or referred to registration committee by:

1. Reviewing formal sign-off by Registration Department that application is complete;
2. Reviewing checklist and file to ensure all required documentation was received;
3. A copy of notice sent to applicant confirming registration.

For any applications referred to Registration Committee, and for the applications refused by the Registration Committee, review copy of formal notice sent to applicants.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria -15(2)

The Registrar will refer an application to the Registration Committee only if they (a) have doubts, on reasonable grounds, about whether the applicant fulfils the registration requirements, (b) believe that terms, conditions or limitations should be imposed on a certificate of registration of the applicant and the applicant does not consent to the imposition or (c) propose to refuse the application.

Management assertion

This criteria is met by the College.

Management comment

The initial assessment by the Credentials staff in the Registration Department determines whether an application appears to require referral to the Registration Committee.

In practice, most applicants come to the College as fully qualified and eligible for the class of registration for which they are applying and do not require referral to the Registration Committee. Only a relatively small proportion of applications are referred to the Registration Committee.

In those cases where the Credentials staff determine that referral to the Registration Committee is necessary, the application is passed to staff in the Registration Committee Support Department who will then begin work on the file for referral to the Registration Committee.

No applications are ever referred to the Registration Committee without existing statutory grounds to do so, namely, that the Registrar (a) has doubts, on reasonable grounds, about whether the applicant fulfils the registration requirements, (b) believes that terms, conditions or limitations should be imposed on a certificate of registration of the applicant and the applicant does not consent to the imposition or (c) proposes to refuse the application.

Auditors procedure to test management assertion

For applications selected in the previous test that were referred to Registration Committee ensure that all the applications were referred as a result of one of the criteria (a) to (c) being incurred by reviewing meeting minutes of order by Registration Committee.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 15(3)

If the Registrar refers an application to the Registration Committee, the applicant receives notice of the statutory grounds for the referral and of the applicant's right to make submissions under 18-subsection 1.

Management assertion

This criteria is met by the College.

Management comment

When the Registrar decides to refer an application to the Registration Committee, written notice is always given to the applicant. The applicant is invited to make any additional documentary information that the applicant believes may help the Committee in deciding on his or her application. There is no restriction on the number or the type of written submissions that an applicant may make to the Registration Committee. Under the Regulated Health Professions Act ("RHPA"), an applicant is given 30 days to make written submission to the Registration Committee. Should the applicant request to waive the 30 days submission period or request additional time for submissions, the request is almost always granted.

Auditors procedure to test management assertion

For applications selected in previous test that were referred to Registration Committee review copies of the written notices sent to applicants to ensure that the statutory grounds for referral, and applicant's right to make a written submission to the committee were disclosed.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 15.4

When the Registrar feels that a certificate of registration should be issued to an applicant with terms, conditions, or limitations imposed and the applicant consents to the imposition, the Registrar receives approval from a panel of the Registration Committee selected by the chair.

Management assertion

This criteria is met by the College.

Management comment

If the Registrar does not register the applicant, the Registrar must refer the application to the Registration Committee. In the situation described in this criteria, where the Registrar is of the opinion that a certificate of registration should be issued to an applicant with terms, conditions or limitations imposed and the applicant consents to the imposition, the Registrar must refer the application to the Registration Committee for its consideration and approval.

Auditors procedure to test management assertion

From sample selected in previous test, determine that any applicant for which the Registrar felt terms, conditions or limitations should be imposed was referred to the Registration Committee.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 15.5

Section 17-subsection 2 and 17-subsection 3 apply with respect to the panel mentioned in 15-subsection 4.

Management assertion

This criteria is met by the College.

Management comment

Subsection 17(2) is followed by the College in relation to subsection 15(4). In 2008, the Registration Committee was composed of seven members that included 5 physician members and 2 public members appointed by the Lieutenant Governor in Council. Three members of the Committee, of which one must be a public member, constitute a panel and a quorum. The quorum is always present before the Registration Committee will consider an application.

Auditors procedures to test management assertion

For items selected in previous step, review the minutes/report of decision to ensure that applications were reviewed by a panel that met requirements of 17(2) & 17(3).

Search on College website to confirm the composition of the Registration Committee.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 16(1)

Upon the request of the applicant, the Registrar provides all of the information and a copy of each document that the College has, that is deemed relevant to the application.

Management assertion

This criteria is met by the College.

Management comment

Under subsection 16(1) of the RHPA, the Registrar is required to give the applicant, at his or her request, all the information and a copy of each document the College has that is relevant to the application. In practice, however, even if the applicant has not requested it, a copy of each relevant document is automatically provided to the applicant. The only exception would be in a case where the Registrar is of the opinion that release of the record may jeopardize the safety of any person.

Auditors procedures to test management assertion

For applications selected in 15(1) that were referred to the Registration Committee and applications refused by the Registration Committee for the period under audit, review the copies of letters sent to applicants stating that applicant is entitled to seek and obtain all information that the College has relevant to the application. Review the applicant file for any correspondence from applicant requesting information.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 16.2

The Registrar will only refuse to give an applicant anything in the event that it may, in the Registrar's opinion, jeopardize the safety of any person.

Management assertion

This criteria is met by the College.

Management comment

A copy of each relevant document is automatically provided to the applicant. The only exception would be, under subsection 16(2), that is, if the Registrar is of the opinion that release of the record may jeopardize the safety of any person. If the Registrar refuses to give the applicant anything that the Registrar intends to give to the Registration Committee, the Registrar will inform the applicant of his decision and will provide reasons for denying access.

Auditors procedure to test management assertion

Inquire with the Registration Department to determine if Registrar has ever refused an applicant file information.

For samples selected in 16(1), review applicant files for any requests of information and evidence that applicant was denied access to information by the Registrar. If any, review copies of letters sent to the applicant from College to ensure College provided reasons for denying access.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 17(1)

When an application for registration is referred to the Registration Committee by the Registrar or an application is referred back to the Registration Committee by the Board, the panel (selected by the chair among members of the Committee) will review it.

Management assertion

This criteria is met by the College.

Management comment

The Registration Committee considers all applications for registration referred by the Registrar. Similarly, the Registration Committee considers all applications referred back to the Registration Committee by the Health Professions Appeal and Review Board ("HPARB" or the "Board").

The Registration Committee in 2008 consisted of 5 physician members and 2 public members. A quorum is always present, when the Registration Committee considers an application referred by the Registrar or by the Board.

Auditors procedures to test management assertion

For applications selected in 15(1) that were referred to the Registration Committee, obtain the related minutes/report of decision to determine that each application was reviewed by panel.

Obtain a listing of all applications that were referred back to Registration Committee by HPARB during the audit period. Review related minutes/report of decision to ensure that application was further reviewed by panel of registration committee.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 17.2

The panel is composed of at least three persons, one of whom is a person that is appointed by the Lieutenant Governor in Council.

Management assertion

This criteria is met by the College.

Management comment

In 2008 the Registration Committee consisted of 5 physician members and 2 public members. Three members of the Committee, of which one must be a public member, constitute a panel and a quorum. The quorum must be present before the Registration Committee will consider an application.

Auditors procedures to test management assertion

Obtain a listing of Registration Committee/Panel members from College and ensure that panel consists of 7 members. Review evidence that 5 are physician members and 2 public members was appointed by Lieutenant Governor in Council.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 17.3

Three members of a panel constitute a quorum.

Management assertion

This criteria is met by the College.

Management comment

Three members of a panel constitute a quorum. A quorum of the Registration Committee, which consists of three members of which one must be a public member, is always present when the Registration Committee considers an application.

Auditors procedure to test management assertion

For applications selected in 17(1), review the minutes/report of decision by panel to determine whether the panel was made up of a quorum (i.e. 3 members present) when rendering its decision.

Audit finding

The procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 18(1)

Applicants may make written submissions to the panel within thirty days after receiving the notice under 15(3) or within any longer period the Registrar may specify in the notice.

Management assertion

This criteria is met by the College.

Management comment

Each applicant referred to the Registration Committee is given the opportunity to make written submissions to the Registration Committee. The applicant is given 30 days to make written submissions. This information is in the written notice to the applicant when the Registrar decides to refer an application to the Registration Committee.

Additionally, if an applicant requests additional time to make written submissions to the Registration Committee, the Registrar will almost always grant the additional time.

Auditors procedure to test management assertion

For applications selected in 15(1) that were referred to the registration committee and applications refused by the registration committee during the audit period, review applicant files for written submissions by applicants made within 30 days of notice under 15(3). Ensure the written submissions included in materials for consideration by panel by reviewing Registration Committee binders.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 18(2)

After considering the application and the submissions, the panel will make an order based on one of the following (1) Directing the Registrar to issue a certificate of registration, (2) Directing the Registrar to issue a certificate of registration if the applicant successfully completes examinations set or approved by the panel, (3) Directing the Registrar to issue a certificate of registration if the applicant successfully completes additional training specified by the panel, (4) Directing the Registrar to impose specified terms, conditions and limitations on a certificate of registration of the applicant and specifying a limitation on the applicant's right to apply under 19-subsection 1 or, (5) Directing the Registrar to refuse to issue a certificate of registration.

Management assertion

The criteria is met by the College.

Management comment

The Registration Committee, after considering an application, may make an Order doing any one or more of the following: 1) Directing the Registrar to issue a certificate of registration. 2) Direct the Registrar to issue a certificate if the applicant successfully completes examination set or approved by the panel. 3) Direct the Registrar to issue a certificate of registration if the applicant completes additional training specified by the panel. 4) Direct the Registrar to impose specified terms, conditions and limitations on a certificate of registration of the applicant. 5) Direct the Registrar to refuse to issue a certificate of registration.

Additionally, the Registration Committee may, with the consent of the applicant, direct the Registrar to issue a certificate of registration with terms, conditions and limitations.

Auditors procedure to test management assertion

For applications selected in 18(1), review the panel minutes of decision and any supporting documentation in file to determine that the decision rendered by panel falls into 1 of the 5 acceptable categories listed.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 18(3)

The panel can direct the Registrar to issue a certificate of registration to an applicant who does not meet a registration requirement unless the requirement is prescribed as a non-exemptible requirement (in accordance with subsection 2.

Management assertion

This criteria is met by the College.

Management comment

The Registration Committee considers each application on an individual basis. The Registration Committee uses its discretion in deciding on the application. The Registration Committee may direct the Registrar to issue a certificate of registration to an applicant who does not meet a registration requirement, unless the requirement is prescribed as a non-exemptible requirement, under subsection 2(1) of Reg. 865/93. In making decisions to issue a certificate, the Registration Committee is guided, where applicable, by registration policies.

Auditors procedure to test management assertion

For applications selected in 15(1) that were referred to the registration committee during the audit period, select any applications processed where panel directed Registrar to issue a certificate of registration to an applicant who does not meet a registration requirement, review the Regulation & panel minutes/report of decision to ensure that the requirement was exemptible, and panel's support for requirement being waived.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 18(4)

The panel, with the consent of the applicant, may direct the Registrar to issue a certificate of registration with the terms, conditions and limitations specified by the panel imposed.

Management assertion

This criteria is met by the College.

Management comment

The Registration Committee may, with the consent of the applicant, direct the Registrar to issue a certificate of registration with terms, conditions and limitations specified by the Registration Committee.

Additionally, College's Council has approved a number of registration policies that permit the applicant to apply to the Registration Committee for a certificate of registration with terms, conditions and limitations. The Registration Committee, with the consent of the applicant, may direct the Registrar to issue such a certificate of registration to an applicant.

Auditors procedures to test management assertion

Review such registration policies that permit the application to apply to the Registration Committee for a certificate of registration with terms, conditions and limitations. For applications selected in 15(1) that were referred to the registration committee during the audit period, examine any applications where terms, conditions and limitations were specified by the panel, check that evidence of consent of the applicant (such as signature) was received.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 19(1)

A member may apply to the Registration Committee for an order directing the Registrar to remove or modify any term, condition or limitation imposed on the member's certificate of registration as a result of the registration proceeding.

Management assertion

This criteria is met by the College.

Management comment

A member can apply to the Registration Committee to remove or modify any term, condition or limitation that was imposed by the Registration Committee. The member must first submit a written request to the College. The Registrar will then refer the member's request to the Registration Committee for its consideration. The Registration Committee, after considering the member's request, will issue a written decision.

Auditors procedure to test management assertion

Obtain a list of all applicants that applied to the Registration Committee during the audit period for an order to remove or modify a term, judgementally select samples, review copies of the notices sent to applicants (if any) notifying them that their request was sent to Registration Committee.

In addition review the written decision issued by the Registration Committee, after considering the member's request.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 19(2)

The right to apply under subsection 1 is subject to any limitation in the order imposing the term, condition, or limitation or to which the member consented and to any limitation made under subsection 7 in the disposition of a previous application under this section.

Management assertion

This criteria is met by the College.

Management comment

A member may apply to the Registration Committee at any time for variation to the terms, conditions and limitations that were imposed by Registration Committee. In deciding on the application, the Registration Committee will take into account the reasons that caused it to impose the existing terms, conditions and limitations and/or to approve those which the member had previously consented to.

Auditors procedures to test management assertion

Obtain a list of all applicants that applied to the Registration Committee during the audit period for an order to remove or modify a term, judgementally select samples, review the original order minutes to ensure that "new" decision rendered was consistent with any limitations imposed on original order or to which the member consented, and to any limitation made under subsection 7 in the disposition of a previous application under this section.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 19(3)

Applications to the Registration Committee under 19(1) Application for variation or applicants referred back to the Registration Committee by the board are reviewed by the panel selected by the chair from among the members of the committee.

Management assertion

This criteria is met by the College.

Management comment

A member may apply to the Registration Committee at any time for variation to the terms, conditions and limitations. The Registrar, upon receipt of the member's written request, will refer the member's request to the Registration Committee for its consideration. The Registration Committee, after considering the member's request, will issue a written decision.

The Registrar, upon receipt of the Board's written Order referring an application back to the Registration Committee, will refer the Board's Order to the Registration Committee for its consideration. The Registration Committee, after considering the Board's decision, will issue a written decision.

The Registration Committee quorum is always present when it considers applications under Section 19(1) or those referred back by the Board.

Auditors procedures to test management assertion

Obtain a list of all applicants that applied to the Registration Committee during the audit period for an order to remove or modify a term, judgementally select samples, review registration committee minutes to ensure review by panel.

In addition obtain a listing of all applications that were referred back to Registration Committee by the HPARB during the audit period. For any applications that relate to Board ordering the Registration Committee to review an applicant's request to removal/modify a term, review Registration Committee minutes to ensure that application was further reviewed by panel of Registration Committee.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 19(4)

Section 17-subsection 2 and 17-subsection 3 apply with respect to the panel mentioned in subsection 3.

Management assertion

This criteria is met by the College.

Management comment

Subsection 17(2) and subsection 17(3) apply with respect to the panel mentioned in subsection 3. The Registration Committee considers all applications referred to it. A quorum must be present before the Registration Committee can issue a decision.

Auditors procedures to test management assertion

For the applications selected in 19(3), review minutes of meetings/decision by panel to obtain assurance that those applications were reviewed by a panel that met requirements of 17(2) & 17(3).

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 19(5)

Applicants may make written submissions to the panel.

Management assertion

This criteria is met by the College.

Management comment

An applicant can make written submissions to the Registration Committee. Each applicant referred to the Registration Committee is invited to make written submissions to the Registration Committee prior to the Committee issuing a decision.

Auditors procedure to test management assertion

For applications selected in 19(3), review copies of formal notices or informal evidence sent to applicants notifying them of their right to make a written submission to the Committee. Review applicant files for written submissions by applicants and ensure included in materials for consideration by panel by reviewing Registration Committee binders.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 19(6)

After considering the application and the submissions, the panel will make an order doing any one of the following (1) Refusing the application, (2) Directing the Registrar to remove any term, condition, or limitation imposed on the certificate of registration, (3) Directing the Registrar to impose terms, conditions or limitations on the certificate of registration.

Management assertion

This criteria is met by the College.

Management comment

The Registration Committee, after considering the application and all documentary evidence, may make an Order doing any one or more of the following (1) Refusing the application, (2) Directing the Registrar to remove any term, condition, or limitation imposed on the certificate of registration, (3) Directing the Registrar to impose terms, conditions or limitations on the certificate of registration. The applicant is notified of the Registration Committee's decision in writing.

Auditors procedures to test management assertion

From selections made above in 19(1), review the panel minutes of meeting/decision to ensure that decision rendered by panel falls into 1 of the 3 acceptable categories listed. Review a copy of the written notice sent to the applicant regarding the Registration Committee's decision.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 19(7)

The panel, in disposing of an application under this section, may fix a period of time longer than 6 months during which the applicant may not apply under 19(1).

Management assertion

This criteria is met by the College.

Management comment

The Registration Committee in disposing of an application under subsection 19(7) may advise the applicant that s/he may not apply to the Registration Committee for variation of the terms, conditions and limitations for a period of six months, if the Committee deems it appropriate.

Audit procedures to test management assertion

From selections made above in 19(1), review copies of notices sent to applicants to ensure that notice states minimum period before reapplying is 6 months.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 20(1)

The panel will give the applicant notice of an order that it makes under 18(2) or 19(6) and written reasons for it if the order (a) directs the Registrar to refuse to issue a certificate of registration; (b) directs the Registrar to issue a certificate of registration if the applicant successfully completes examinations or additional training; (c) directs the Registrar to impose terms, conditions and limitations on a certificate of registration of the applicant; or (d) refuses an application for an order removing or modifying any term, condition, or limitation imposed on a certificate or registration.

Management assertion

This criteria is met by the College.

Management comment

The Registration Committee, after considering an application, will issue a written notice for an Order it makes under subsection 18(2) or 19(6). After the Registration Committee makes the decision, the College gives written notice to the applicant of the Committee's decision. The applicant is advised that s/he is entitled to appeal the Registration Committee's decision to the HPARB, if s/he is dissatisfied with the Registration Committee's decision.

Auditors procedure to test management assertion

For applications selected under 18(2) and 19(6), review the copy of notice of the order to determine that notice was sent to applicant. If order was to refuse applicant of certificate or removal of a term, ensure reasons were clearly given for decision in notice. Also ensure that the applicant is advised in the written notice that s/he is entitled to appeal the Registration Committee's decision to the HPARB, if s/he is dissatisfied with the Registration Committee's decision.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 20(2)

Notice provided under subsection 1 informs the applicant of the order and of the provisions of 21-subsection 1 and 21-subsection 2.

Management assertion

This criteria is met by the College.

Management comment

Every applicant is notified in writing of the Registration Committee's decision. When the Registration Committee denies an applicant's request, the applicant is given the decision with reasons. Additionally, the applicant is advised that s/he is entitled to a review or a hearing by the Board, if s/he is dissatisfied with the Registration Committee's decision. Together with the written Order with reasons, the application is given information regarding the appeal process.

Auditors procedures to test management assertion

Review copies of notices sent to applicants for the applications selected in 20(1) above, ensure that order and reasons were clearly stated and consistent with the documentation in the file (i.e. minutes of panel order). Ensure that provisions 21(1) & 21(2) were conveyed to applicant in notice if order falls within (a) to (d) as listed in 20(1)

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 21(1)

An applicant who has been given notice of an order under 20-subsection 1 can require the Board to hold a review of the applicant and the documentary evidence in support of it, or a hearing of the application, by giving the Board and the Registration Committee notice in accordance with subsection 2.

Management assertion

This criteria is met by the College.

Management comment

When the Registration Committee refuses an applicant's request, a written notice is given to the applicant. The applicant is advised that s/he is entitled to appeal the Registration Committee's decision and may ask the Board to conduct a review or a hearing of the Registration Committee decision.

Additionally, the applicant is advised that if s/he wishes to require a review or a hearing, s/he must give written notice to the Board and the Registration Committee within 30 days after the notice is received and that s/he must specify whether a review or a hearing is required.

The applicant is provided instructions on how to appeal in the form of a two page document prepared by HPARB that gives information about the appeal process.

Auditors procedures to test management assertion

For applications where order was to refuse either registration or removal of a term, review the application file to see if any appeals were made to HPARB during the period. Review files for instructions on how to appeal and any correspondence by applicant requesting board review. Select all files that went to the HPARB, review evidence that a review or hearing was held by the HPARB by viewing the decision report.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 21(2)

The notice under subsection 1 is a written notice, and it is given within thirty days after the notice under 20-subsection 1, specifying whether a review or hearing is required.

Management assertion

This criteria is met by the College.

Management comment

A written notice given to the applicant contains clear information about the appeal process, including the information that if s/he wishes to require a review or a hearing, s/he must give written notice to the Board and the Registration Committee within 30 days and must specify whether s/he requires a review or a hearing.

Auditors procedure to test management assertion

For selections made in 21(1), review applicant files to determine if a written notice was given to the applicant within 30 days after the notice in 20(1) was given and if the written notice contains clear information about the appeal process, including the information that if s/he wishes to require a review or a hearing, s/he must give written notice to the Board and the Registration Committee within 30 days and must specify whether s/he requires a review or a hearing.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 21(3)

After the Registration Committee receives a notice that an applicant requires a hearing it gives the Board a copy of the order made with respect to the application, the reasons for it and the documents and things upon which the decision to make the order was based (within 15 days after receiving the notice).

Management assertion

This criteria is met by the College.

Management comment

The Registration Committee, upon receipt of the written notice from Board that the applicant has requested a hearing or a review, will provide to the applicant and to the Board a copy of the Registration Committee Order with reasons together with all documents and things upon which the Registration Committee made its decision.

Audit procedure to test management assertion

Review College Registration Department's policy and guidelines for registration practices to ensure that Registrar staff is aware of this protocol. Inquire with Registrar staff to determine their familiarity with this practice and whether it actually occurs.

For all applications referred back to Registration Committee by HPARB, examine correspondence between HPARB & College to determine whether this information has been provided by College to HPARB.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 21(4)

An order of a panel is only carried out when (a) the applicant has given the Registrar notice that the applicant will not be requiring a review or hearing, (b) thirty-five days have passed since the notice of the order was given under 20-subsection 1 without the applicant requiring a review or hearing, or (c) the Board has confirmed the order.

Management assertion

This criteria is met by the College.

Management comment

The Registrar will carry out the Registration Committee's Order when (a) the applicant consents to the Order or (b) the Registrar does not receive a written notice from the applicant requesting a review or a hearing by the Board within 35 days after the Registration Committee decision was issued or (c) the applicant had appealed the decision, and the Board has confirmed the Registration Committee Order.

Auditors procedure to test management assertion

For applications selected in 21(1) that were referred to the registration committee during the audit period, where application was refused for registration or removal/modification of a term, review file for any

- a) applicant consent of order,
- b) HPARB notice confirming order by Registration committee or
- c) Written notice by applicant requesting hearing or review by HPARB

to determine that orders are only carried out after 35 days if none of the above occurs.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 22(2)

The following provisions apply with necessary modifications to a hearing or review: (1) 38-Subsection 4 (exclusion from panel), (2) Section 42 (disclosure of evidence), (3) Section 43 (no communication by panel members), (4) Section 50 (members of panel who participate), (5) Section 55 (release of evidence).

Management assertion

This criteria is met by the College.

Management comment

The HPARB is a government-funded independent body constituted by members of the public who are not health care professionals, with its mandate clearly established and in the RHPA. Information about HPARB's mandate and its statutory powers is available on HPARB's website. The College believes that HPARB fully adheres to the requirements set out in the RHPA.

Auditors procedures to test management assertion

For applications that were referred back to the registration committee by HPARB during the audit period, review the related minutes of decision by HPARB to determine if the provisions listed apply and board's adherence to them. Visit the HPARB website to determine if HPARB policies and practices are evident and that HPARB follows the RHPA.

Audit findings

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 22(3)

The following provisions also apply with necessary modifications to a hearing: (1) Section 45 (hearings open), (2) Section 47 (sexual misconduct witnesses), (3) Section 48 (transcript of hearings).

Management assertion

The criteria is met by the College.

Management comment

The HPARB is a government-funded independent body constituted by members of the public who are not health care professionals, with its mandate clearly established, in the RHPA. The College believes that the HPARB fully adheres to the requirements set out in the RHPA.

Auditors procedures to test management assertion

For applications that were referred back to the registration committee by HPARB during the audit period, review the related minutes of decision by HPARB to determine if the provisions listed apply and board's adherence to them. Visit the HPARB website to determine if HPARB policies and practices are evident and that HPARB follows the RHPA.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 22(3.1)

The following provisions of the Statutory Powers Procedure Act also apply with necessary modifications to a review by the Board: (1) Section 21.1 (correction of errors), (2) Section 25.1 (rules).

Management assertion

The criteria is met by the College.

Management comments

The HPARB is a government-funded independent body constituted by members of the public who are not health care professionals, with its mandate clearly established in the RHPA. The College believes that the Board follows the provisions of the Statutory Powers Procedures Act, when conducting a review of the Registration Committee decision.

Auditors procedures to test management assertion

For applications that were referred back to the registration committee by HPARB during the audit period, review the related minutes of decision by HPARB to determine if the provisions listed apply and board's adherence to them. Visit the HPARB website to determine if HPARB policies and practices are evident and that HPARB follows the RHPA.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 22(6)

The Board, after the hearing or review, makes an order doing any one or more of the following:

(1) Confirming the order made by the panel, (2) Requiring the Registration Committee to make an order directing the Registrar to issue a certificate of registration to the applicant if the applicant successfully completes any examinations or training the Registration Committee may specify, (3) Requiring the Registration Committee to make an order directing the Registrar to issue a certificate of registration to the applicant and to impose any terms, conditions and limitations the Board Considers appropriate, (4) Referring the matter back to the Registration Committee for further consideration by a panel, together with any recommendations the Board considers appropriate.

Management assertion

This criteria is met by the College.

Management comment

After the hearing or review, the Board will issue an Order with written reasons for its decision, and provide it to the applicant and to the Registration Committee.

The Board may: 1) confirm the order made by the panel of the College's Registration Committee; 2) require the Registration Committee to order the College's Registrar to issue a certificate of registration to the applicant if s/he successfully completes particular examination or training the Committee may specify; 3) Require the Registration Committee to order the Registrar to issue a certificate of registration to the applicant, with or without the imposition of specific terms, conditions and limitations the Board considers appropriate; or 4) refer the matter back to the Registration Committee for further consideration by a panel, together with any recommendations the Board considers appropriate.

General information about the HPARB's role and mandate is available on the HPARB website.

In making its Order under subsection 6, HPARB does not require the Registration Committee to direct the Registrar to issue a certificate of registration to an applicant who does not meet a registration requirement that is prescribed as a non-exemptible requirement.

Auditors procedure to test management assertion

For applications that were referred back to the registration committee by HPARB during the audit period, read the board's decision and reasons in writing to determine that decision made falls into 1 of the 4 acceptable categories.

In addition, confirm that Registrar complied with board's decision. For example, if decision by board was to require registration committee to make order directing Registrar to issue certificate, review Registrar notification to applicant of issuance of certificate.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 22(7)

The Board make an order under paragraph 3 of subsection 6 only in cases where the Board finds that the applicant substantially qualifies for registration and that the panel has exercised its powers improperly.

Management assertion

The criteria is met by the College.

Management comment

The HPARB may make an Order under paragraph 3 of subsection 6 only if the Board finds that the applicant substantially qualifies for registration and that the Registration Committee panel has exercised its powers improperly.

Auditors procedures to test management assertion

For applications that were referred back to the registration committee by HPARB during the audit period, read the board's decision and reasons in writing to determine cases where the Board finds that the applicant substantially qualifies for registration and that the panel has exercised its powers improperly. Ensure that support by the board has been provided for the decision (i.e. reasons). Ensure that certificate was registered to applicant by reviewing notice sent.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 22(8)

The Board does not require the Registration Committee to direct the Registrar to issue a certificate of registration to an applicant who does not meet a registration requirement that is prescribed as a non-exemptible requirement (i.e. when the Board makes an order under subsection 6).

Management assertion

This criteria is met by the College.

Management comment

The Board, in making an order under subsection 6 does not require the Registration Committee to direct the Registrar to issue a certificate of registration to an applicant who does not meet a registration requirement that is prescribed as a non-exemptible requirement.

Auditors procedure to test management assertion

For applications that were referred back to the registration committee by HPARB during the audit period, review any applications requesting a HPARB hearing or review where Board required the Registration Committee to direct the Registrar to issue a certificate of registration to an applicant, review the board's decision and reasons in writing to determine that applicants who did not meet a non-exemptible requirement were not issued a certificate.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 22(9)

Both the College and the applicant are parties to a hearing or review.

Management assertion

This criteria is met by the College.

Management comment

No personal appearance or representation is made at a review. A hearing is a quasi-judicial process that permits the parties (the physician who has appealed and representative(s) of the Registration Committee) to attend and make submissions before an HPARB. A hearing is normally open to the public, unless HPARB directs otherwise.

Auditors procedures to test management assertion

For applications that were referred back to the registration committee by HPARB during the audit period, review any applications requesting a HPARB hearing or review, read the board's minutes of decision of hearing to determine whether College and applicant attended.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 22.3

The College provide information to individuals who are applicants for registration with respect to the requirements for registration, the procedures for applying and the amount of time that the registration process usually takes.

Management assertion

This criteria is met by the College.

Management comment

Information about the steps to initiate registration with the College and registration timelines is readily available to individuals from the College's website and by corresponding directly with the College, either by telephone or email. The College's Registration Department has an Inquiries Unit made up of a team of staff dedicated to providing information and guidance to prospective applicants on registration requirements, policies and procedures.

The College's website contains a registration section that offers extensive information, instructions and forms. Individuals can learn about registration and obtain application material directly from the website. The website underwent a complete redesign in 2008 with special emphasis given to the display, readability, and ease of access to registration information. This information is repeated and clarified as necessary throughout the application process via the updates that applicants obtain on the status and progress of their applications.

Most of the College's registration requirements, particularly the academic qualifications and examinations required for registration are set out in Regulation 865/93 under the Medicine Act. Other requirements are contained in various registration policies, many of which offer acceptable alternatives to the regulatory requirements.

The credentialing requirements, including the specific forms and documents required to verify qualifications, are derived from the general requirement in Regulation 865/93 that every applicant must establish his or her identity and provide documentary evidence of credentials. The list of requirements that is provided by the College with each registration application is the best source for complete and detailed information. For each class of registration there is a separate list containing the requirements specific to the class, along with the common credentialing requirements. These lists are continually updated to reflect changes in requirements and edited for clarity and readability.

General processing times are provided in the instructions that accompany the application form; along with recommendations on how far in advance applicants should start the process to enable timely registration. All important timelines, deadlines and time limits are clearly communicated to College applicants.

Audit procedures to test management assertion

Review the website content and application files to determine that requirements, procedures and other pertinent information is readily accessible and clearly laid out.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 22.4(1)

The College makes information publicly available on what documentation of qualifications must accompany an application and what alternatives may be acceptable to the College if an applicant cannot obtain the required documentation for reasons beyond his or her control.

Management assertion

The criteria is met by the College.

Management comment

The documentation of qualifications that must accompany each application is clearly laid out in the list of requirements that is provided with the application form. This documentation, once provided, would ordinarily complete the application and no further supporting documentation would be required. If it were determined that additional documentation is needed, the applicant would be given precise instructions on the nature of the required documents.

If, for reasons beyond their control, applicants are unable to obtain the required documentation, information on acceptable alternatives is available through one of three ways.

For certain of the required documents, the list of requirements with the application form provides instructions on acceptable alternative documents. Applicants can also obtain information on acceptable alternatives by contacting staff in the Registration Inquiries unit. Thirdly, for an individual whose application is in the credentialing phase, he or she can contact the Credentials Assessor concerned to discuss his or her situation and obtain guidance on acceptable alternatives.

It should be noted that the College has an explicit registration policy that allows graduates of medical schools in Iraq and in other countries experiencing war or civil disruption to submit alternative documents instead of the usual verification documents from the source organizations.

Auditors procedures to test management assertion

Enter the College website to determine that information is publicly available on what documentation of qualifications must accompany an application for each type of application. In addition, determine if there are acceptable alternatives if an applicant cannot obtain the required documentation for reasons beyond his or her control.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Criteria - 22.4(3)

The College ensures that individuals assessing qualifications and making registration decisions or reviewing decisions have received training that includes, where appropriate (a) training on how to assess such qualifications and make such decisions; (b) training in any special considerations that may apply in the assessment of applications and the process for applying those considerations.

Management assertion

This criteria is met by the College.

Management comment

The Credentials Section is the area within the College's Registration Department that conducts the primary assessment of qualifications. The unit is staffed by eight assessors, all of whom complete in-depth and lengthy training. The training process is multi-faceted and involves all members of the Credentials Section, including the supervisor. The Manager of the Registration Department also provides instruction, guidance and insight throughout the process.

For new employees, training advances in stages, beginning with study of all material related to College credentialing and registration. This includes the registration regulations and policies, application requirements and other reference and resource material. This knowledge acquisition phase is followed by one-on-one practical training provided by other assessors and the section supervisor. It includes instruction and review of how applications are credentialed and processed from point of arrival to issuance of the certificate of registration. Once the new assessor has acquired a fundamental knowledge base and received practical instruction, he or she assumes a small caseload of applications and then gradually progresses to a full share of work. During this period, new assessors gain exposure to unique or exceptional cases requiring special consideration. This hands-on phase involves extensive feedback from the supervisor as well as the manager. This feedback includes training on how to deal with exceptional cases. Overall duration of training is approximately one year.

Decisions made by assessors on applications are all subject to an internal peer-review and triple-check process that reinforces training and learning.

The College continually provides training to Council members. Every year, the Council hosts a one-day orientation session for Council members, where members are given general information about the role of the College, mandate of the various committees, and other relevant issues such as the importance of recognizing and declaring any conflict of interest.

New members appointed to the Registration Committee are given a package of written material that provides an overview of the registration process, all relevant legislation, and all registration policies and information about the key third party organizations.

Additionally, staff holds a training session for all new members to review the material and analyze some case examples.

Review training and orientation policies for Registration Department Staff to ensure that individuals assessing qualifications are competent. Review training and orientation policies for Registration Committee and documentation on annual orientation.

Appendix A - Suitable criteria

Section C: Evaluation of registration practices, specific duties

Auditors procedures to test management assertion

Obtain the package given to new members appointed to the Registration Committee which include written material that provides an overview of the registration process, all relevant legislation, and all registration policies and information about the key third party organizations.

For applications selected in 15(1), review each application to see evidence of internal peer-review and triple-check process that reinforces training and learning.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section E: Reports

Criteria - 22.6(1)

The College undertakes reviews of its registration practices at such times as the Fairness Commissioner may specify to ensure that the registration practices are transparent, objective and fair.

Management assertion

The criteria is met by the College.

Management comment

The College continually undertakes (ongoing policy of self review) a review of its registration practices. For example, the College reviews its internal quarterly benchmarking reports on processing times and its registration statistics reports to ensure that it is meeting the processing times stated in its application material and website.

During the period under review there were no requests from the Fairness Commissioner to undertake reviews of registration practices other than the required annual Fair Registration Practices Report.

Auditors procedure to test management assertion

The auditor discussed the review process with various College staff to verify the ongoing self review policy.

Audit finding

The audit procedure was performed without exception.

Appendix A - Suitable criteria

Section E: Reports

Criteria - 22.6(2)

The review includes an analysis of the following: (a) the extent to which the requirements for registration are necessary for or relevant to the practice of the profession; (b) the efficiency and timeliness of decision-making; and (c) the reasonableness of the fees charged by the College in respect of applications.

Management assertion

The criteria is met by the College.

Management comment

During this audit year, the Fairness Commissioner did not require the College to undertake a review of its registration practices.

Auditors procedures to test management assertion

The auditor discussed the review process with various College staff to verify the ongoing self review policy.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section E: Reports

Criteria - 22.6(3)

The College will file a copy of the results of the review with the Fairness Commissioner within 30 days after the completion of the review.

Management assertion

This criteria is met by the College.

Management comments

With the exception of the annual Fair Registration Practices Report, no reviews were requested by the Fairness Commissioner

Auditors procedure to test management assertion

The auditor discussed the review process with various College staff confirm no reviews requests

Audit findings

The audit procedure was performed without exception.

Appendix A - Suitable criteria

Section E: Reports

Criteria - 22.7

The College will prepare a fair registration practices report annually or at such other times as the Fairness Commissioner may specify.

Management assertion

This criteria is met by the College.

Management comment

In February 2009, the College prepared and filed with the Fairness Commissioner its fair registration practices report for 2008. The 2008 report was the first annual report required by the Fairness Commissioner.

Auditors procedure to test management assertion

Inquire with College to determine how often a fair registration practices report is prepared, the process and whether the reports are filed to the Fairness Commission. View on the College's website to see if the report is posted on the website.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section E: Reports

Criteria - 22.7(2)

In cases where the College combines its fair registration practices report with such other reports of the College as the Fairness Commissioner may permit, the audit is confined to those parts that relate to registration practices.

Management assertion

Not applicable.

Management comments

During this audit year, there were no instances of combined reports made to the Fairness Commissioner.

Auditors procedure to test management assertion

The auditor discussed the review process with various College staff to confirm assertion.

Audit findings

The audit procedure was performed without exception.

Appendix A - Suitable criteria

Section E: Reports

Criteria - 22.7(3), 22.7(4)

If the Fairness Commissioner required that the College provide them with reports or information relating to the College's compliance with sections 15 to 22.11 and the regulations the College will prepare and file reports with, or provide the information to, the Fairness Commissioner. Reports and information required under subsection 3 are in addition to the reports required under subsection (1) and 22.8.

Management assertion

This criteria is met by the College.

Management comment

Apart from the annual fair registration practices report that the College filed in February 2009, the Fairness Commissioner did not require the College to provide any reports or information relating to the College's compliance with sections 15 to 22.11 and the regulations.

Auditors procedures to test management assertion

Inquire with College to determine whether Fairness Commissioner required College to provide compliance report with respect to sections 15-22.11. If a report was prepared, review to ensure that sections 15-22.11 were addressed in report. If possible, confirm with Fairness Commissioner to determine if compliance report required.

Audit finding

The audit procedure was performed without exception.

Appendix A - Suitable criteria

Section E: Reports

Criteria - 22.9

The College must file its fair registration practices reports with the Fairness Commissioner by the dates specified by the Fairness Commissioner.

Management assertion

This criteria is met by the College.

Management comment

Only one fair registration practices report has been required by the Fairness Commissioner thus far. This report, covering 2008, was due on March 1, 2009. The College filed it with the Fairness Commissioner on February 27, 2009.

Audit procedures to test management assertion

Confirm with Fairness Commissioner to determine if the fair registration practices report was filed in a timely manner to Fairness Commissioner. Alternatively, review notice from Fairness Commissioner stating the date the report required. Inquire with Registrar when report was submitted.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section E: Reports

Criteria - 22.9(2)

The College make reports filed under subsection 1 available to the public.

Management assertion

This criteria is met by the College.

Management comment

The College posted its 2008 fair registration practices report on its website in March 2009. The entire report is available for viewing by the public.

Audit procedures to test management assertion

Ensure that report is readily available to public by testing whether report can be readily accessed.

Audit finding

The audit procedures were performed without exception

Appendix A - Suitable criteria

Section E: Reports

Criteria - 22.10

The reports and certificates that are required under sections 22.7 and 22.8, (and under the regulations) are in the form, contain the information specified by the Fairness Commissioner or the regulations.

Management assertion

This criteria is met by the College.

Management comment

The College's 2008 fair registration practices report adhered fully to the template provided by the Fairness Commissioner and contained all the information required. No certificates were required to be filed with the Fairness Commissioner during this audit period.

Auditors procedures to test management assertion

Review the 2008 fair registration practices report that has been required under sections 22.7 to determine that report is in the form and contain the information specified by the Fairness Commission or regulations.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section E: Reports

Criteria - 22.10(2)

The reports prepared by the College, the Fairness Commissioner or an auditor under sections 22.6 to 22.8 do not contain personal information (despite subsection 1).

Management assertion

This criteria was met by the College.

Management comment

The College's 2008 fair registration practices report did not contain any personal information. This was the only report under ss. 22.6 to 22.8 that was required to be filed during this audit period.

Auditors procedures to test management assertion

Review reports prepared by College and ensure that no personal information is disclosed.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section E: Reports

Criteria - 22.11(1)

The fair practices report includes a statement certifying that all the information required to be provided in the report has been provided and that the information is accurate.

Management assertion

This criteria is met by the College.

Management comment

The College's 2008 fair registration practices report included a statement certifying that all the information that was required to be provided has been provided and that the information is accurate.

Auditors procedure to test management assertion

Review the fair practices report to determine that a statement by College was included certifying that all information required to be provided in the report has been provided and that information is accurate.

Audit finding

The audit procedures were performed without exception.

Appendix A - Suitable criteria

Section E: Reports

Criteria - 22.11(2)

The person with authority to sign on behalf of the College signs the statement required by subsection 1.

Management assertion

This criteria is met by the College.

Management comment

The statement required by subsection 1 for the College's 2008 fair registration practices report was electronically signed by the Registrar. The Registrar has authority to sign on behalf of the College.

Auditors procedure to test management assertion

Review the fair practices report to determine that statement specified per 22.11(1) was signed by the Registrar.

Audit finding

The audit procedures were performed without exception.