

For the College of Psychologists of Ontario

The Office of the Fairness Commissioner (OFC) requires the health regulatory colleges named in schedule 1 of the Regulated Health Professions Act, 1991 (RHPA) to undergo compliance audits to ensure that registration in Ontario is transparent, objective, impartial and fair. The Fairness Commissioner is required to specify the form and content of audit reports. In carrying out this function, the OFC has developed this reporting template to assist independent auditors in reporting on a health regulatory college's compliance with schedule 2 of the RHPA, the Health Professions Procedural Code (the Code).

The OFC will use the information provided in the audit reports to assess the registration practices of each health regulatory college on the basis of its obligations under the Code. If the OFC determines that a regulatory body regulates more than one profession, auditors will be notified that they must report on registration practices for each profession.

The health regulatory colleges received specifications about the scope and standards for the audit, guidance about the eligibility criteria for the roster of auditors, guidance on evaluation of registration practices and information about audit timelines in [*Framework for Audits of Registration Practices: Guidance for Regulatory Bodies*](#). When conducting an audit, auditors should consider the following questions:

- Did you assess to what extent the health regulatory college's planning for registration practices complies with the Code? (Planning means policies that a regulatory body creates to formalize its procedures and practices.)
- Did you assess the effectiveness of the health regulatory college's registration practices in meeting the fair registration practices objectives set out in the Code?
- Did you assess the need for and relevance of the health regulatory college's registration requirements?
- Did you compare the registration practices carried out with those that were planned?
- If applicable, did you assess the effectiveness of any registration practices implemented to remedy shortcomings revealed by a previous audit?
- If applicable, did you assess the health regulatory college's compliance with the terms and conditions of a compliance order?
- Did you prepare a draft report on the audit and provide a copy to the health regulatory college for feedback?
- Did you consider any feedback and make appropriate changes?

As auditors fill out this audit report, these questions may be useful:

- Does the audit report state conclusions?
- Does the audit report explain factors that were considered in arriving at these conclusions?
- Does the audit report provide recommendations based on evidence identified during the audit?
- Does the audit report provide sufficient information to advise the OFC about the degree of compliance by the health regulatory college?
- Does the audit report provide sufficient information to support the audit conclusions and explain all exceptions?
- Does the audit report provide sufficient information to advise the OFC of potential complaints or problems?
- Does the audit report provide sufficient information to clarify and reinforce your judgment and decisions?

For the College of Psychologists of Ontario

Completing the Audit Report

- The **auditor** completes sections A-F and H-J. The **health regulatory college** completes sections G and K.
- You must use Adobe Reader, version 9 or higher, to make all the functions in this form work.
- All sections of this audit report must be completed. Incomplete reports will be returned. The OFC will seek additional information from a health regulatory college if information in its audit report is unclear or incomplete.
- Do not use all uppercase or all lowercase print.
- Change the filename of your report to match the name that you choose from the drop-down menu at the top of the form.
- You can print the report at any stage by using Ctrl-P or the Print icon. To print blank copies of the testing procedures pages, go to [appendix A](#).
- The hard copy of the audit report must be signed and dated in section H, Auditor's Certificate, by the lead practitioner responsible for conducting the audit, who must be a licensed public accountant. The name of the audit firm on the signature line of the hard copy is unacceptable.
- The same hard copy of the audit report must be signed and dated in section G, Health Regulatory College's Certificate, by the registrar or the CEO of the regulatory body.

Submission and Publication Guidelines

- The audit report must be filed with the Fairness Commissioner using this reporting form.
- The auditor must submit the audit report by the deadline stated in the notice of audit sent to the health regulatory college. Reports submitted after the deadline will be marked "late."
- This form must be submitted by e-mail to ofc@ontario.ca. One hard copy with original signatures must also be filed by mail or courier to 595 Bay Street, Suite 1201, Toronto, ON M7A 2B4.
- **Written submissions** made by the health regulatory college on the draft audit report do not form part of this report but must be submitted to the OFC together with it.
- A copy of the audit report must be provided to the health regulatory college.
- The OFC encourages health regulatory colleges to make their audit reports publicly available. If they do so, they must publish each report in the same format and with the same content (but omitting section K if they choose) that was submitted to the OFC in this reporting template.

Contact Us

- General or specific information is available during regular office hours:
 - 416.212.5661 Phone
 - 1.877.727.5365 Toll-free
 - 416.326.6080 TTY
 - www.fairnesscommissioner.ca

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SECTION A: General Information

This section should be completed by the auditor.

Health Regulatory College Name			
College of Psychologists of Ontario			
Period Covered by the Audit (e.g. July 16, 2008, through July 15, 2009)			
April 2, 2008		through	April 1, 2009
Notice of Audit Start Date	Notice of Audit Completion Date	Actual Start Date	Actual Completion Date
September 1, 2009	December 31, 2009	July 8, 2009	December 23, 2009

SECTION B: Audit Approach

This section should be completed by the auditor.

The audit approach should outline your chosen methodology and fully describe the manner in which the methodology was framed. It should evidence planning for the audit, having regard for the particular objectives and scope of audit under consideration. It should also describe the manner in which you gathered information and evaluated the evidence obtained to assess compliance with the relevant sections of the RHPA. For instance, a description of the audit approach includes a list of the individuals you consulted during the course of the audit and an explanation of how you conducted your analysis and reached your conclusions.

Please describe fully your approach to the audit. Be sure to explain how you ensured that each sample is randomly selected and representative. For the purpose of this audit, “representative” means that the sample of items you chose, such as a sample of applications or a sample of decision letters, reflects the diversity of the applicants. For instance, a sample of applications could include applications from applicants trained in Ontario, applicants trained elsewhere in Canada, applicants trained in the United States and applicants trained abroad.

This box will expand as you type. Its size is unlimited. If you reach the end of the page, another page will appear to allow for additional comments.

This audit was carried out pursuant to Canadian generally accepted auditing standards for Audits on Compliance with Agreements, Statutes and Regulations, as set out in section 5815 of CICA Handbook – Assurance. Specifically, the audit was designed to examine the registration practices of the College of Psychologists of Ontario (the "College") to assess its compliance with the standards set out in sections 15-22, 22.2-22.4, 22.6-22.7 and 22.9-22.11 inclusive of Schedule 2 – Health Professions Procedural Code of the Regulated Health Professions Act, 1991 (the “Code”) during the year ended April 1, 2009 (the “audit period”).

In the audit planning stage we met with the Registrar and registration staff to agree upon audit timing, audit approach and the cooperation and preparation that would be provided by the College. We requested and subsequently obtained from the College a document outlining how the College complied with each of the foregoing sections of the Code. In addition we reviewed the Psychology Act, 1991, Regulation 533/98 as amended to date and the Study of Registration Practices of the College of Psychologists of Ontario, 2007 prepared by the Office of the Fairness Commissioner

(Ontario) (the “OFC”). All personnel involved with the audit were familiar with the Regulated Health Professions Act (in particular with the Code), with the Framework for Audits of Registration Practices published by the OFC and had attended one of the OFC auditor orientation sessions held in August, 2009.

The audit engagement was planned to provide a high, but not absolute, level of assurance by designing procedures such that the risk of an inappropriate conclusion is reduced to a low level. The procedures in this engagement involved inspection of the College’s registration records and files, inquiry in interviews with College staff and confirmation obtained from third parties, as follows:

- (a) We examined the College’s Fair Registration Practices Report for 2008, the Council minutes and Registration Committee minutes during the audit period, the College’s website, agreements with third parties, policy documentation, training records and, on a test basis, registration files for applicants who applied for registration (or inquired about registration) during the audit period. In the latter case the files were selected from a listing of all applicants and care was taken that at least one-half of those files selected were educated outside Ontario (and weighted toward those educated outside of Canada and the United States).
- (b) We inquired regarding registration procedures, problems and experiences in interviews with the Registrar and with all staff involved in the registration process.
- (c) We confirmed, in confidential telephone interviews with a sample of all applicants, whether the College’s registration procedures were, in their opinion, transparent, objective, impartial and fair and further, whether the college complied with the specific code requirements that would be within the cognizance of the interviewee. Once again care was taken that at least one-half of those selected were educated outside Ontario (and weighted toward those educated outside of Canada and the United States). We also confirmed with the OFC that information that was within their cognizance.

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SECTION C: Evaluation of Registration Practices

This section should be completed by the auditor.

The Schedule 2 of the RHPA, the Health Professions Procedural Code (the Code), includes requirements for health regulatory colleges with respect to registration practices. The following questions relate to your evaluation of the registration practices specified in the Code.

Please use your answers to these questions to show how you evaluated these practices. Ensure that your answers address the scope, methodology and rationale behind any sample sizes chosen. Ensure also that you provide an explanation for any limitations to provide absolute assurance. The evaluation record should be sufficiently complete and detailed to provide a person who has no previous connection to the audit with an understanding of the work performed and the basis of the decisions taken.

These questions are not comprehensive or prescriptive, and auditors retain complete discretion to determine the nature of the inspection and to use generally accepted accounting principles and generally accepted assurance standards to develop suitable criteria for evaluating registration practices. Where the legislative terms used are open to interpretation (e.g., “reasonable,” “objective,” “fair,” etc.), you must use your professional judgment in determining if the legislative requirements have been met.

For each question in this section, you will describe the health regulatory college's process and report your testing procedures. Use the checklist to indicate which procedures you performed for each question. Then scroll down to pages where you will describe each test individually (or state why you did not do any tests).

Each page for reporting your testing procedures has buttons to remind you of the required information for the following categories:

- **Result of the test:** The outcome of the testing procedure performed above. The result would typically include the number of exceptions, if any, and an explanation for each exception.
- **Conclusion:** An assessment of the health regulatory college's compliance for this question.
- **Recommendation:** Ways in which the health regulatory college can improve upon the registration practice covered by this question.

If you want to print the testing procedure pages to work with before you key in your answers, you will find blank generic versions of these pages in [appendix A](#).

Some specific terms in the questions are hyperlinked to a list of explanations in [appendix B](#).

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SECTION C: Evaluation of Registration Practices

Table of Questions

C1: Information for Applicants

- C1a. [Does the health regulatory college provide information about its registration practices to persons applying or intending to apply for registration?](#)
- C1b. [Does the health regulatory college provide information about the amount of time that the registration process usually takes?](#)
- C1c. [Does the health regulatory college communicate the objective requirements for registration?](#)
- C1d. [Does the health regulatory college explain which requirements may be satisfied through acceptable alternatives?](#)
- C1e. [Does the health regulatory college provide a fee scale?](#)
- C1f. [Type your additional question\(s\) here.](#)
- C1g. [Additional comments on section C1](#)

C2: Timely Decisions, Responses and Reasons

- C2a. [Does the health regulatory college make registration decisions within a reasonable time?](#)
- C2b. [Does the health regulatory college give written responses to applicants within a reasonable time?](#)
- C2c. [Does the health regulatory college give written reasons to applicants within a reasonable time about all registration decisions and internal review or appeal decisions?](#)
- C2d. [Type your additional question\(s\) here.](#)
- C2e. [Additional comments on section C2](#)

C3: Internal Review or Appeal

- C3a. [Does the health regulatory college provide an internal review or appeal from its registration decisions within a reasonable time?](#)
- C3b. [Does the health regulatory college give applicants for registration the opportunity to make oral, written or electronic submissions about any internal review or appeal?](#)
- C3c. [Type your additional question\(s\) here.](#)
- C3d. [Additional comments on section C3](#)

C4: Information on Appeal Rights

- C4a. [Does the health regulatory college inform applicants of any rights they may have to request a further review of, or appeal from, a registration decision?](#)
- C4b. [Are decision-makers in internal reviews or appeals different from those who made the original registration decision?](#)
- C4c. [Type your additional question\(s\) here.](#)
- C4d. [Additional comments on section C4](#)

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SECTION C: Evaluation of Registration Practices

C5: Documentation of Qualifications

- C5a. [Does the health regulatory college make available to the public its requirements for the documentation of qualifications that must accompany an application?](#)
- C5b. [Does the health regulatory college give applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control?](#)
- C5c. [Type your additional question\(s\) here.](#)
- C5d. [Additional comments on section C5](#)

C6: Assessment of Qualifications

- C6a. [Does the health regulatory college make its own assessment of qualifications in a way that is transparent, objective, impartial and fair?](#)
- C6b. [If the health regulatory college relies upon third parties to assess qualifications, does it take reasonable measures to ensure that the third parties make assessments of qualifications in a way that is transparent, objective, impartial and fair?](#)
- C6c. [Type your additional question\(s\) here.](#)
- C6d. [Additional comments on section C6](#)

C7: Training

- C7a. [Does the health regulatory college ensure that persons assessing qualifications and making registration decisions are trained?](#)
- C7b. [Does the health regulatory college ensure that persons who make internal review or appeal decisions know how to hold hearings, if hearings are necessary?](#)
- C7c. [Does the health regulatory college ensure that training in any special considerations that may apply in the assessment of applications is provided, and that the process for applying those considerations is taught?](#)
- C7d. [Type your additional question\(s\) here.](#)
- C7e. [Additional comments on section C7](#)

C8: Access to Records

- C8a. [Does the health regulatory college give applicants access to records related to their application, upon written request?](#)
- C8b. [Does the health regulatory college limit access, beyond the limitations permitted in the legislation?](#)
- C8c. [Does the health regulatory college give the applicant partial access when records can reasonably be severed?](#)
- C8d. [Does the health regulatory college have a process for considering requests for access to records?](#)
- C8e. [Does the health regulatory college give applicants an estimate of any fee charged for access?](#)
- C8f. [Is the amount of the health regulatory college's fee for access to records less than the amount prescribed by its regulation, if applicable?](#)
- C8g. [Does the health regulatory college waive access fees?](#)
- C8h. [Type your additional question\(s\) here.](#)
- C8i. [Additional comments on section C8](#)

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SECTION C: Evaluation of Registration Practices

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At any time, you may click a letter in the range above to go to a different section, or click [Back to the Table of Questions](#) at the top of the page to go to a different question in this section.

C1: Information for Applicants

C1a. Does the health regulatory college provide information about its registration practices to persons applying or intending to apply for registration?

Yes No

Describe the health regulatory college's process for providing information about its registration practices. This information is made available on the College's web-site. College registration staff also provide information upon request by telephone, mail and e-mail.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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SECTION C: Evaluation of Registration Practices

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C1: Information for Applicants

C1a. Does the health regulatory college provide information about its registration practices to persons applying or intending to apply for registration?

Sample of Telephone interview with a sample of applicants during the audit period - see section B for more detail.
(e.g., international applications)

Population size	Sample size	% of Population
130	10	7.7

The OFC asks for sample sizes only for information purposes, in order to gain a better understanding of the testing procedure. Sample sizes add transparency to the audit report and will allow the OFC to improve the audit process, if necessary, in the future.

Describe the rationale for your sample.

Professional judgment to obtain a sample large and varied enough to test compliance.

Result of the test

Interviewees confirmed that information regarding registration practices was available although voluminous, complex and difficult to follow.

Conclusion

The College complies with this provision of the Code.

Recommendation

See recommendation at conclusion of the following audit procedure (document review).

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SECTION C: Evaluation of Registration Practices

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C1: Information for Applicants

C1a. Does the health regulatory college provide information about its registration practices to persons applying or intending to apply for registration?

Describe your document review procedure.

Reviewed the web-site and all information available for potential applicants for registration.

Result of the test

The information is complete and accurate. The sheer amount of information can impede the accessibility of the information. The College groups the information by type and posts individual PDF documents that can be viewed. These PDF documents can be up to 40 pages long, with crucial information being contained throughout.

Links to the Canadian Psychological Association (CPA), American Psychological Association (APA) can be found under the "Relevant Links" tabs but there is no direct link to the list of accredited programs from the CPA, APA or the Association of State and Provincial Psychology Boards (ASPPB)/National Registrar.

Conclusion

The College complies with this provision of the Code.

Recommendation

The website would be easier to navigate if important information were summarized and if the users of the PDF forms could navigate through them by the use of short cut keys or hyper-links.

Information regarding accredited programs would be more accessible if they were directly linked to the web-site.

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C1: Information for Applicants

C1b. Does the health regulatory college provide information about the amount of time that the registration process usually takes?

Yes No

Describe the health regulatory college's process for providing information about the amount of time that the registration process usually takes.

On the website the amount of time an application takes is listed under Frequently Asked Questions. It states that "Once these items are received, your application can be reviewed within several weeks." In addition, if the file is referred to the Registration Committee there is information available that the Committee meets every eight weeks. There is no information on how long after the Committee meets that a decision will be communicated.

The College's Fair Registration Practices Report for 2008 (which is also on the website) indicates the time lines as one week following the initial review and three to four weeks for a written decision after the Committee's review.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C1: Information for Applicants

C1b. Does the health regulatory college provide information about the amount of time that the registration process usually takes?

Describe your document review procedure.

Reviewed the College's website and the College's Fair Registration Practices Report for 2008.

Result of the test

While the information is available on the website, one must search for it in several locations and the information given lacks clarity.

Conclusion

The College complies with this provision of the Code.

Recommendation

See recommendation at conclusion of the following audit procedure (interview).

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C1: Information for Applicants

C1b. Does the health regulatory college provide information about the amount of time that the registration process usually takes?

Interviews of Director of Registration and Administration

(e.g., registration committee members)

Describe your interview procedure.

Inquiry

Result of the test

We were advised that the timelines are four to six weeks for the initial review and four to six weeks for the registration decision to be sent out.

Conclusion

The College complies with this provision of the Code.

Recommendation

That the College clarify and formally adopt as policy timelines for each step of the registration process. These then should be posted in one document in a prominent place on the website.

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C1: Information for Applicants

C1c. Does the health regulatory college communicate the objective requirements for registration?

Yes No

Describe the health regulatory college's process for communicating the objective requirements for registration. The College makes available all the objective requirements for registration through its web-site. It uses PDF forms that contain the pertinent information. Information is also available from registration staff by telephone, mail and e-mail.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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SECTION C: Evaluation of Registration Practices

All rows expand as you type. Their size is unlimited. If you reach the end of the page, another page will appear to allow for additional comments.

To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C1: Information for Applicants

C1c. Does the health regulatory college communicate the objective requirements for registration?

Sample of Telephone interview with a sample of applicants during the audit period - see section B for more detail.
(e.g., international applications)

Population size	Sample size	% of Population
130	10	7.7

The OFC asks for sample sizes only for information purposes, in order to gain a better understanding of the testing procedure. Sample sizes add transparency to the audit report and will allow the OFC to improve the audit process, if necessary, in the future.

Describe the rationale for your sample.

Professional judgment to obtain a sample large and varied enough to test compliance.

Result of the test

Interviewees confirmed that information regarding the objective requirements for registration was available, although voluminous and complex.

Conclusion

The College complies with this provision of the Code.

Recommendation

See recommendation at C1a.

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C1: Information for Applicants

C1c. Does the health regulatory college communicate the objective requirements for registration?

Describe your document review procedure.

Examined the College's web-site.

Result of the test

As previously mentioned the transparency and accessibility of the information is impeded because of the PDF format and large amount of information that must be examined by an applicant.

Conclusion

The College complies with the Code.

Recommendation

See recommendation at C1a.

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At any time, you may click a letter in the range above to go to a different section, or click

[Back to the Table of Questions](#) at the top of the page to go to a different question in this section.

C1: Information for Applicants

C1d. Does the health regulatory college explain which requirements may be satisfied through [acceptable alternatives](#)?

Yes No

Describe the health regulatory college's process for explaining which requirements may be satisfied through [acceptable alternatives](#).

The College is clear that it does not allow applicants to "bridge" or use gap measures to fulfill the academic requirements. There are no acceptable alternatives to the requirements.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C1: Information for Applicants

C1d. Does the health regulatory college explain which requirements may be satisfied through [acceptable alternatives](#)?

Describe your document review procedure.
Reviewed the College's website.

Result of the test

There is no discussion of acceptable alternatives.

Conclusion

The College strictly enforces the requirements and there are no acceptable alternatives.

Recommendation

That the College consider drafting a statement stating that there are no acceptable alternatives to the requirements and including it on its website.

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At any time, you may click a letter in the range above to go to a different section, or click [Back to the Table of Questions](#) at the top of the page to go to a different question in this section.

C1: Information for Applicants

C1e. Does the health regulatory college provide a fee scale?

Yes No

Describe the health regulatory college's process for providing a fee scale.

The College has a fee scale available through its web-site for applicants. Fees can also be ascertained by contacting registration staff by telephone, mail or e-mail.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C1: Information for Applicants

C1e. Does the health regulatory college provide a fee scale?

Describe your document review procedure.

Reviewed the College's web-site and the PDF document with the fee scale.

Result of the test

Confirmed the required information was provided.

Conclusion

The College complies with this provision of the Code.

Recommendation

None.

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SECTION C: Evaluation of Registration Practices

Questions C1a-C1e are not comprehensive or prescriptive, and auditors retain complete discretion to determine the nature of the inspection and to use generally accepted accounting principles and generally accepted assurance standards to develop suitable criteria for evaluating registration practices.

If in your professional judgment, the above questions did not allow you to audit all aspects of the registration practice related to information for applicants, you may type below, one at a time, the additional questions that you developed. After you have reported the tests for this question, you will be able to list another question. When you have no additional questions, scroll down to continue your report.

C1: Information for Applicants

C1f. Type your additional question here.

None.

Describe the health regulatory college's process for the question you raised.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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SECTION C: Evaluation of Registration Practices

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C1: Information for Applicants

C1g. Additional comments on section C1, Information for Applicants

None.

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C2: Timely Decisions, Responses and Reasons

C2a. Does the health regulatory college make registration decisions within a [reasonable time](#)?

Yes No

Describe the health regulatory college's process for making registration decisions within a [reasonable time](#). After a completed application is received, the registration staff will undertake the process of examining the application. Each application is grouped with other applications at the same stage of the process and tracked by registration staff.

Does the health regulatory college have a stated timeline for making registration decisions?

Yes No

Timeline as stated by the health regulatory college
The College uses the phrase, "several weeks" to describe its decision timeline.

Source of timeline (e.g., policy, regulation)

Website

Process for ensuring adherence to timeline

Registration staff take due care to ensure that files are moving through the process.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
 Document review
 Interviews
 Other procedures
 I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C2: Timely Decisions, Responses and Reasons

C2a. Does the health regulatory college make registration decisions within a [reasonable time](#)?

Sample of Examination of a sample of applicant files during the audit period - see section B for more detail.
(e.g., international applications)

Population size	Sample size	% of Population
130	15	11.5

The OFC asks for sample sizes only for information purposes, in order to gain a better understanding of the testing procedure. Sample sizes add transparency to the audit report and will allow the OFC to improve the audit process, if necessary, in the future.

Describe the rationale for your sample.
Professional judgment to obtain a sample large and varied enough to test compliance.

Result of the test

From the samples selected, two applications (13%) took longer than four to six weeks.

Conclusion

The College complies with this provision of the Code.

Recommendation

That the College take steps to streamline its processes to ensure that all applicants are dealt with on a more timely basis. The College should consider ways to shorten timelines, as four to six weeks is a significant amount of time for the initial registration assessment to take place for approximately 130 applications per year. Many colleges utilize one of several computer software systems to track registrations and ensure they progress through the system on a timely basis.

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SECTION C: Evaluation of Registration Practices

C2: Timely Decisions, Responses and Reasons

C2a. Does the health regulatory college make registration decisions within a [reasonable time](#)?

Add another sampling procedure

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C2: Timely Decisions, Responses and Reasons

C2b. Does the health regulatory college give written responses to applicants within a [reasonable time](#)?

Yes No

Describe the health regulatory college's process for giving written responses to applicants within a [reasonable time](#). The same process is used as described in C2a to provide written responses within a reasonable time.

Does the health regulatory college have a stated timeline for giving written responses to applicants?

Yes No

Source of timeline (e.g., policy, regulation)

The College uses the phrase, "several weeks" to describe its decision timeline.

Process for ensuring adherence to timeline

Website

Timeline as stated by the health regulatory college

Registration staff take due care to ensure that files are moving through the process.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C2: Timely Decisions, Responses and Reasons

C2b. Does the health regulatory college give written responses to applicants within a [reasonable time](#)?

Sample of Telephone interview with a sample of applicants during the audit period - see section B for more detail.
(e.g., international applications)

Population size	Sample size	% of Population
130	10	7.7

The OFC asks for sample sizes only for information purposes, in order to gain a better understanding of the testing procedure. Sample sizes add transparency to the audit report and will allow the OFC to improve the audit process, if necessary, in the future.

Describe the rationale for your sample.

Professional judgment to obtain a sample large and varied enough to test compliance.

Result of the test

Several of the interviewees reported that response time was variable, especially for e-mails. Notwithstanding the foregoing, most interviewees found the College registration staff to be helpful.

Conclusion

The College complies with this provision of the Code.

Recommendation

See recommendation at C2a.

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C2: Timely Decisions, Responses and Reasons

C2c. Does the health regulatory college give written reasons to applicants within a [reasonable time](#) about all registration decisions and internal review or appeal decisions?

Yes No

Describe the health regulatory college's process for giving written reasons to applicants within a [reasonable time](#). Once a decision is made, the College staff ensure that the applicant's letter is prepared and sent out. The College uses template letters to make sure the process is efficient.

Does the health regulatory college have a stated timeline for giving written reasons to applicants?

Yes No

Timeline as stated by the health regulatory college
Several weeks.

Source of timeline (e.g., policy, regulation)
Website

Process for ensuring adherence to timeline
Monitored by registration staff

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C2: Timely Decisions, Responses and Reasons

C2c. Does the health regulatory college give written reasons to applicants within a [reasonable time](#) about all registration decisions and internal review or appeal decisions?

Sample of Examination of a sample of applicant files during the audit period - see section B for more detail.
(e.g., international applications)

Population size	Sample size	% of Population
130	15	11.5

The OFC asks for sample sizes only for information purposes, in order to gain a better understanding of the testing procedure. Sample sizes add transparency to the audit report and will allow the OFC to improve the audit process, if necessary, in the future.

Describe the rationale for your sample.

Examination of a sample of applicant files during the audit period - see section B for more detail.

Result of the test

Two of fifteen responses did not meet the College's timeline

Conclusion

The College complies with this provision of the Code.

Recommendation

See recommendation at C2a.

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Questions C2a-C2c are not comprehensive or prescriptive, and auditors retain complete discretion to determine the nature of the inspection and to use generally accepted accounting principles and generally accepted assurance standards to develop suitable criteria for evaluating registration practices.

If in your professional judgment, the above questions did not allow you to audit all aspects of the registration practice related to timely decisions, responses and reasons, you may type below, one at a time, the additional questions that you developed. After you have reported the tests for this question, you will be able to list another question. When you have no additional questions, scroll down to continue your report.

C2: Timely Decisions, Responses and Reasons

C2d. Type your additional question here.

None.

Describe the health regulatory college's process for acting within a [reasonable time](#) about the question you raised.

Does the health regulatory college have a stated timeline for acting within a [reasonable time](#) about the question you raised?

- Yes
 No

Timeline as stated by the health regulatory college

Source of timeline (e.g., policy, regulation)

Process for ensuring adherence to timeline

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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C2: Timely Decisions, Responses and Reasons

C2e. Additional comments on section C2, Timely Decisions, Responses and Reasons

None.

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C3: Internal Review or Appeal

C3a. Does the health regulatory college provide an internal review or appeal from its registration decisions within a [reasonable time](#)?

Yes No

Describe the health regulatory college's process for providing an internal review or appeal from its registration decisions within a [reasonable time](#).

The applicant files are tracked by the registration staff when submitted to the Registration Committee. The files are kept in the office, in a shelf system, and will remain there until a letter outlining the results of the Committee's consideration of the application has been sent to the applicant

Timeline as stated by the health regulatory college

Several weeks.

Source of timeline (e.g., policy, regulation)

Website

Process for ensuring adherence to timeline

See above.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
 Document review
 Interviews
 Other procedures
 I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C3: Internal Review or Appeal

C3a. Does the health regulatory college provide an internal review or appeal from its registration decisions within a [reasonable time](#)?

Describe your other testing procedure.

Verification of adherence with this timeline was included in the audit tests (sampling) outlined at C2a.

Result of the test

Confirmed adherence with the stated guideline.

Conclusion

The College complies with this provision of the Code.

Recommendation

See recommendation at C2a.

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C3: Internal Review or Appeal

C3b. Does the health regulatory college give applicants for registration the opportunity to make oral, written or electronic submissions about any internal review or appeal?

Yes No

Describe the health regulatory college's process for giving applicants for registration the opportunity to make oral, written or electronic submissions about any internal review or appeal.

Applicants are notified by letter that they are given 30 days to make a written submission to the Registration Committee.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C3: Internal Review or Appeal

C3b. Does the health regulatory college give applicants for registration the opportunity to make oral, written or electronic submissions about any internal review or appeal?

Describe your document review procedure.

Reviewed the template and actual letters sent to applicants who had been referred to the Registration Committee.

Result of the test

Applicants are notified of their right to make a submission.

Conclusion

The College complies with this provision of the Code.

Recommendation

None.

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Questions C3a-C3b are not comprehensive or prescriptive, and auditors retain complete discretion to determine the nature of the inspection and to use generally accepted accounting principles and generally accepted assurance standards to develop suitable criteria for evaluating registration practices.

If in your professional judgment, the above questions did not allow you to audit all aspects of the registration practice related to internal review or appeal, you may type below, one at a time, the additional questions that you developed. After you have reported the tests for this question, you will be able to list another question. When you have no additional questions, scroll down to continue your report.

C3: Internal Review or Appeal

C3c. Type your additional question here.

None.

Describe the health regulatory college's process for the question you raised.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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C3: Internal Review or Appeal

C3d. Additional comments on section C3, Internal Review or Appeal

None.

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C4: Information on Appeal Rights

C4a. Does the health regulatory college inform applicants of any rights they may have to request a further review of, or appeal from, a registration decision?

Yes No

Describe the health regulatory college's process for informing applicants of any rights they may have to request a further review of, or appeal from, a registration decision.

When an applicant is given written notice of an adverse decision by the Registration Committee, the letter also contains information regarding rights to and procedure for an appeal to the Health Professions Appeal and Review Board.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C4: Information on Appeal Rights

C4a. Does the health regulatory college inform applicants of any rights they may have to request a further review of, or appeal from, a registration decision?

Describe your document review procedure.

Reviewed the template and actual letters sent to applicants.

Result of the test

The College informs applicants of their right to appeal to the Health Professions and Review Board.

Conclusion

The College complies with this provision of the Code.

Recommendation

None.

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C4: Information on Appeal Rights

C4b. Are decision-makers in internal reviews or appeals different from those who made the original registration decision?

Yes No

Describe the health regulatory college's process for selecting decision-makers in original registration decisions and in internal reviews or appeals from those decisions.

The Registrar and the College's registration staff will decide either to register the applicant or to refer the application to the Registration Committee, all in accordance with the Code. Any referral to the Registration Committee is considered by a panel of the committee which is set up in accordance with the Code and is comprised of persons different from the College staff.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C4: Information on Appeal Rights

C4b. Are decision-makers in internal reviews or appeals different from those who made the original registration decision?

Describe your document review procedure.

Examined the Registration Committee minutes (including panels) and reviewed the list of Registration Committee members to ensure that it did not include College staff.

Result of the test

Confirmed the information provided above. Registration staff attend Registration Committee meetings as resource persons, but do not participate in decision-making discussions. Registration staff prepare a memo to the Registration Committee outlining (a) the documentation included and (b) the reasons for the referral. The (b) section has historically been labelled "Staff Recommendations" even though it does not include any recommendations.

Conclusion

The College complies with this provision of the Code.

Recommendation

That the reasons for the referral outlined in the staff memo to the Registration Committee be labelled "Reasons for Referral" to avoid any inference that registration staff are participating in the Committee's decision-making process. The staff memo should never include recommendations either in fact or by inference.

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Questions C4a-C4b are not comprehensive or prescriptive, and auditors retain complete discretion to determine the nature of the inspection and to use generally accepted accounting principles and generally accepted assurance standards to develop suitable criteria for evaluating registration practices.

If in your professional judgment, the above questions did not allow you to audit all aspects of the registration practice related to information on appeal rights, you may type below, one at a time, the additional questions that you developed. After you have reported the tests for this question, you will be able to list another question. When you have no additional questions, scroll down to continue your report.

C4: Information on Appeal Rights

C4c. Type your additional question here.

None.

Describe the health regulatory college's process for the question you raised.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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C4: Information on Appeal Rights

C4d. Additional comments on section C4, Information on Appeal Rights

None.

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C5: Documentation of Qualifications

C5a. Does the health regulatory college make available to the public its requirements for the [documentation of qualifications](#) that must accompany an application?

Yes No

Describe the health regulatory college's process for making available to the public its requirements for the [documentation of qualifications](#) that must accompany an application.

The information is available on its web-site. Information can also be obtained from registration staff by telephone, mail or e-mail.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C5: Documentation of Qualifications

C5a. Does the health regulatory college make available to the public its requirements for the [documentation of qualifications](#) that must accompany an application?

Describe your other testing procedure.

Verification of this disclosure was included in the audit tests (sampling and document examination) outlined at C1a.

Result of the test

Confirmed the information provided above.

Conclusion

The College complies with this provision of the Code.

Recommendation

None.

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At any time, you may click a letter in the range above to go to a different section, or click [Back to the Table of Questions](#) at the top of the page to go to a different question in this section.

C5: Documentation of Qualifications

C5b. Does the health regulatory college give applicants information on [acceptable alternatives](#) to the documentation if they cannot obtain the standard documentation for reasons beyond their control?

Yes No

Describe the health regulatory college's process for giving applicants information on [acceptable alternatives](#) to the documentation if they cannot obtain the standard documentation for reasons beyond their control.

The College does not publish information on its website about acceptable alternatives. We were advised that should an occasion arise where required official documents were not available to the applicant, and the applicant had made reasonable attempts to secure them, the College would consider alternative documents on a case by case basis. For instance they might contact an educational institution, a Ministry of Education or a consulate or embassy to verify that the original documents do not exist. To date all applicants have been able to obtain documents from the relevant educational institution.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C5: Documentation of Qualifications

C5b. Does the health regulatory college give applicants information on [acceptable alternatives](#) to the documentation if they cannot obtain the standard documentation for reasons beyond their control?

Interviews of Registrar

(e.g., registration committee members)

Describe your interview procedure.

Inquiry.

Result of the test

Were provided the information set out above.

Conclusion

The College complies, in all material respects, with this provision of the Code.

Recommendation

That the College formalize its policy as outlined above and include it on the website.

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SECTION C: Evaluation of Registration Practices

Questions C5a-C5b are not comprehensive or prescriptive, and auditors retain complete discretion to determine the nature of the inspection and to use generally accepted accounting principles and generally accepted assurance standards to develop suitable criteria for evaluating registration practices.

If in your professional judgment, the above questions did not allow you to audit all aspects of the registration practice related to documentation of qualifications, you may type below, one at a time, the additional questions that you developed. After you have reported the tests for this question, you will be able to list another question. When you have no additional questions, scroll down to continue your report.

C5: Documentation of Qualifications

C5c. Type your additional question here.

None.

Describe the health regulatory college's process for the question you raised.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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C5: Documentation of Qualifications

C5d. Additional comments on section C5, Documentation of Qualifications

None.

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C6: Assessment of Qualifications

C6a. Does the health regulatory college make its own [assessment of qualifications](#) in a way that is transparent, objective, impartial and fair?

Yes No N/A, it relies on a third party to assess qualifications

Describe the health regulatory college's process for making [assessments of qualifications](#).

College registration staff carry out the initial assessment of academic credentials. As outlined at C6b, the College accepts evaluations of international degrees by Comparative Education Services at the University of Toronto and by World Education Services. Where the Registrar has doubts as to whether the applicant meets the requirements, the application is referred to the Registration Committee for further assessment. Oral examinations are carried out by trained examiners who are observed and assessed by public members of the College's Council.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C6: Assessment of Qualifications

C6a. Does the health regulatory college make its own [assessment of qualifications](#) in a way that is transparent, objective, impartial and fair?

Describe your document review procedure.

Reviewed the required objectives on the web-site. Reviewed a sample of applicant files to understand whether or not the College was making assessments to the required objectives. As outlined at C6c, examined procedures and records regarding oral examinations given during the audit period.

Result of the test

There was no indication that the College did not assess qualifications in a transparent, objective, impartial and fair manner and in compliance with the existing Regulation 533/98 and the Guidelines.

Conclusion

With respect to this test, there was no indication that the College's qualification assessment practices were not transparent, objective, impartial and fair.

Recommendation

None.

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C6: Assessment of Qualifications

C6b. If the health regulatory college relies upon third parties to assess qualifications, does it take reasonable measures (e.g., a formal service agreement or regular monitoring) to ensure that the third parties make [assessments of qualifications](#) in a way that is transparent, objective, impartial and fair?

Yes No N/A

Describe the health regulatory college's process for taking reasonable measures to ensure that its third parties make [assessments of qualifications](#) in a way that is transparent, objective, impartial and fair.

The College accepts evaluations of international degrees by Comparative Education Services at the University of Toronto and by World Education Services. Both are reputable organizations that make assessments of the degree level of international applicants that are used by a number of health regulatory colleges. The College regularly communicates with these organizations and monitors their work as required.

The College has a letter of agreement with a consultant to support the College's development and maintenance of the Jurisprudence and Ethics Examination. The blueprint and content are based on the results of a practice analysis commissioned by the College.

The College has a contract in place for the computer-based administration of the Examination for Professional Practice in Psychology (EPPP). The EPPP is developed and maintained by the Association of State and Provincial Psychology Boards (ASPPB), a body consisting of the psychology regulatory organizations in the ten Canadian provinces, fifty U.S. states and 3 U.S. territories. The blueprint and content of the EPPP are based on practice analyses conducted at regular intervals. The development and maintenance of the EPPP are supported by Professional Examination Service under contract to ASPPB.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C6: Assessment of Qualifications

C6b. If the health regulatory college relies upon third parties to assess qualifications, does it take reasonable measures (e.g., a formal service agreement or regular monitoring) to ensure that the third parties make assessments of qualifications in a way that is transparent, objective, impartial and fair?

Describe your document review procedure.

Reviewed the letter agreement and contract referred to above for the services of the of setting these two qualifying examinations.

Result of the test Instruction

Confirmed the existence of and provisions of the agreements.

Conclusion Instruction

With respect to this test, there was no indication that the College's qualification assessment practices were not transparent, objective, impartial and fair.

Recommendation Instruction

None.

Add another document review procedure

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Questions C6a-C6b are not comprehensive or prescriptive, and auditors retain complete discretion to determine the nature of the inspection and to use generally accepted accounting principles and generally accepted assurance standards to develop suitable criteria for evaluating registration practices.

If in your professional judgment, the above questions did not allow you to audit all aspects of the registration practice related to assessment of qualifications, you may type below, one at a time, the additional questions that you developed. After you have reported the tests for this question, you will be able to list another question. When you have no additional questions, scroll down to continue your report.

C6: Assessment of Qualifications

C6c. Type your additional question here.

How does the College ensure that the oral examinations are administered objectively, impartially and fairly?

Describe the health regulatory college's process for the question you raised.

Each oral examination is conducted by three (sometimes four) examiners, one of whom is the chair. The chair is expected to be well prepared, to ensure that there is a plan for the examination and to set the tone with his or her opening statement to the candidate. Each team of examiners is observed by a public member of the Council who provides a written report on the conduct of the examination.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C6: Assessment of Qualifications

C6c. How does the College ensure that the oral examinations are administered objectively, impartially and fairly?

Describe your document review procedure.

Reviewed the written reports of the public member of Council for each of the oral examination sessions held during the audit period.

Result of the test

There was no indication that the oral examinations were not conducted in a manner that was objective, impartial and fair.

Conclusion

With respect to this test, there was no indication that the College's oral examinations were not administered objectively, impartially and fairly.

Recommendation

None.

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C6: Assessment of Qualifications

C6d. Additional comments on section C6, Assessment of Qualifications

None.

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C7: Training

C7a. Does the health regulatory college ensure that persons assessing qualifications and making registration decisions are trained?

Yes No

Describe the health regulatory college's process for ensuring that persons assessing qualifications and making registration decisions are trained.

The College does have a formal process to train its Registration staff and members of the Registration Committee.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C7: Training

C7a. Does the health regulatory college ensure that persons assessing qualifications and making registration decisions are trained?

Describe your document review procedure.

There is documentation of the training and orientation for Registration staff and Committee members, including dates and attendance.

Result of the test

Reviewed training documentation and confirmed that training is provided to the Registration Committee and staff.

Conclusion

The College complies with this provision of the Code.

Recommendation

None.

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C7: Training

C7b. Does the health regulatory college ensure that persons who make internal review or appeal decisions know how to hold hearings, if hearings are necessary?

Yes No N/A, no hearings are necessary

Describe the health regulatory college's process for ensuring that persons who make internal review or appeal decisions know how to hold hearings, if hearings are necessary.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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C7: Training

C7c. Does the health regulatory college ensure that [training](#) in any special considerations that may apply in the assessment of applications is provided, and that the process for applying those considerations is taught?

Yes No

Describe the health regulatory college's process for ensuring that [training](#) in any special considerations that may apply in the assessment of applications is provided, and that the process for applying those considerations is taught. The College's staff training and Registration Committee orientation ensure that staff and committee members are aware of the statutory need to consider and, if appropriate, apply special considerations in the assessment of applications and that the process for applying such considerations would depend on the circumstances.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C7: Training

C7c. Does the health regulatory college ensure that [training](#) in any special considerations that may apply in the assessment of applications is provided, and that the process for applying those considerations is taught?

Interviews of Registration staff

(e.g., registration committee members)

Describe your interview procedure.

Inquiry.

Result of the test

Confirmed the information provided above.

Conclusion

The College complies with this provision of the Code.

Recommendation

None.

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Questions C7a-C7c are not comprehensive or prescriptive, and auditors retain complete discretion to determine the nature of the inspection and to use generally accepted accounting principles and generally accepted assurance standards to develop suitable criteria for evaluating registration practices.

If in your professional judgment, the above questions did not allow you to audit all aspects of the registration practice related to training, you may type below, one at a time, the additional questions that you developed. After you have reported the tests for this question, you will be able to list another question. When you have no additional questions, scroll down to continue your report.

C7: Training

C7d. Type your additional question here.

None.

Describe the health regulatory college's process for the question you raised.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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C7: Training

C7e. Additional comments on section C7, Training

None.

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C8: Access to Records

C8a. Does the health regulatory college give applicants access to records related to their application, upon written request?

Yes No

Describe the health regulatory college's process for giving applicants access to records related to their application, upon written request.

The College has policies to ensure that applicants have access to their registration files within the limits set out in the Code.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C8: Access to Records

C8a. Does the health regulatory college give applicants access to records related to their application, upon written request?

Interviews of Registration Staff

(e.g., registration committee members)

Describe your interview procedure.

Inquiry.

Result of the test

Confirmed that the policy complies with the requirements of the Code.

Conclusion

The College complies with this provision of the Code.

Recommendation

None.

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C8: Access to Records

C8b. Does the health regulatory college limit access, beyond the limitations permitted in the legislation?

Yes No

Describe the health regulatory college's process for limiting access.

See C8a.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C8: Access to Records

C8b. Does the health regulatory college limit access, beyond the limitations permitted in the legislation?

Interviews of Registration staff

(e.g., registration committee members)

Describe your interview procedure.

Inquiry.

Result of the test

The policy is quite clear that the applicant is entitled to a copy of all his or her registration records except those that would, in the opinion of the Registrar, jeopardize the safety of any person.

Conclusion

The College complies with this provision of the Code.

Recommendation

None.

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C8: Access to Records

C8c. Does the health regulatory college give the applicant partial access when records can reasonably be severed?

Yes No N/A, full access is always provided

Describe the health regulatory college's process for giving applicants partial access when records can reasonably be severed.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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C8: Access to Records

C8d. Does the health regulatory college have a process for considering requests for access to records?

Yes No

Describe the health regulatory college's process for considering requests for access to records.

See C8a.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C8: Access to Records

C8d. Does the health regulatory college have a process for considering requests for access to records?

Describe your other testing procedure.

Verification was included in the audit test (interview) outlined at C8a.

Result of the test

Verified that the College had a process for considering such requests.

Conclusion

The College complies with this provision of the Code.

Recommendation

None.

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At any time, you may click a letter in the range above to go to a different section, or click [Back to the Table of Questions](#) at the top of the page to go to a different question in this section.

C8: Access to Records

C8e. Does the health regulatory college give applicants an estimate of any fee charged for access?

Yes No N/A, no access fee is charged

Describe the health regulatory college's process for giving applicants an estimate of any fee charged for access.

The fee would be minimal, 10 cents per page.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C8: Access to Records

C8e. Does the health regulatory college give applicants an estimate of any fee charged for access?

Interviews of Registration staff.

(e.g., registration committee members)

Describe your interview procedure.

Inquiry

Result of the test

The College would charge a minimal fee for access to records.

Conclusion

The College complies with this provision of the Code.

Recommendation

None.

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C8: Access to Records

C8f. Is the amount of the health regulatory college's fee for access to records less than the amount prescribed by its regulation, if applicable?

Yes No N/A, there is no regulation prescribing an amount N/A, no access fee is charged

If there is no regulation prescribing an amount, but an amount is charged for access to records, does the amount reflect reasonable cost recovery?

Yes No

Describe the health regulatory college's process for establishing the amount of the access fee.

The College charges a minimal fee for access to records, as it takes up the resources of the College to do so.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
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- I did not use any testing procedures

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To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

C8: Access to Records

C8f. Is the amount of the health regulatory college's fee for access to records less than the amount prescribed by regulation?

Interviews of Registration staff

(e.g., registration committee members)

Describe your interview procedure.

Inquiry

Result of the test

Confirmed the information above.

Conclusion

The College complies with this provision of the Code.

Recommendation

None.

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At any time, you may click a letter in the range above to go to a different section, or click [Back to the Table of Questions](#) at the top of the page to go to a different question in this section.

C8: Access to Records

C8g. Does the health regulatory college waive access fees?

Yes No N/A, no access fee is charged

If yes, are these waivers based on fair and equitable reasons?

Yes No

Describe the health regulatory college's process for waiving access fees.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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SECTION C: Evaluation of Registration Practices

Questions C8a-C8g are not comprehensive or prescriptive, and auditors retain complete discretion to determine the nature of the inspection and to use generally accepted accounting principles and generally accepted assurance standards to develop suitable criteria for evaluating registration practices.

If in your professional judgment, the above questions did not allow you to audit all aspects of the registration practice related to access to records, you may type below, one at a time, the additional questions that you developed. After you have reported the tests for this question, you will be able to list another question. When you have no additional questions, scroll down to continue your report.

C8: Access to Records

C8h. Type your additional question here.

None.

Describe the health regulatory college's process for the question you raised.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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SECTION C: Evaluation of Registration Practices

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At any time, you may click a letter in the range above to go to a different section, or click [Back to the Table of Questions](#) at the top of the page to go to a different question in this section.

C8: Access to Records

C8i. Additional comments on section C8, Access to Records

None.

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SECTION D: Evaluation of Registration Practices, General Duty

This section should be completed by the auditor.

In addition to the specific requirements set out in schedule 2 of the RHPA, the Health Professions Procedural Code (the Code), the Code also contains a general duty for health regulatory colleges to have registration practices that are transparent, objective impartial and fair. In evaluating whether the health regulatory college is complying with the general duty, the auditor must examine whether *all* its registration practices are transparent, objective, impartial and fair, not just those referred to in section C of this form. The questions in section D can assist auditors in evaluating registration practices for compliance with the general duty.

Please use your answers to these questions to show how you evaluated these practices. Ensure that your answers address the scope, methodology and rationale behind any sample sizes chosen. Ensure also that you provide an explanation for any limitations to provide absolute assurance. The evaluation record should be sufficiently complete and detailed to provide a person who has no previous connection to the audit with an understanding of the work performed and the basis of the decisions taken.

These questions are not comprehensive or prescriptive, and auditors retain complete discretion to determine the nature of the inspection and to use generally accepted accounting principles and generally accepted assurance standards to develop suitable criteria for evaluating registration practices. Where the legislative terms used are open to interpretation (e.g., “reasonable,” “objective,” “fair,” etc.), you must use your professional judgment in determining if the legislative requirements have been met.

For each question in this section, you will describe the health regulatory college's process and report your testing procedures. Use the checklist to indicate which procedures you performed for each question. Then scroll down to pages where you will describe each test individually (or state why you did not do any tests).

Each page for reporting your testing procedures has buttons to remind you of the required information for the following categories:

- **Result of the test:** The outcome of the testing procedure performed above. The result would typically include the number of exceptions, if any, and an explanation for each exception.
- **Conclusion:** An assessment of the health regulatory college's compliance for this question.
- **Recommendation:** Ways in which the health regulatory college can improve upon the registration practice covered by this question.

If you want to print the testing procedure pages to work with before you key in your answers, you will find blank generic versions of these pages in [appendix A](#).

Some specific terms in the questions are hyperlinked to a list of explanations in [appendix B](#).

Table of Questions

- D1. [Does the health regulatory college have practices that relate to its registration function but are not listed in the Code?](#)
- D2. [Does the health regulatory college have any requirements for applicants that are not used in the registration process to make registration decisions?](#)
- D3. [Can the health regulatory college's registration process be streamlined?](#)
- D4. [Does the health regulatory college have a clear rationale for each non-exemptible registration requirement?](#)
- D5. [Does the health regulatory college have a clear rationale for each exemptible registration requirement?](#)
- D6. [Type your additional question\(s\) here.](#)
- D7. [Additional comments on section D](#)

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At any time, you may click a letter in the range above to go to a different section, or click

[Back to the Table of Questions](#) at the top of the page to go to a different question in this section.

D1. Does the health regulatory college have practices that relate to its registration function but are not listed in the Code?

Yes No

List, one at a time, the practices of the health regulatory college that are related to the registration function but are not listed in the Code. After you have recorded one practice in the space below, use the Testing procedures checklist to list all the evaluation methods you used to assess this practice. After you have reported the tests for this practice, you will be able to list another practice.

1.

None.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this practice. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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To describe another testing procedure of the same type for this practice, click on the button at the bottom of the page. To move on to the next procedure for this practice, scroll down.

D1. Does the health regulatory college have practices that relate to its registration function but are not listed in the Code?

Testing procedure for .

Describe your other testing procedure.

Our audit included a combination of sampling, document examination, interviews and confirmation from third parties to examine all aspects of the College's registration process. In the course of carrying out all of these procedures we considered whether the College had any practices in the registration function that were not listed in the Code.

Result of the test

We did not encounter any practices in the registration function that were not listed in the Code.

Conclusion

There are no practices in the registration function that are not listed in the Code.

Recommendation

None.

Add another practice

Add another testing procedure

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SECTION D: Evaluation of Registration Practices, General Duty

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At any time, you may click a letter in the range above to go to a different section, or click [Back to the Table of Questions](#) at the top of the page to go to a different question in this section.

D2. Does the health regulatory college have [requirements](#) for applicants that are not used in the registration process to make registration decisions?

- Yes
 No

List the requirements for applicants that are not used in the registration process to make registration decisions.

Number	Requirement
1.	None.
<input type="button" value="Delete last requirement"/> <input type="button" value="Add another requirement"/>	

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to determine that the health regulatory college has requirements for applicants that are not used in the registration process to make registration decisions. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
 Document review
 Interviews
 Other procedures
 I did not use any testing procedures

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SECTION D: Evaluation of Registration Practices, General Duty

All rows expand as you type. Their size is unlimited. If you reach the end of the page, another page will appear to allow for additional comments.

To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

D2. Does the health regulatory college have [requirements](#) for applicants that are not used in the registration process to make registration decisions?

Describe your other testing procedure.

Our audit included a combination of sampling, document examination, interviews and confirmation from third parties to examine all aspects of the College's registration process. In the course of carrying out all of these procedures we considered whether the College had any requirements for applicants that are not used in the registration process.

Result of the test

We did not encounter any requirements for applicants that are not used in the registration process during the audit period.

Conclusion

There are no requirements for applicants that are not used in the registration process during the audit period.

Recommendation

None.

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SECTION D: Evaluation of Registration Practices, General Duty

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At any time, you may click a letter in the range above to go to a different section, or click [Back to the Table of Questions](#) at the top of the page to go to a different question in this section.

D3. Can the health regulatory college's registration process be [streamlined](#)?

Yes No

Describe how the registration process could be more efficient.

In a Registration Committee meeting March 5, 2009 it was agreed that it would be desirable to update reading lists for retraining, keep them current, make them more comprehensive and make them publicly available. The training program directors of OISE/UT, Ryerson and York Universities had apparently offered to assist in this endeavour. This would be a great improvement in information available to applicants, would increase transparency, would reduce the number of times applicants had to be referred to the Registration Committee to get approval for retraining programs and hence shorten the application process.

Applicants could be advised of Registration Committee decisions (especially positive decisions) more promptly.

Typical length of the registration process from initial application through to registration.

14 month(s) to 15 month(s)

Typical length of the registration process once the applicant fulfills all the requirements.

1 week(s) to 2 week(s)

Describe each stage of the registration process, including typical length.					
Stage	Typical length				
Complete application received.	0	day(s)	to	0	day(s)
Assess that documentation is complete and academic requirements met -- applicant is advised that he/she is qualified for supervised practice	3	week(s)	to	4	week(s)
Assess that documentation is complete and requirements not met -- applicant is advised that application is referred to the Registration Committee	3	week(s)	to	4	week(s)
Applicant has 30 days to submit additional documentation (unless waived)	0	day(s)	to	1	month(s)
File sent to Registration Committee,	2	week(s)	to	10	week(s)

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SECTION D: Evaluation of Registration Practices, General Duty

D3. Can the health regulatory college's registration process be [streamlined](#)?

committee meets & considers application						
Registration Committee accepts the academic credentials -- applicant is advised that he/she is qualified for supervised practice	4	week(s)	to	6	week(s)	
Registration Committee denies registration -- decision sent to applicant	4	week(s)	to	8	week(s)	
Applicant enters period of supervised practice and sits for written examinations	1	year(s)	to	2	year(s)	
Applicant sits for oral examination	1	month(s)	to	7	month(s)	
			<input type="button" value="Delete last stage"/>		<input type="button" value="Add another stage"/>	

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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All rows expand as you type. Their size is unlimited. If you reach the end of the page, another page will appear to allow for additional comments.

To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

D3. Can the health regulatory college's registration process be [streamlined](#)?

Describe your other testing procedure.

Our audit included a combination of sampling, document examination, interviews and confirmation from third parties to examine all aspects of the College's registration process. In the course of carrying out all of these procedures we considered whether there was any reasonable way in which the College's registration practices could be streamlined.

Result of the test

We are concerned about the number of times applicants have to go before the Registration Committee to get approval for retraining programs and the difficulties they have in obtaining the information necessary to put together a reading list for such programs. The offer from the training program directors of the three universities noted above seems to be an ideal opportunity to streamline this process. (An updated reading list was provided to the Registration Committee in May, 2009.)

Conclusion

In our opinion the registration process could be significantly streamlined by the acceptance of this offer provided that the Registration Committee would accept the reading lists provided by such training program directors. (These are, presumably, the reading lists used in these universities for the post-graduate courses on the subject in question.)

Recommendation

We recommend that the offer from the training program directors be vigorously pursued.

For the College of Psychologists of Ontario

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At any time, you may click a letter in the range above to go to a different section, or click [Back to the Table of Questions](#) at the top of the page to go to a different question in this section.

D4. Does the health regulatory college have a clear rationale for all [exemptible registration requirements](#)?

Yes No

Describe the health regulatory college's process for determining which registration requirements are exemptible and for communicating the rationale for exemptibility to applicants.

Certain of the exemptible requirements were drafted by the Health Professions Regulatory Policy and Programs Branch of the Ontario Ministry of Health and Long-term Care (the Branch); others were drafted by the College. The Branch reviewed the validity of each of the requirements prior to them being passed into law in the form of a Regulation approved by the Ontario government.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
 Document review
 Interviews
 Other procedures
 I did not use any testing procedures

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All rows expand as you type. Their size is unlimited. If you reach the end of the page, another page will appear to allow for additional comments.

To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

D4. Does the health regulatory college have a clear rationale for all [exemptible registration requirements](#)?

Interviews of Registrar and registration staff

(e.g., registration committee members)

Describe your interview procedure.

Inquiry.

Result of the test

Discussed requirements together with review and updating procedures.

Conclusion

With respect to this test, there was no indication that the College's registration practices were not transparent, objective, impartial and fair.

Recommendation

None.

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At any time, you may click a letter in the range above to go to a different section, or click [Back to the Table of Questions](#) at the top of the page to go to a different question in this section.

D5. Does the health regulatory college have a clear rationale for all [non-exemptible registration requirements](#)?

Yes No

Describe the health regulatory college's process for determining which registration requirements are non-exemptible and for communicating the rationale for non-exemptibility to applicants.

The comments under under D4 also apply to the non-exemptible requirements. However this College is different from most other Ontario health regulatory colleges in that the regulation requires "a doctoral (or masters) degree from a program of study with content that is primarily psychological in nature as required in the guidelines published by the College". The College does have a clear rationale for its guidelines and a clear rationale for the changes that it makes from time to time.

However the College can unilaterally change its guidelines (primarily dealing with the required academic content of the applicant's undergraduate and post-graduate courses) and these changes become part of the non-exemptible requirements for registration. In view of the time required to obtain a doctoral degree (at a minimum five or six years of post-graduate work), the College needs to balance its duty to protect the public with its obligation to be fair to those who have embarked on a program of study thinking that at the end they will qualify for registration only to find, partway through the program, that their course no longer qualifies without additional post-doctoral course work. The last change in the guidelines, effective January 1, 2009, was introduced with two years' notice.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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SECTION D: Evaluation of Registration Practices, General Duty

All rows expand as you type. Their size is unlimited. If you reach the end of the page, another page will appear to allow for additional comments.

To describe another testing procedure of the same type for this question, click on the button at the bottom of the page. To move on to the next procedure for this question, scroll down.

D5. Does the health regulatory college have a clear rationale for all [non-exemptible registration requirements](#)?

Describe your other testing procedure.

Our audit included a combination of sampling, document examination, interviews and confirmation from third parties to examine all aspects of the College's registration process. In the course of carrying out all of these procedures we considered the rationale for all registration requirements (including the guidelines) and whether they were being fairly applied by the College.

Result of the test

Several of our telephone interviewees (recent registrants or those going through the process) thought it unfair that, when guidelines changed, there was no grandfathering for those (a) who could demonstrate that they had embarked on a course of study which would have qualified them under the old guidelines and (b) had completed it within a reasonable time (six or seven years).

Conclusion

Based on our sample of telephone interviewees, a significant number of recent registrants or those currently going through the process view the absence of such grandfathering as unfair.

Recommendation

That, when the College is changing its guidelines, it allow grandfathering such as that described above unless the Council of the College is convinced that such a move would be a serious danger to the public.

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SECTION D: Evaluation of Registration Practices, General Duty

Questions D1-D5 are not comprehensive or prescriptive, and auditors retain complete discretion to determine the nature of the inspection and to use generally accepted accounting principles and generally accepted assurance standards to develop suitable criteria for evaluating registration practices.

If in your professional judgment, the above questions did not allow you to audit all aspects of the registration practice related to the general duty, you may type below, one at a time, the additional questions that you developed. After you have reported the tests for this question, you will be able to list another question. When you have no additional questions, scroll down to continue your report.

D6. Type your additional question here.

None.

Describe the health regulatory college's process for the question you raised.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this question. When you have chosen all the methods that apply, scroll down to describe each test you performed (or to explain why you did not use any tests).

- Sampling
- Document review
- Interviews
- Other procedures
- I did not use any testing procedures

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At any time, you may click a letter in the range above to go to a different section, or click [Back to the Table of Questions](#) at the top of the page to go to a different question in this section.

D7. Additional comments on section D, General Duty

Based on our sample of telephone interviewees, a significant number of recent registrants or those currently going through the process who had been referred to the Registration Committee viewed the entire process as frustrating, difficult, time-consuming and onerous. In our review of the Registration Committee minutes, we were concerned by the fact that applicants were often referred to the Registration Committee two, three or four times (with two to three months between meetings). Often the need for a repeat consideration is merely to have a retraining program reading list approved or to provide an answer to a question raised by the committee. There should be some way to shortcut this process rather than make the applicant wait two to three months for the next Registration Committee meeting. Perhaps one committee member could be delegated to deal with the applicant when the matter in question can be resolved expeditiously.

The Registration Committee at this College has a heavy caseload and carries out two functions -- (i) it provides the decisions regarding registration that are its responsibility under the Code and Regulation 533/98 and (ii) it provides assistance to applicants such as recommending reading materials for retraining programs or listing the remaining steps they must take to obtain registration. It is clear from the minutes that the committee spends much of its time in the latter function. The College might consider whether an education committee could provide the second function, thus relieving the Registration Committee of some of its caseload. (This would require, of course, that the advice given prospective applicants by the education committee would be respected by the Registration Committee when the individual applied for registration.)

If the workload could be reduced in this manner, additional time could be spent in considering policy questions and registration requirements, perhaps with the occasional outside speaker.

In considering whether any changes could or should be made, the Registration Committee might consider organizing a focus group of recently registered individuals in order to consider their assessment of their experiences during the registration process.

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SECTION E: Reports

This section should be completed by the auditor.

Under each of the following questions, explain how you verified whether the organization was compliant with schedule 2 of the RHPA, the Health Professions Procedural Code (the Code). For example: Did you ask the registrar a question? Did you review a website to determine if a required report was available? Did you question the Fairness Commissioner's staff to find out if the report was submitted by the deadline?

All rows expand as you type. Their size is unlimited. If you reach the end of the page, another page will appear to allow for additional comments.

E1: Reports under Section 22.6 of the Code

E1a. Has the health regulatory college undertaken a review of registration practices?

Yes No

Explain your verification method:

In discussion with College staff involved in the registration process, we determined that the College is continually reviewing various aspects of its registration practices. However no comprehensive review similar to that envisioned by the pamphlet Conducting Entry-to-Practice Reviews: Guide for Regulators of Ontario Professions published by the OFC was either required or undertaken during the audit period.

E1b. Has it done so at a time specified by the Fairness Commissioner?

Yes No N/A, no review was undertaken

Explain your verification method:

Confirmed with Office of the Fairness Commissioner that no review under section 22.6 of the Code was specified during the audit period.

E1c. Did the review include the proper analysis (necessary and relevant, efficient and timely, reasonable fees)?

Yes No N/A, no review was undertaken

Explain your verification method:

See above.

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SECTION E: Reports

This section should be completed by the auditor.

Under each of the following questions, explain how you verified whether the organization was compliant with schedule 2 of the RHPA, the Health Professions Procedural Code (the Code). For example: Did you ask the registrar a question? Did you review a website to determine if a required report was available? Did you question the Fairness Commissioner's staff to find out if the report was submitted by the deadline?

All rows expand as you type. Their size is unlimited. If you reach the end of the page, another page will appear to allow for additional comments.

E2: Reports under Section 22.7 of the Code

E2a. Has the health regulatory college prepared and filed its Fair Registration Practices Report this year?

Yes No

Explain your verification method:

Filing of the report was confirmed by the Office of the Fairness Commissioner.

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SECTION E: Reports

This section should be completed by the auditor.

Under each of the following questions, explain how you verified whether the organization was compliant with schedule 2 of the RHPA, the Health Professions Procedural Code (the Code). For example: Did you ask the registrar a question? Did you review a website to determine if a required report was available? Did you question the Fairness Commissioner's staff to find out if the report was submitted by the deadline?

All rows expand as you type. Their size is unlimited. If you reach the end of the page, another page will appear to allow for additional comments.

E3: Filing of Reports under Section 22.9 of the Code

E3a. Has the Fair Registration Practices Report been submitted by the date the Fairness Commissioner specified?

Yes No N/A, no reports were required

Explain your verification method:

Date of submission confirmed by the Office of the Fairness Commissioner.

E4: Form of Reports under Section 22.10 of the Code

E4a. Did all reports and certificates required take the form and contain the information the Fairness Commissioner specified?

Yes No N/A, no reports were required

Explain your verification method:

We examined the report, including the certificate, and, on a test basis, compared the form and the information contained therein with the form and content specified in the Guidelines for Fair Registration Practices Reports published by the OFC.

E5: Certification of Reports under Section 22.11 of the Code

E5a. Did the report provided under section 22.7 include a statement certifying that all the information required to be provided in the report was provided and is accurate?

Yes No N/A, no reports were required

Explain your verification method:

The Office of the Fairness Commissioner confirmed that the certification "was done electronically and no issues were identified in this process".

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SECTION F: Assessment of Compliance

This section should be completed by the auditor.

Complete the table below according to the results of the tests you have conducted during your audit.

Specific terms are hyperlinked to a list of explanations in [appendix B](#).

Findings	Number of instances of non-compliance	Number of instances of material error	Number of control deficiencies identified
Information for applicants	0	0	0
Timely decisions, responses and reasons	2	0	0
Internal review or appeal	0	0	0
Information on appeal rights	0	0	0
Documentation of qualifications	0	0	0
Assessment of qualifications	0	0	0
Training	0	0	0
Access to records	0	0	0
General duty : Transparent, objective, impartial and fair registration practices	0	0	0

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SECTION F: Assessment of Compliance

Use your professional judgment to provide an independent assessment of the health regulatory college's compliance with schedule 2 of the RHPA, the Health Professions Procedural Code (the Code). You should rate the health regulatory college's degree of compliance for each specific requirement in the Code and for the general duty in the Act to have registration practices that are transparent, objective, impartial and fair. The rating conclusions reached must be based on the results from the audit procedures performed.

The possible ratings range from “good” to “unsatisfactory” as defined below.

- **Good:** The controls were properly designed and have been operating effectively. No recommendations or very minor recommendations are included, and the criteria required by the Code were met.
- **Satisfactory:** The controls were properly designed and have been operating effectively, but there is room for improvement and the criteria required by the Code were met for the most part.
- **Needs Improvement:** There was a significant weakness in the control design and/or operating effectiveness, and the criteria required by the Code were partially met.
- **Unsatisfactory:** There was a serious weakness in the control design and/or operating effectiveness, the criteria required by the Code were not met, and remedial action is warranted.

Auditors must provide a justification or explanation for why each rating was chosen. Your justification should be based on your conclusion for each of the specific requirements and the general duty.

Rows expand as you type. Their size is unlimited. If you reach the end of the page, another page will appear to allow for additional comments.

Specific terms are hyperlinked to a list of explanations in [appendix B](#).

Principal elements	Rating	Justification
Information for applicants	Satisfactory	Information is provided, but it is voluminous and and complex. Steps could make it more user-friendly.
Timely decisions, responses and reasons	Satisfactory	Specific timelines adopted as policy and published on the website would eliminate ambiguity regarding expectations.
Internal review or appeal	Needs Improvement	The need for some applicants to be repeatedly referred to the Registration Committee is a concern; the system should be streamlined.
Information on appeal rights	Good	Information is provided.
Documentation of qualifications	Good	All required documentation is reasonable.
Assessment of qualifications	Good	Assessment procedures are reasonable.
Training	Good	Training is good.

Go to Section:



SECTION F: Assessment of Compliance

Principal elements	Rating	Justification
Access to records	Good	Access is available.
General duty: Transparent, objective, impartial and fair registration practices	Satisfactory	Perception of recent registrants who had been referred to the Registration Committee found the process to be frustrating, difficult, time-consuming and onerous. Streamlining is recommended.

Go to Section:



Section G: Health Regulatory College's Certificate

This section should be completed by the regulatory body. The registrar or the CEO of the regulatory body should sign the certificate in the hard copy of the audit report. No signature is required in the digital report.

Specific terms are hyperlinked to a list of explanations in [appendix B](#).

The health regulatory college certifies that it:

- read, understood and followed the information provided in [Framework for Audits of Registration Practices: Guidance for Ontario's Regulatory Bodies](#);
- ensured that its auditor is a licensed public accountant in good standing for the duration of the audit;
- cooperated with the auditor;
- provided any assistance to the auditor that was reasonably necessary;
- furnished information to the auditor regarding its registration practices and its compliance with the legislation; and
- was provided with a draft copy of the audit report and provided any [written submissions](#) to the auditor within 30 days of receipt of that draft.

I am authorized to sign on behalf of the organization.

Name (Last name, First name) Yarrow, Catherine	Title Registrar & Executive Director
Signature	Date December 23, 2009

Go to Section:



Section J: Auditor's Opinion

This section should be completed by the auditor.

The auditor's opinion is the overall conclusion of the auditor on the compliance of the health regulatory college with the RHPA. The auditor's opinion must indicate that your audit was conducted in accordance with the Canadian generally accepted auditing standards section 5815 and that your audit covered all the sections included in "The Scope of Audits for Health Regulatory Colleges," on pages 5-6 of [Framework for Audits of Registration Practices: Guidance for Ontario's Regulatory Bodies](#). The opinion must also clearly indicate the period covered by your audit.

The box will expand as you type. Its size is unlimited. If you reach the end of the page, another page will appear to allow for additional comments.

To the Fairness Commissioner for the Province of Ontario:

and
TO THE COUNCIL OF THE COLLEGE OF PSYCHOLOGISTS OF ONTARIO

We have audited the registration practices of the College of Psychologists of Ontario (the "College") to assess the College's compliance with the standards set out in sections 15-22, 22.2-22.4, 22.6-22.7 and 22.9-22.11 inclusive of Schedule 2 – Health Professions Procedural Code ("Code") of the Regulated Health Professions Act, 1991 during the year ended April 1, 2009. Compliance with the standards set out in the above-noted sections of the Code is the responsibility of the management of the College. Our responsibility is to express an opinion on this compliance based on our audit.

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 standards set out in the above-noted sections of the Code. Such an audit includes examining, on a test basis, evidence supporting compliance and evaluating the overall compliance with these criteria. The foregoing pages outline the College's procedures and controls together with our tests, results and comments.

In our opinion, during the year ended April 1, 2009 the College of Psychologists of Ontario was in compliance, in all material respects, with the standards set out in the above-noted sections of the Code.

CHARTERED ACCOUNTANTS
Licensed Public Accountants

Go to Section:

-

Section J: Auditor's Opinion

Name of Auditor Vinaykumar M. Raja		Title Licensed Public Accountant	Designation of Auditor (CA, CGA, CMA) CA
Name of Audit Firm Clarke Henning LLP			
City Toronto	Province Ontario		Date September 25, 2009

Go to Section:



Section K: Health Regulatory College's Response

This section should be completed by the regulatory body.

Indicate your response to the auditor's recommendations. This response usually includes an action plan to remedy the problem(s) identified by the auditor or to address the auditor's suggestion(s) for improvement, and a deadline to implement the action plan. You must include this section in your submission to the OFC, but you may omit it from the report you publish if you choose.

This box will expand as you type. Its size is unlimited. If you reach the end of the page, another page will appear to allow for additional comments.

Item	Auditors' Recommendations/Suggestions	Plan & Proposed Timeline
C1a	Summarize important information Use hyper-links in pdf documents Provide links to accrediting agencies' web sites	Draft and post: one year Reformat and post: one year Reformat: 6 months
C1b	Clarify timelines for each step of registration process Post in one document on web site	Draft and post: 6 months 6 months
C1d	Draft a statement indicating that there are no acceptable alternatives to academic requirements and post on web site	6 months
C2a	Streamline process to reduce time for initial application assessment; use computerized tracking system	Continue development of database capabilities: one year
C4b	Reasons for referral to Registration Committee be labelled as such in staff memo	January 2010
D3	Provide current reading list for retraining	Provide to applicants needing retraining: January 2010
D5	When requirements change, grandparent those (a) who can demonstrate that they had embarked on a course of study that would have qualified them under the old guidelines and (b) had completed it within a reasonable time (six or seven years)	Provide notice of a change in requirements a sufficient number of years in advance of the change going into effect (equivalent to the time usually required to complete the graduate program) that a person currently enrolled in an acceptable graduate program and who finishes that program in the normal length of time is not disadvantaged by the

For the College of Psychologists of Ontario

Go to Section:



Section K: Health Regulatory College's Response

D7 Reduce time taken to obtain approval of retraining plans by Registration Committee – consider focus groups of recent registrants for ideas about possible changes

change. Implement for any future changes.

Survey recent registrants: 6 months

APPENDIX A: Testing Procedures

This is a generic version of the sampling procedure page in sections C and D. You may print and copy this page for making notes, but do not include it in your final submission to the OFC.

Question:

Sample of _____
 (e.g., international applications)

Population size	Sample size	% of Population

The OFC asks for sample sizes only for information purposes, in order to gain a better understanding of the testing procedure. Sample sizes add transparency to the audit report and will allow the OFC to improve the audit process, if necessary, in the future.

Describe the rationale for your sample.

Result of the test

Conclusion

Recommendation

APPENDIX A: Testing Procedures

This is a generic version of the document review procedure page in sections C and D. You may print and copy this page for making notes, but do not include it in your final submission to the OFC.

Question:

Describe your document review procedure.

Result of the test

Conclusion

Recommendation

APPENDIX A: Testing Procedures

This is a generic version of the interview procedure page in sections C and D. You may print and copy this page for making notes, but do not include it in your final submission to the OFC.

Question:

Interviews of _____

(e.g., registration committee members)

Describe your interview procedure.

Result of the test

Conclusion

Recommendation

APPENDIX A: Testing Procedures

This is a generic version of the page for reporting other procedures (not sampling, document review, or interviews) in sections C and D. You may print and copy this page for making notes, but do not include it in your final submission to the OFC.

Question:

Describe your other testing procedure.

Result of the test

Conclusion

Recommendation

APPENDIX A: Testing Procedures

This is a generic version of the page for reporting no tests in sections C and D. You may print and copy this page for making notes, but do not include it in your final submission to the OFC.

Question:

I did not use any testing procedures because

Conclusion

Recommendation

APPENDIX B: Hyperlinked Terms

Acceptable alternatives	Documentation that is acceptable to the regulatory body in lieu of the usual or official documentation required of applicants in most cases. Alternatives may be accepted in cases where an applicant cannot obtain the usual or official documentation due to a number of reasons, such as conflict in the applicant's home country. These options may include acceptance of signed undertakings; notarized declarations or sworn affidavits detailing the applicant's education and experience; references from former instructors, colleagues or supervisors; challenge exams; prior learning assessments; or registration committee interviews.
Assessment of qualifications	The evaluation process conducted by the regulatory body or by a third party used by the regulator in order to determine whether an individual seeking registration has the required qualifications (i.e., necessary knowledge, skills and abilities) to practise the profession.
Documentation of qualifications	The proof that must be submitted by applicants in order to demonstrate that they have the required qualifications to practise the profession. Often this is done by submitting documentation from academic institutions, examiners, workplace or clinical experience, etc.
Exemptible registration requirement	A registration requirement that may be waived by the regulatory body under certain circumstances.
General duty	In evaluating whether the health regulatory college is complying with the general duty, the auditor must examine whether all its registration practices, and not just those specified in the Code, are transparent, objective, impartial and fair.
Non-exemptible registration requirement	A registration requirement that cannot be waived.
Personal information	Personal information has the same meaning as in the Freedom of Information and Protection of Privacy Act: recorded information about an identifiable individual. Auditors must not place any individual's name in the body of the audit report. Any views or opinions expressed should be attributed to the health regulatory college only and not to any particular employee.
Reasonable time	What is "reasonable" will be determined by auditors during the conduct of an audit.
Requirements	Requirements for registration include the qualifications applicants must have, the proof they must provide to show they are met, the fees they must pay and any other criteria they must meet to be registered. Qualifications typically include academic credentials, language proficiency, workplace or clinical experience, successful completion of registration exams and good character. Some requirements appear in the profession's governing statute and regulations. Other requirements are set by the regulator in its bylaws and in its formal and informal policies.
Streamlined	A process made shorter, simpler or more efficient in any way, e.g., by removing steps in the process, improving workflow, avoiding duplication of procedures, etc.
Training	Instruction given by a regulatory body to individuals assessing qualifications and making registration decisions or internal review or appeal decisions. It includes, where appropriate, guidance on how to hold hearings and on any special considerations that may apply in the assessment of applications and the process for applying those considerations. The training provided by regulatory bodies may also include information regarding anti-discriminatory policies in place and how to achieve impartiality throughout the registration process.
Written submission	For the purpose of the health regulatory college's certificate, a written submission means any formal written communication provided by the health regulatory college to the auditor that pertains to the draft audit report.