

For the College of Nurses 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?

## 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](mailto: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](http://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 Nurses of Ontario			
Period Covered by the Audit (e.g. July 16, 2008, through July 15, 2009)			
July 3, 2008		through July 2, 2009	
Notice of Audit Start Date	Notice of Audit Completion Date	Actual Start Date	Actual Completion Date
December 1, 2009	March 31, 2010	January 11, 2010	March 31, 2010

## 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.

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### APPROACH TO AUDIT - GENERAL

#### 1. Framework

The chosen methodology of our audit approach and the manner in which the methodology was framed is that of a substantive based audit approach and the CICA Assurance Handbook Sections 5800 - Special Reports - Introduction and 5815 - Special Reports - Audit reports on compliance with agreements, statutes and regulations, respectively.

#### 2. Planning evidence

a) Attended the auditor's orientation session held by the Office of the Fairness Commissioner (OFC) in August 2009 and in November 2009



- b) Partner planning with regards to team composition, such that the FARPA audit team is competent in performing the audit and has relevant experience with member based organizations
- c) Conducted internal meetings with the FARPA audit team of our firm to ensure consistency with the audit approach, evidence gathering and scope; prepared minutes of these meetings
- d) Prepared FARPA "Matrix" for clients to complete with questions on the College's processes and procedures based on the Regulated Health Professions Act, 1991, Schedule 2 of the Health Professions Procedural Code (Sections 15, through 22.14).
- e) Prepared an audit planning guide for the clients to complete
- f) Obtained internal flowcharts from College staff to provide an overview of the registration processes and procedures for different types of applicants
- g) Held discussions and meetings with client to address expectations, roles and responsibilities of client management and staff and of our firm
- h) Held discussions and meetings with College staff to understand the details of their registration processes and procedures
- i) Review of the College's web site and publications
- j) Review of other related web sites and publications - OFC, HPARB and Ontario Ministry of Citizenship and Immigration
- k) Review of relevant statutory documentation including the RHPA, the Code, the respective Acts and the respective Ontario Regulation (Registration)
- l) Preparation and issuance of an engagement letter to the College outlining our responsibilities and limitations and the responsibilities of the College
- m) Consultations with Janelle Benjamin, Policy Advisor to the Office of the Fairness Commissioner
- n) Review of Framework for Audits of Registration Practices: Guidance for Regulatory Bodies, August 2008 as published by the OFC
- o) Review of Study of Registration Practices of the College, 2007
- p) Review of Fair Registration Practices Report of the College, 2008
- q) Review of Conducting Entry to Practice Reviews: Guide for Regulators of Ontario Professions as published by the OFC
- r) Review of Study of Qualifications Assessment Agencies as published by the OFC

### 3. Objectives

1) The objectives of the audit were to:  
Develop an understanding of the design, implementation and operating effectiveness of the College's registration practices, organized under the following categories (and as detailed in the OFC's publication "Framework for Audits of Registration Practices"):

- a) Information for applicants
- b) Timely decisions, responses and reasons
- c) Internal review or appeal / Information on appeal rights
- d) Documentation of qualifications
- e) Assessment of qualifications
- f) Training
- g) Access to records



#### h) Reporting

2) Assess the transparency, objectivity, impartiality and fairness of the College's registration practices according to the above categories.

3) Test the College's compliance with the Code and report to the OFC with sufficient information to:

- a) Support audit conclusions
- b) Explain all exceptions
- c) Provide recommendations
- d) Advise the OFC about the degree of compliance
- e) Advise the OFC of potential problems
- f) Clarify and reinforce the auditor's judgment and decisions

#### 4. Scope

For health regulatory colleges, the OFC relies upon Sections 15 to 22, 22.2 to 22.4, 22.6, 22.7 and 22.9 to 22.11 of the Code to determine the scope of audits. The Code is set out in Schedule 2 of the RHPA.

##### a) Section 22.2: Fair Registration Practices: General Duty

This section contains the general duty that health regulatory colleges provide registration practices that are transparent, objective, impartial and fair.

##### b) Sections 15-22, 22.2-22.4

These sections set out areas in which health regulatory colleges must have registration practices that are transparent, objective, impartial and fair.

##### c) Sections 22.6, 22.7, 22.9-22.11

These sections contain provisions for reports to the OFC, including reports arising out of a health regulatory college's own review of its registration practices.

#### 5. Information gathering

We conducted our analysis and reached our conclusions based on an evaluation of all the information gathered:

- a) Reference to RHPA
- b) Reviewing college web site
- c) Discussions and meetings with College staff:
  - Senior Corporate Services staff members
  - Senior Customer Service staff member
  - Senior Registration staff members
- d) Reviewed relevant College documentation including by-laws, policies, committee terms of reference, committee minutes, registration related application forms, guides, information sheets and checklists
- e) Performed substantive testing of selected samples to determine whether specific actions mandated in the Code were being followed
- f) Performed substantive testing of selected samples to assess the effectiveness of the registration processes in place

during the audit period

- g) Discussed and confirmed information with Registration Committee members, Registration Administrators and Baccalaureate Equivalency Work Group members
- h) Surveyed recently registered members regarding their registration experience

## 6. Evaluating evidence

We evaluated evidence based on what a reasonable person would determine to be transparent, objective, impartial and fair (as defined in the OFC publication *Conducting Entry to Practice Reviews: Guide for Regulators of Ontario Professions*) and compliant with the noted legislation.

We reviewed the quantitative and qualitative data we gathered, looking for trends, compliance, discrepancies and best practices.

## AUDIT APPROACH - SAMPLING

We ensured that each sample was randomly selected and representative by performing the following:

- a) Our scope of audit under consideration included applicants who were “active” during the audit period (July 3, 2008 through July 2, 2009). There were 14,640 active files, which includes the following:
  - i) Applicants who neither applied nor registered in period
  - ii) Applicants who applied and registered in period
  - iii) Applicants who applied in period
  - iv) Applicants who registered in period
- b) Confirmed completeness of population through confirmation with the Director of Corporate Services
- c) Subsequent to the confirmation of the completeness of the population, we chose our samples
- d) We used a sample size of approximately 1 percent of the population
- e) In order to make sure our sample selection was completely random and not biased in any way, we chose our sample at intervals to arrive at the sample size. Specifically:

### Sample Size

Through consultation with our firm's File Quality Review Partner, a third party Risk Assessment consultant and discussions with Janelle Benjamin, Policy Advisor to the Office of the Fairness Commissioner, we determined that a sample size of 150 was sufficient.

The sample of 150 files is composed as follows:

- a) 75% of sample size will be based on international applicants (112)
- b) 12.5% of sample size will be based on Ontario applicants (19)
- c) 12.5% of sample size will be based on Canadian applicants (19)



The sample was further broken down to ensure there was equal representation of RNs and RPNs as follows:

- a) 50% of 75% of international applicants will be RNs (57); the other half will be RPNs (55)
- b) 50% of 12.5% of Ontario applicants will be RNs (10); the other half will be RPNs (9)
- c) 50% of 12.5% of Canadian applicants will be RNs (10); the other half will be RPNs (9)

The sample was further broken down to ensure there was equal representation of: applicants who neither applied nor registered in period, applicants who have applied and registered in period, applicants who have applied in period and applicants who have registered in period as follows:

- a) 25% of 50% of 75% of international RN applicants will be applicants who: neither applied nor registered in period (14); applied and registered in period (15); applied in period (14); registered in period (14)
- b) 25% of 50% of 75% of international RPN applicants will be applicants who: neither applied nor registered in period (14); applied and registered in period (13); applied in period (14); registered in period (14)
- c) 25% of 50% of 12.5% of Ontario RN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (3); registered in period (3)
- d) 25% of 50% of 12.5% of Ontario RPN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (2); registered in period (3)
- e) 25% of 50% of 12.5% of Canadian RN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (3); registered in period (3)
- f) 25% of 50% of 12.5% of Canadian RPN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (2); registered in period (3).

In addition, there were 1,096 applications that were referred to the Registration Committee during the audit period. Note that these 1,096 applications are included in the 14,640 population. Of these, 361 applications were refused registration by the Registration Committee. Of the 361 applications, 30 had an application date that fell within the audit period. We chose to randomly sample 20% ( $30 \times 20\%$ ) = 6 applications that were referred to the Registration Committee.

As a result, the total sample size is  $150 + 6 = 156$  files.



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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 **Instruction** 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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### 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.

The College of Nurses of Ontario ("College") provides information about its registration practices to persons applying or intending to apply for registration through seven different ways.

1. The College provides information about its registration practices to applicants and intending applicants through their web site, [www.cno.org](http://www.cno.org).
  - a) On the left side of the web site's home page are eleven sections for a web site user to choose from. Fourth from the top is a section called "Registration".
  - b) Rolling over "Registration" with the cursor provides the web site user with six additional categories to choose from. Fifth from the top is a category called "For New Applicants".
  - c) Rolling over "For New Applicants" with the cursor provides the web site user with four additional subcategories to choose from. These four subcategories provide the user with information about "Requirements", "Applying for Registration", "Examinations", and "Temporary Registration".
2. The College provides information about its registration practices to applicants and intending applicants in person. An applicant that walks into the College can speak with a representative at the Customer Service Desk who will assist them with any information requests and provide them with a hard copy of the application package.
  - a) An application package for International and Canadian graduates consists of application forms (for registration) and a Guide. Guides provide information on registering as a nurse in Ontario.
  - b) An application package for an Ontario graduate consists of an application form (for eligibility for registration and examination) and a Handbook. Handbooks provide details about examination and initial registration. There is a specific handbook for an RN and a specific handbook for an RPN.
  - c) Fact Sheets are short summaries of specific information about the College (eg. registration). Fact Sheets are available at the College.

The College may be contacted at:

101 Davenport Road  
Toronto, Ontario, Canada M5R 3P1

3. The College provides information about its registration practices to applicants and intending applicants through mail. The College may be contacted at:

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## SECTION C: Evaluation of Registration Practices

### 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?

101 Davenport Road  
Toronto, Ontario, Canada M5R 3P1

4. The College provides information about its registration practices to applicants and intending applicants though e-mail. The College may be emailed directly or be contacted through a tab labelled "Email Us" in the "Contact Us" section on their web site, [www.cno.org](http://www.cno.org).

5. The College provides information about its registration practices to applicants and intending applicants by telephone and fax. The College may be contacted at:

Telephone: (416) 928-0900

Toll Free: 1(800) 563-5847

Fax: (416) 975-4355

The College's hours of operation are Monday to Friday, from 8:30 am to 5:00 pm.

6. The College provides information about its registration practices to applicants and intending applicants at Health Force Ontario information sessions.

7. The College provides information about its registration practices to applicants and intending applicants at various schools that host job fairs or have student associations related to nursing.

### 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

#### 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.

To test if the College provides information about its registration practices to persons applying or intending to apply for registration, I read the application packages for International Graduates, Canadian Graduates, and Ontario Graduates applying to become either a Registered Nurse or Registered Practical Nurse in the General or Transitional class.

#### Result of the test Instruction

In the application packages, I found that the College provides information about its registration practices to persons applying or intending to apply for registration.

#### Conclusion Instruction

The College provides information about its registration practices to persons applying or intending to apply for registration in the application packages.

#### Recommendation Instruction

C1a-1. We recommend that application packages be available in French.

Add another document review procedure



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### 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.

I read the Fair Registration Practices Report 2008 to determine if the College provides information about its registration practices to persons applying or intending to apply for registration.

#### Result of the test Instruction

The College provides information about its registration practices to persons applying or intending to apply for registration. In particular, this question is addressed in section 1a of the Report.

#### Conclusion Instruction

The College provides information about its registration practices to persons applying or intending to apply for registration in the Fair Registration Practices Report 2008.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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### 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?**

**Interviews of** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College provides information about its registration practices to persons applying or intending to apply for registration.

### Result of the test Instruction

Per discussion with the staff member, the College provides information about its registration practices to persons applying or intending to apply for registration as described in the process above.

### Conclusion Instruction

The College provides information about its registration practices to persons applying or intending to apply for registration.

### Recommendation Instruction

C1a-1. We recommend that application packages be available in French.

C1a-2. Once the web site user selects "How do I apply for registration", they should be provided with three areas to choose from that are labelled: "Ontario Graduates", "Other Canadian Graduates", and "International Graduates". This is so persons applying or intending to apply for registration know that all the information they are provided with is applicable to them. It will also reduce the amount of information that is repeated to the web site user.

Add another interview procedure



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### 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?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College provides information about its registration practices to persons applying or intending to apply for registration.

### Result of the test Instruction

Per discussion with the staff member, the College provides information about its registration practices to persons applying or intending to apply for registration as described in the process above.

### Conclusion Instruction

The College provides information about its registration practices to persons applying or intending to apply for registration.

### Recommendation Instruction

C1a-1. We recommend that application packages be available in French.

C1a-2. Once the web site user selects "How do I apply for registration", they should be provided with three areas to choose from that are labelled: "Ontario Graduates", "Other Canadian Graduates", and "International Graduates". This is so persons applying or intending to apply for registration know that all the information they are provided with is applicable to them. It will also reduce the amount of information that is repeated to the web site user.

Add another interview procedure



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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

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

Describe your other testing procedure.

The College provides information for applicants and intending applicants through their web site, [www.cno.org](http://www.cno.org).

- a) On the left side of the web site's homepage are eleven clearly labelled sections for a web site user to choose from. Fourth from the top is a section called "Registration".
- b) Rolling over "Registration" with the cursor provides six options for the web site user to choose from. Fifth from the top of the list is "For New Applicants".
- c) Rolling over "For New Applicants" with the cursor provides the web site user with four options to choose from. Second from the top of the list is "Applying for Registration".
- d) Once the web site user selects "Applying for Registration", they are provided with information about registration practices.

#### Result of the test Instruction

The College provides information about its registration practices to persons applying or intending to apply for registration through its website.

#### Conclusion Instruction

The College provides information about its registration practices to persons applying or intending to apply for registration.

#### Recommendation Instruction

C1a-1. We recommend that application packages be available in French.

C1a-2. Once the web site user selects "How do I apply for registration", they should be provided with three areas to choose from that are labelled: "Ontario Graduates", "Other Canadian Graduates", and "International Graduates". This is so persons applying or intending to apply for registration know that all the information they are provided with is applicable to them. It will also reduce the amount of information that is repeated to the web site user.

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## SECTION C: Evaluation of Registration Practices

### 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?**

Add another testing procedure



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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

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

Describe your other testing procedure.

We sent surveys to 100 recently registered members, and asked them the following question:

"Were you able to find information about the College's registration practices and processes?"

#### Result of the test Instruction

Of the 100 surveys sent, 21 were returned. Of the 21 returned, 20 members indicated that the College provides information about its registration practices and processes. 1 member indicated that the College does not provide information about its registration practices and processes.

#### Conclusion Instruction

Although 1 member indicated that the College does not provide information about its registration practices and processes, other testing procedures have indicated that the College provides information about its registration practices and processes.

#### Recommendation Instruction

No recommendation required.

Add another testing procedure

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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

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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.

The College provides information about the amount of time that the registration process usually takes through six different ways.

1. The College provides information about the amount of time that the registration process usually takes in person. An applicant that walks into the College can speak with a representative at the Customer Service Desk who will assist them with any information request. The College may be contacted at:

101 Davenport Road  
Toronto, Ontario, Canada M5R 3P1

2. The College provides information about the amount of time that the registration process usually takes through mail. The College may be contacted at:

101 Davenport Road  
Toronto, Ontario, Canada M5R 3P1

3. The College provides information about the amount of time that the registration process usually takes though e-mail. The College may be emailed directly or be contacted through a tab labelled "Email Us" in the "Contact Us" section on their web site, [www.cno.org](http://www.cno.org).

4. The College provides information about the amount of time that the registration process usually takes by telephone and fax. The College may be contacted at:

Telephone: (416) 928-0900  
Toll Free: 1(800) 563-5847  
Fax: (416) 975-4355

The College's hours of operation are Monday to Friday, from 8:30 am to 5:00 pm.

5. The College provides information about the amount of time that the registration process usually takes at Health Force Ontario information sessions.



For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

### C1: Information for Applicants

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

6. The College provides information about the amount of time that the registration process usually takes at various schools that host job fairs or have student associations related to nursing.

#### 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

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

Describe your document review procedure.

To test if the College provides information about the amount of time that the registration process usually takes, I read the application packages for International Graduates, Canadian Graduates, and Ontario Graduates applying to become either a Registered Nurse or Registered Practical Nurse in the General or Transitional class.

#### Result of the test Instruction

I did not see information about the amount of time that the registration process usually takes in the application packages for International Graduates, Canadian Graduates, or Ontario Graduates.

#### Conclusion Instruction

The College does not provide information about the amount of time the registration process usually takes in the application packages for International Graduates, Canadian Graduates, or Ontario Graduates.

#### Recommendation Instruction

C1b-1. In the application packages, the person applying or intending to apply should be provided with information about the amount of time that the registration process usually takes for each class.

Add another document review procedure



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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

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

Describe your document review procedure.

I read the Fair Registration Practices Report 2008 to determine if the College provides information about the about of time the registration process usually takes.

#### Result of the test Instruction

The College provides information about the about of time the registration process usually takes. In particular, this question is addressed in section 1n of the Report.

#### Conclusion Instruction

The College provides information about the about of time the registration process usually takes in the Fair Registration Practices Report 2008.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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

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

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College provides information about the amount of time that the registration process usually takes.

### Result of the test Instruction

Per discussion with the staff member, the College provides information about the amount of time that the registration process usually takes through individual file assignment of a Registration Administrator or through customer service.

### Conclusion Instruction

The College provides information about the amount of time that the registration process usually takes.

### Recommendation Instruction

C1b-1. In the application packages, the person applying or intending to apply should be provided with information about the amount of time that the registration process usually takes for each class.

C1b-2. On the web site, [www.cno.org](http://www.cno.org), extending from the recommendation provided in C1a, once the user selects "Ontario Graduates", "Other Canadian Graduates", or "International Graduates", they should be provided with a link that will lead them to information about the amount of time that the registration process usually takes. This is so the user will be able to receive information about the amount of time that the registration process usually takes, and ensures that the information they are provided with is applicable to them.



For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

### C1: Information for Applicants

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

Add another interview procedure

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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

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

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College provides information about the amount of time that the registration process usually takes.

### Result of the test Instruction

Per discussion with the staff member, the College provides information about the amount of time that the registration process usually takes individual file assignment of a Registration Administrator or through customer service.

### Conclusion Instruction

The College provides information about the amount of time that the registration process usually takes.

### Recommendation Instruction

C1b-1. In the application packages, the person applying or intending to apply should be provided with information about the amount of time that the registration process usually takes for each class.

C1b-2. On the web site, [www.cno.org](http://www.cno.org), extending from the recommendation provided in C1a, once the user selects "Ontario Graduates", "Other Canadian Graduates", or "International Graduates", they should be provided with a link that will lead them to information about the amount of time that the registration process usually takes. This is so the user will be able to receive information about the amount of time that the registration process usually takes, and ensures that the information they are provided with is applicable to them.



For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

### C1: Information for Applicants

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

Add another interview procedure

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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

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

Describe your other testing procedure.

To test if the College provides information about the amount of time that the registration process usually takes, I visited their web site, [www.cno.org](http://www.cno.org).

#### Result of the test Instruction

I did not see information on the College's web site about the amount of time that the registration process usually takes.

#### Conclusion Instruction

The College does not provide information on their web site about the amount of time that the registration process usually takes.

#### Recommendation Instruction

C1b-2. On the web site, [www.cno.org](http://www.cno.org), extending from the recommendation provided in C1a, once the user selects "Ontario Graduates", "Other Canadian Graduates", or "International Graduates", they should be provided with a link that will lead them to information about the amount of time that the registration process usually takes. This is so the user will be able to receive information about the amount of time that the registration process usually takes, and ensures that the information they are provided with is applicable to them.

Add another testing procedure



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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

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

Describe your other testing procedure.

We sent surveys to 100 recently registered members, and asked them the following question:

"Were you able to find information about the amount of time the registration process usually takes?"

#### Result of the test Instruction

Of the 100 surveys sent, 21 were returned. Of the 21 returned, 17 members have indicated that the College provides information about the amount of time that the registration process usually takes. 2 members have indicated that the College does not provide information about the amount of time that the registration process usually takes. 2 members have indicated not applicable.

#### Conclusion Instruction

Although 2 members have indicated that the College does not provide information about the amount of time that the registration process usually takes, other testing procedures have indicated that the College provides information about the amount of time that the registration process usually takes.

#### Recommendation Instruction

No recommendation required.

Add another testing procedure

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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 communicates the objective requirements for registration through seven different ways.

1. The College communicates the objective requirements for registration through their web site, [www.cno.org](http://www.cno.org).
  - a) On the left side of the web site's homepage are eleven clearly labelled sections for a web site user to choose from. Eighth from the top is a section called "Policy Issues".
  - b) Rolling over "Policy Issues" with the cursor provides the web site user with three options to choose from. The third option is called "Legislation".
  - c) Once the web site user selects "Legislation", they are taken to a page that has a clearly labelled section called "Ontario Regulation 275/94: General" underneath the heading called "Nursing Act, 1991".
  - d) Once the web site user selects "Ontario Regulation 275/94: General", they are provided with information regarding the objective requirements for registration.
2. The College communicates the objective requirements for registration in person. An applicant that walks into the College can speak with a representative at the Customer Service Desk who will assist them with any information requests and provide them with a hard copy of the application package.
  - a) An application package for International and Canadian graduates consists of application forms (for registration) and a Guide. Guides provide information on registering as a nurse in Ontario.
  - b) An application package for an Ontario graduate consists of an application form (for eligibility for registration and examination) and a Handbook. Handbooks provide details about examination and initial registration. There is a specific handbook for an RN and a specific handbook for an RPN.
  - c) Fact Sheets are short summaries of specific information about the College (eg. registration). Fact Sheets are available at the College.

The College may be contacted at:

101 Davenport Road  
Toronto, Ontario, Canada M5R 3P1

3. The College communicates the objective requirements for registration through mail. The College may be contacted at:

101 Davenport Road  
Toronto, Ontario, Canada M5R 3P1



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## SECTION C: Evaluation of Registration Practices

### C1: Information for Applicants

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

4. The College communicates the objective requirements for registration though e-mail. The College may be emailed directly or be contacted through a tab labelled "Email Us" in the "Contact Us" section on CNO's web site, [www.cno.org](http://www.cno.org).

5. The College communicates the objective requirements for registration by telephone and fax. The College may be contacted at:

Telephone: (416) 928-0900

Toll Free: 1(800) 563-5847

Fax: (416) 975-4355

The College's hours of operation are Monday to Friday, from 8:30 am to 5:00 pm.

6. The College communicates the objective requirements for registration at Health Force Ontario information sessions.

7. The College communicates the objective requirements for registration at various schools that host job fairs or have student associations related to nursing.

### 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?

Describe your document review procedure.

To test if the College communicates the objective requirements for registration, I read the application packages for International Graduates, Canadian Graduates, and Ontario Graduates applying to become either a Registered Nurse or Registered Practical Nurse in the General or Transitional class.

#### Result of the test Instruction

In the application packages, I found the objective requirements for registration.

#### Conclusion Instruction

The College communicates the objective requirements for registration in the application packages for International Graduates, Canadian Graduates, and Ontario Graduates.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure



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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?

Describe your document review procedure.

I read the Fair Registration Access Report 2008 to determine if the College communicates the objective requirements for registration.

#### Result of the test Instruction

The College communicates the objective requirements for registration. In particular, this question is addressed in section 1b of the Report.

#### Conclusion Instruction

The College communicates the objective requirements for registration in the Fair Registration Access Report 2008.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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?

Describe your document review procedure.

I read the Fact Sheet called "Legislation and Regulation: An Introduction to the Nursing Act, 1991" to determine if the College communicates the objective requirements for registration.

#### Result of the test Instruction

The College communicates the objective requirements for registration. In particular, the Fact Sheet lists the Entry to Practice requirements that must be met for registration as an RN or RPN in the General Class.

#### Conclusion Instruction

The College communicates the objective requirements for registration in the Fact Sheet.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure



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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.

### C1: Information for Applicants

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

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College communicates the objective requirements for registration.

#### Result of the test Instruction

Per discussion with the staff member, the College communicates the objective requirements for registration as described in the process above.

#### Conclusion Instruction

The College communicates the objective requirements for registration.

#### Recommendation Instruction

C1c-1. On the left hand side of the web site's homepage are eleven clearly labelled sections for the user to choose from. Fourth from the top is a section labelled "Registration". Once the user selects "Registration", they are provided with four topics under the heading "For Applicants". At the top of the list is a topic called "What are the registration requirements?" Selecting "What are the registration requirements" should provide the user with greater clarity regarding the objective requirements for registration as it does in "Ontario Regulation 275/94: General". This is so people applying or intending to apply have the information about objective registration requirements easily accessible to them.

For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

### C1: Information for Applicants

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

Add another interview procedure



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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

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

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College communicates the objective requirements for registration.

#### Result of the test Instruction

Per discussion with the staff member, the College communicates the objective requirements for registration as described in the process above.

#### Conclusion Instruction

The College communicates the objective requirements for registration.

#### Recommendation Instruction

C1c-1. On the left hand side of the web site's homepage are eleven clearly labelled sections for the user to choose from. Fourth from the top is a section labelled "Registration". Once the user selects "Registration", they are provided with four topics under the heading "For Applicants". At the top of the list is a topic called "What are the registration requirements?" Selecting "What are the registration requirements" should provide the user with greater clarity regarding the objective requirements for registration as it does in "Ontario Regulation 275/94: General". This is so people applying or intending to apply have the information about objective registration requirements easily accessible to them.

Add another interview procedure

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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?

Describe your other testing procedure.

The College communicates the objective requirements for registration through their web site, [www.cno.org](http://www.cno.org).

a) On the left side of the web site's homepage are eleven clearly labelled sections for a web site user to choose from. Eighth from the top is a section called "Policy Issues".

b) Rolling over "Policy Issues" with the cursor provides the web site user with three options to choose from. The third option is called "Legislation".

c) Once the web site user selects "Legislation", they are taken to a page that has a clearly labelled section called "Ontario Regulation 275/94: General" underneath the heading called "Nursing Act, 1991".

d) Once the web site user selects "Ontario Regulation 275/94: General", they are provided with information regarding the objective requirements for registration.

#### Result of the test Instruction

The College communicates the objective requirements for registration through their web site, [www.cno.org](http://www.cno.org).

#### Conclusion Instruction

The College communicates the objective requirements for registration.

#### Recommendation Instruction

C1c-1. On the left hand side of the web site's homepage are eleven clearly labelled sections for the user to choose from. Fourth from the top is a section labelled "Registration". Once the user selects "Registration", they are provided with four topics under the heading "For Applicants". At the top of the list is a topic called "What are the registration requirements?" Selecting "What are the registration requirements" should provide the user with greater clarity regarding the objective requirements for registration as it does in "Ontario Regulation 275/94: General". This is so people applying or intending to apply have the information about registration requirements easily accessible to them.



For the College of Nurses of Ontario

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**SECTION C: Evaluation of Registration Practices**

**C1: Information for Applicants**

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

Add another testing procedure

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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?

Describe your other testing procedure.

We sent surveys to 100 recently registered members, and asked them the following question:

"Were you able to find information about registration requirements?"

#### Result of the test Instruction

Of the 100 surveys sent, 21 were returned. Of the 21 returned, all 21 members have indicated that the College communicates the objective requirements for registration.

#### Conclusion Instruction

The College communicates the objective requirements for registration.

#### Recommendation Instruction

No recommendation required.

Add another testing procedure



For the College of Nurses of Ontario

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### 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.

1. The College explains which requirements may be satisfied through acceptable alternatives within the Nursing Act, 1991, "Ontario Regulation 275/94: General" in the section pertaining to registration. For example, under section 6. (2.1) 2., an applicant is provided with three alternative methods for demonstrating evidence of safe practice.
2. Acceptable alternatives are listed under each section within the application packages. For example, applicants are presented with six different methods for providing "proof of Canadian citizenship, permanent residency or authorization to work in Canada.
3. Requirements which may be satisfied through acceptable alternatives are explained through their web site, or the applicants may contact the College in person, by mail, by e-mail or by telephone. For example, if an applicant can provide evidence that he or she cannot obtain the required documentation for reasons beyond his or her control; the College will accept statutory declarations.

### 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

**C1d. Does the health regulatory college explain which requirements may be satisfied through acceptable alternatives?**

Describe your document review procedure.

To test if the College explains which requirements may be satisfied through acceptable alternatives, I read the application packages for International Graduates, Canadian Graduates, and Ontario Graduates applying to become either a Registered Nurse or Registered Practical Nurse in the General or Transitional class.

#### Result of the test Instruction

In the application packages, I found explanations on which requirements may be satisfied through acceptable alternatives.

#### Conclusion Instruction

The College explains which requirements may be satisfied through acceptable alternatives in the application packages for International Graduates, Canadian Graduates, and Ontario Graduates.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure



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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

**C1d. Does the health regulatory college explain which requirements may be satisfied through acceptable alternatives?**

Describe your document review procedure.

I read the Fair Registration Practices Report 2008 to determine if the College explains which requirements may be satisfied through acceptable alternatives.

#### Result of the test Instruction

The College explains which requirements may be satisfied through acceptable alternatives. In particular, this question is addressed in section 1e of the Report.

#### Conclusion Instruction

The College explains which requirements may be satisfied through acceptable alternatives in the Fair Registration Practices Report 2008.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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

**C1d. Does the health regulatory college explain which requirements may be satisfied through acceptable alternatives?**

**Interviews of** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College explains which requirements may be satisfied through acceptable alternatives.

**Result of the test** **Instruction**

Per discussion with the staff member, the College explains which requirements may be satisfied through acceptable alternatives as described in the process above.

**Conclusion** **Instruction**

The College explains which requirements may be satisfied through acceptable alternatives.

**Recommendation** **Instruction**

C1d-1. On the left hand side of the web site's homepage are eleven clearly labelled sections for the user to choose from. Fourth from the top is a section labelled "Registration". Once the user selects "Registration", they are provided with four topics under the heading "For Applicants". At the top of the list is a topic called "What are the registration requirements?" Selecting "What are the registration requirements" should provide the user with greater clarity explaining which requirements may be satisfied through acceptable alternatives as it does in "Ontario Regulation 275/94: General". This is so people applying or intending to apply have the information explaining which requirements may be satisfied through acceptable alternatives easily accessible to them.

Add another interview procedure



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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

**C1d. Does the health regulatory college explain which requirements may be satisfied through acceptable alternatives?**

**Interviews of** Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College explains which requirements may be satisfied through acceptable alternatives.

**Result of the test** Instruction

Per discussion with the staff member, the College explains which requirements may be satisfied through acceptable alternatives as described in the process above.

**Conclusion** Instruction

The College explains which requirements may be satisfied through acceptable alternatives.

**Recommendation** Instruction

C1d-1. On the left hand side of the web site's homepage are eleven clearly labelled sections for the user to choose from. Fourth from the top is a section labelled "Registration". Once the user selects "Registration", they are provided with four topics under the heading "For Applicants". At the top of the list is a topic called "What are the registration requirements?" Selecting "What are the registration requirements" should provide the user with greater clarity explaining which requirements may be satisfied through acceptable alternatives as it does in "Ontario Regulation 275/94: General". This is so people applying or intending to apply have the information explaining which requirements may be satisfied through acceptable alternatives easily accessible to them.

Add another interview procedure

Go to Section:



## 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

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

Describe your other testing procedure.

The College explains which requirements may be satisfied through acceptable alternatives through their web site, [www.cno.org](http://www.cno.org).

a) On the left side of the web site's homepage are eleven clearly labelled sections for a web site user to choose from. Eighth from the top is a section called "Policy Issues".

b) Rolling over "Policy Issues" with the cursor provides the web site user with three options to choose from. The third option is called "Legislation".

c) Once the web site user selects "Legislation", they are taken to a page that has a clearly labelled section called "Ontario Regulation 275/94: General" underneath the heading called "Nursing Act, 1991".

d) Once the web site user selects "Ontario Regulation 275/94: General", they are provided with information explaining which requirements may be satisfied through acceptable alternatives such as, "must have graduated from a nursing program outside Canada that the Registration Committee determines was, at the time the applicant graduated, equivalent to a nursing program in Ontario that is currently approved in accordance with subparagraph i, or must have graduated from a nursing program other than one referred to in subparagraph i, ii, iii or iv and must also satisfy the Registration Committee that he or she has obtained additional nursing education or experience that, together with the education provided by the nursing program from which he or she graduated, is equivalent to the education provided by a nursing program in Ontario that is currently approved in accordance with subparagraph i."

#### Result of the test Instruction

The College explains which requirements may be satisfied through acceptable alternatives through their web site, [www.cno.org](http://www.cno.org).

#### Conclusion Instruction

The College explains which requirements may be satisfied through acceptable alternatives.



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## SECTION C: Evaluation of Registration Practices

### C1: Information for Applicants

**C1d. Does the health regulatory college explain which requirements may be satisfied through acceptable alternatives?**

#### Recommendation

#### Instruction

C1d-1. On the left hand side of the web site's homepage are eleven clearly labelled sections for the user to choose from. Fourth from the top is a section labelled "Registration". Once the user selects "Registration", they are provided with four topics under the heading "For Applicants". At the top of the list is a topic called "What are the registration requirements?" Selecting "What are the registration requirements" should provide the user with greater clarity explaining which requirements may be satisfied through acceptable alternatives as it does in "Ontario Regulation 275/94: General". This is so people applying or intending to apply have the information explaining which requirements may be satisfied through acceptable alternatives easily accessible to them.

Add another testing procedure

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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

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

Describe your other testing procedure.

We sent surveys to 100 recently registered members, and asked them the following question:

"Were you able to find information about acceptable alternatives to registration requirements?"

#### Result of the test Instruction

Of the 100 surveys sent, 21 were returned. Of the 21 returned, 8 members have indicated that the College explains which requirements may be satisfied through acceptable alternatives. 3 members have indicated that the College does not explain which requirements may be satisfied through acceptable alternatives. 10 members have indicated not applicable.

#### Conclusion Instruction

Although 3 members have indicated that the College does not explain which requirements may be satisfied through acceptable alternatives, other testing procedures have indicated that the College explains which requirements may be satisfied through acceptable alternatives.

#### Recommendation Instruction

No recommendation required.

Add another testing procedure



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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.

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.

1. The College provides a fee scale through their web site, [www.cno.org](http://www.cno.org).

i. For fee information pertaining to assessment, registration, and renewal;

a) On the left side of the web site's home page are eleven sections for a web site user to choose from. Tenth from the top is a section called "Contact Us".

b) Once the web site user selects "Contact Us", they are provided with some Frequently Asked Questions. Under the heading "Registration and Renewal" are eleven topics for the web site user to choose from. Fifth from the top is a topic called "Fees".

c) Once the web site user selects the topic "Fees", they are provided with a list of fees, including the assessment fees for International or Canadian graduates and General Class registration fee.

ii. For fee information pertaining to examinations;

a) On the left side of the web site's home page are eleven sections for a web site user to choose from. Fourth from the top is a section called "Registration".

b) Rolling over "Registration" with the cursor provides the web site user with six additional categories to choose from. Fifth from the top is a category called "For New Applicants".

c) Rolling over "For New Applicants" with the cursor provides the web site user with four additional subcategories to choose from. Third from the top is a subcategory called "Examinations".

d) Once the user selects "Examinations", they are provided with information about the examinations and at the bottom of the information are two links called "RN examination fees, dates and locations" and "RPN examination fees, dates and locations".

Once the web site user selects the link called "RN examination fees, dates and locations", they are provided with the examination fee for applicants hoping to become a Registered Nurse.

Once the web site user selects the link called "RPN examination fees, dates and locations", they are provided with the examination fee for applicants hoping to become a Registered Practical Nurse.

2. In the application packages, the College lists all of the fees an applicant will be required to pay throughout the entire application and registration process.

For the College of Nurses of Ontario

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## **SECTION C: Evaluation of Registration Practices**

### **C1: Information for Applicants**

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

3. Fees are set out in the College Bylaw No. 2, which is available on the College web site, under the section "About CNO".
4. The College provides information pertaining to fees for applicants and intending applicants in person. An applicant that walks into the College can speak with a representative at the Customer Service Desk who will assist them with any information requests. The College may be contacted at:  
101 Davenport Road  
Toronto, Ontario, Canada M5R 3P1
5. The College provides information pertaining to fees for applicants and intending applicants through mail. The College may be contacted at:  
101 Davenport Road  
Toronto, Ontario, Canada M5R 3P1
6. The College provides information pertaining to fees for applicants and intending applicants through e-mail. The College may be emailed directly or be contacted through a tab labelled "Email Us" in the "Contact Us" section on their web site, [www.cno.org](http://www.cno.org).
7. The College provides information pertaining to fees for applicants and intending applicants by telephone and fax. The College may be contacted at:  
Telephone: (416) 928-0900  
Toll Free: 1(800) 563-5847  
Fax: (416) 975-4355  
The College's hours of operation are Monday to Friday, from 8:30 am to 5:00 pm.
8. The College provides information pertaining to fees for applicants and intending applicants at Health Force Ontario information sessions.
9. The College provides information pertaining to fees for applicants and intending applicants at various schools that host job fairs or have student associations related to nursing.



For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

### C1: Information for Applicants

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

##### 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

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

Describe your document review procedure.

To test if the College provides a fee scale, I read the application packages for International Graduates, Canadian Graduates, and Ontario Graduates applying to become either a Registered Nurse or Registered Practical Nurse in the General or Transitional class.

#### Result of the test Instruction

In the application packages for International Graduates, Canadian Graduates, and Ontario Graduates, the applicant is informed of the fees they will have to pay during the registration process and of any other fees that may be involved in their application.

#### Conclusion Instruction

The College provides a fee scale for International Graduates, Canadian Graduates, and Ontario Graduates applying to become either a Registered Nurse or Registered Practical Nurse in the General or Transitional class in the application packages.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure



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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

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

Describe your document review procedure.

I read the Fair Registration Practices Report 2008 to determine if the College provides a fee scale.

#### Result of the test Instruction

The College provides a fee scale. In particular, this question is addressed in sections 1o and 2 of the Report.

#### Conclusion Instruction

The College provides a fee scale in the Fair Registration Practices Report 2008.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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

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

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College provides a fee scale.

#### Result of the test Instruction

Per discussion with the staff member, the College provides a fee scale as described in the process above.

#### Conclusion Instruction

The College provides a fee scale.

#### Recommendation Instruction

C1e-1. On the website, [www.cno.org](http://www.cno.org), once the user selects "Registration", they should be provided with a link to a fee scale that shows all of the fees associated with the registration process from start to finish as well as all of the fees they will have to pay after they become members. This is so persons applying or intending to apply for registration are made aware of all the fees they will encounter throughout the entire registration process in a convenient manner.

Add another interview procedure



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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

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

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the college provides a fee scale.

#### Result of the test Instruction

Per discussion with the staff member, the College provides a fee scale as outlined in the process above.

#### Conclusion Instruction

The College provides a fee scale.

#### Recommendation Instruction

C1e-1. On the website, [www.cno.org](http://www.cno.org), once the user selects "Registration", they should be provided with a link to a fee scale that shows all of the fees associated with the registration process from start to finish as well as all of the fees they will have to pay after they become members. This is so persons applying or intending to apply for registration are made aware of all the fees they will encounter throughout the entire registration process in a convenient manner.

Add another interview procedure

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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

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

Describe your other testing procedure.

The College provides a fee scale through their web site, [www.cno.org](http://www.cno.org).

- On the left side of the web site's homepage are eleven clearly labelled sections for a web site user to choose from. Second from the bottom is a section called "Contact Us".
- Selecting "Contact Us" provides the web site user with eleven FAQs pertaining to registration and renewal. Fifth on the list is an item called "Fees".
- Once the web site user selects "Fees", they are provided with an inclusive fee scale.

#### Result of the test Instruction

The College provides a fee scale through their web site, [www.cno.org](http://www.cno.org).

#### Conclusion Instruction

The College provides a fee scale.

#### Recommendation Instruction

C1e-1. On the web site, [www.cno.org](http://www.cno.org), once the user selects "Registration", they should be provided with a link to a fee scale that shows all of the fees associated with the registration process from start to finish as well as all of the fees they will have to pay after they become members. This is so persons applying or intending to apply for registration are made aware of all the fees they will encounter throughout the entire registration process in a convenient manner.

Add another testing procedure



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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

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

Describe your other testing procedure.

We sent surveys to 100 recently registered members, and asked them the following question:

"Were you able to find information regarding registration fees?"

#### Result of the test Instruction

Of the 100 surveys sent, 21 were returned. Of the 21 returned, all 21 members have indicated that the College provides a fee scale.

#### Conclusion Instruction

The College provides a fee scale.

#### Recommendation Instruction

No recommendation required.

Add another testing procedure

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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.

Does the regulated profession provide information in a clear manner (plain language, user-friendly website, opportunities to speak to knowledgeable staff on the phone, etc.)?

Describe the health regulatory college's process for the question you raised.  
The College provides information in a clear manner, through;

- a) the simple, organized and comprehensive design of the application packages
- b) the support provided by College staff to applicants throughout the application and registration process by meeting face to face with applicants, or responding to questions by telephone or e-mail
- c) the straightforward and well laid-out fact sheets
- d) the simply worded and comprehensive web site, [www.cno.org](http://www.cno.org)

### 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

**C1f. Does the regulated profession provide information in a clear manner (plain language, user-friendly website, opportunities to speak to knowledgeable staff on the phone, etc.)?**

Describe your document review procedure.

To test if the College provides information in a clear manner, I read the application packages for International Graduates, Canadian Graduates, and Ontario Graduates applying to become either a Registered Nurse or Registered Practical Nurse in the General or Transitional class.

#### Result of the test Instruction

The application packages used in the registration process are simply laid out and very organized. Forms and supplementary information within the application packages used language that was clear and understandable.

#### Conclusion Instruction

The College provides information in a clear manner in the application packages.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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

**C1f. Does the regulated profession provide information in a clear manner (plain language, user-friendly website, opportunities to speak to knowledgeable staff on the phone, etc.)?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College provides information in a clear manner.

**Result of the test** **Instruction**

Per discussion with the staff member, the College provides information in a clear manner as described in the process above.

**Conclusion** **Instruction**

The College provides information in a clear manner.

**Recommendation** **Instruction**

C1f-1. The web site needs to be reorganized to become more user friendly so information is more easily accessible to the user.

Add another interview procedure



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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

**C1f. Does the regulated profession provide information in a clear manner (plain language, user-friendly website, opportunities to speak to knowledgeable staff on the phone, etc.)?**

**Interviews of** Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the college provides information in a clear manner.

**Result of the test** Instruction

Per discussion with the staff member, the College provides information in a clear manner as described in the process above.

**Conclusion** Instruction

The College provides information in a clear manner.

**Recommendation** Instruction

C1f-1. The web site needs to be reorganized to become more user friendly so information is more easily accessible to the user.

Add another interview procedure

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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

**C1f. Does the regulated profession provide information in a clear manner (plain language, user-friendly website, opportunities to speak to knowledgeable staff on the phone, etc.)?**

Describe your other testing procedure.

To test if the College provides information in a clear manner I visited their web site, [www.cno.org](http://www.cno.org).

#### Result of the test Instruction

The College web site provides information in plain language that is easy to understand. The web site can be difficult to navigate at times, with certain sections not providing the user with the information they would expect to see in that section.

#### Conclusion Instruction

The College website can be difficult to navigate at times, but uses plain language to provide information in a clear manner.

#### Recommendation Instruction

C1f-1. The web site needs to be reorganized to become more user friendly so information is more easily accessible to the user.

Add another testing procedure



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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

**C1f. Does the regulated profession provide information in a clear manner (plain language, user-friendly website, opportunities to speak to knowledgeable staff on the phone, etc.)?**

Describe your other testing procedure.

We sent surveys to 100 recently registered members, and asked them the following question:

"Was information provided by the College clear and concise (eg. Use of plain language, user-friendly website, opportunities to speak to knowledgeable staff on the phone, etc.)?"

#### Result of the test Instruction

Of the 100 surveys sent, 21 were returned. Of the 21 returned, all 21 members have indicated that the College provides information in a clear and concise manner.

#### Conclusion Instruction

The College provides information in a clear and concise manner.

#### Recommendation Instruction

No recommendation required.

Add another question

Add another testing procedure

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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

At the time of the audit, the College was in the process of renovating the College web site.

No additional comments on section C1.



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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.

Please see PROCESS in TIMELINE below, as there is insufficient space to provide information in this space.

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

☒ Yes ☐ No

Timeline as stated by the health regulatory college

#### PROCESS

##### General Processes

- Ensuring roles and responsibilities of each staff member involved with registration is defined to maintain efficiency of the registration process
- Date stamping documents and logging information received from applicants into the College's internal database to track movement/progress of application
- Ensuring applicant files are organized by date of receipt to maintain efficiency of the registration process

##### College Staff Processes

- Regular communication between College registration staff
- Regular communication between College registration staff and applicant
- Ensuring information is available to make registration decisions:
  - Information from applicant is complete
  - Information to assess application is available
  - Information between College staff is available
- Scheduling and prioritizing tasks

##### Registration Committee Processes

- Regular communication between Registration Committee and College registration staff
- Scheduling and prioritizing agenda items for the Registration Committee meeting

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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?

##### TIMELINES

Although there are no legislated timelines for making a decision regarding an applicant's eligibility for registration, the College follows internal guidelines.

##### REGISTERED NURSE - PROCESS

1) Upon request, the College will send an application package to a prospective applicant to begin the process of registration.

\* The internal timeline for a response to this request is within 5 days; the average timeline for this activity is 1 to 5 days.

2) Upon receipt from the applicant of their completed application package, a Registration Administrator will be assigned to the file. The RA will review the application for registration, Verification of Registration form, Verification of Education form and Transcripts. After the review, the RA will assess the applicant's program.

\* The internal timeline for a decision resulting from an informal review and assessment is within 90 days; however, the average timeline for this activity is between 15 to 90 days.

- Upon receipt of the applicant's application for registration, Verification of Registration form received directly from the regulatory body in the jurisdiction where the applicant completed their initial nursing program, Verification of Education form and Transcripts received directly from the official source (outlining the courses and hours contained in the applicant's program), and the application fee paid in full, the College may begin to review an applicant's application.

- The RA reviews the Verification of Registration form, Verification of Education form and Transcripts and cross-references this information with the information provided by the applicant in their application form to ensure accuracy and consistency. The RA will also ensure that the appropriate signatures, seals and stamps have been applied to the Verification of Registration, Verification of Education forms and envelopes in which they were delivered. Note that the College maintains a repository of seals and stamps from around the world. This repository is frequently updated to ensure currency. If information is inconsistent with the repository of signatures, seals and stamps maintained by the College, the RA will write a letter of clarification to the official source to validate the documentation.

- The RA reviews the Verification of Registration form to determine if the nursing program completed by the applicant is approved or accredited in the jurisdiction where the program is located. The RA also determines what credential was issued to the applicant upon completion of their nursing program.

##### 3A) Baccalaureate is equivalent to Ontario Program

- If the applicant was issued a baccalaureate, the applicant's program is referred to World Education Services (WES) requesting a review of the applicant's credential to determine its equivalence to an Ontario credential.



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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?

- If the baccalaureate issued to the applicant is equivalent to a baccalaureate that is issued at the completion of a currently approved nursing program in Ontario (as determined by WES), then the RA will commence an assessment of the content of the applicant's nursing program. The RA reviews the program to determine whether the appropriate clinical and program hours and theoretical elements are found in the applicant's program, as per Registration Committee (RC) Guidelines.

- If it has been assessed that an applicant's baccalaureate is deemed equivalent to a baccalaureate that is issued at the completion of a currently approved nursing program in Ontario, and all clinical and program hours and theoretical elements are found in the applicant's program, the applicant is deemed eligible to write the examination and must register for the examination.

\* A written response is sent to the applicant indicating that he/she is eligible to write the examination on three occasions and for an unlimited amount of time - this "Status Letter" is sent within 1 day of completion of assessment.

3A.1) If the applicant's program is deemed to be equivalent to an approved Ontario baccalaureate nursing program, the applicant is deemed eligible to write the examination. The applicant registers for the examination and then writes the exam.

- After the applicant writes the exam, he/she is notified of the results.

\* A written response is sent to the applicant indicating pass or fail result - this "Exam Result Letter" is sent within 60 days after the exam is written.

3A.2) Upon successful completion of the examination, the applicant is registered if they have met all outstanding registration requirements

\* The internal timeline for a decision to register an applicant is within 15 days of receipt of initial registration application and fee; the average timeline for this activity is 1 to 15 days.

3B) Baccalaureate is not equivalent to Ontario Program

- If the applicant was not issued a baccalaureate, or

- If the baccalaureate issued to the applicant is not equivalent to a baccalaureate that is issued at the completion of a currently approved nursing program in Ontario (as determined by WES), or

- If it has been assessed that not all of clinical and program hours and theoretical elements are found in the applicant's nursing program, then

the applicant is deemed ineligible to write the examination.

\* A written response is sent to the applicant indicating that he/she is ineligible to write the examination - this "Status Letter" is



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### C2: Timely Decisions, Responses and Reasons

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

sent within 1 day of completion of assessment.

\* A written response is sent to the applicant indicating that the College's initial assessment of their program has indicated that their program is not equivalent to an approved Ontario nurse baccalaureate program. Within the letter, the applicant is provided written reasons as to why their program is not equivalent to an approved Ontario nurse baccalaureate program. Within the letter, the applicant is also informed that he/she may make submissions. The applicant is provided with an opportunity to withdraw their application or have their application reviewed by the Registration Committee – this "Registration Combo letter" is sent at least 30 days prior to a Registration Committee review.

3B.1) If the applicant's program is deemed not to be equivalent to an approved Ontario baccalaureate nursing program, the applicant may decide to withdraw their application OR the applicant may decide to have their matter reviewed by the RC.

\* If the applicant decides to withdraw their application, a written response is sent to the applicant indicating how they can meet the program requirement - this "Letter of Direction" is sent within 15 days of receiving the applicant's intent to withdraw.

\* If the applicant decides to have their matter reviewed by the RC, a written response is sent to the applicant, notifying him/her that their file is being referred to the next available Registration Committee meeting and they may make submissions to the RC - this "Registration Committee Notification Letter" is sent to the applicant at least 30 days prior to the next available Registration Committee meeting.

3B.2) If the applicant decides to have their matter reviewed by the RC, the College provides the applicant with a Baccalaureate Equivalency Table (BET) to complete for submission to the RC.

\* The internal timeline for this activity is within 60 days; the average timeline for this activity is 7 days to 30 days.

- The Baccalaureate Equivalency Table is designed to assist the College's Registration Committee to determine whether an applicant has the Entry to Practice ("ETP") competencies that are comparable to a currently approved baccalaureate nursing program in Ontario.

- Upon completion of the BET, the applicant's application, along with their BET and any additional submissions they have provided are reviewed by the Baccalaureate Equivalency Group (BEWG). The BEWG is composed of nurses and nursing educators, with a significant number of years of experience in nursing. The BEWG reviews applications submitted by Internationally Educated Nurses (IENs) and applicants from other Canadian provinces who may not meet, on initial review, the program requirement. The BEWG's process includes a review of an applicant's initial nursing education, additional nursing education and nursing experience to provide the Registration Committee with an expert analysis for consideration in determining whether the applicant meets the program requirement.

3B.3) The applicant's application is reviewed by the Registration Committee and a decision is made

\* The internal timeline for a Registration Committee review is their next available meeting. Face to face meetings are held on



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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?

average every 41 days.

\* The internal timeline for a Registration Committee decision is within one meeting.

- The applicant's application will be forwarded to the Registration Committee along with the BEWG's information and any additional submissions provided by the applicant. The applicant's application is then reviewed and a decision is made at the Registration Committee meeting.

\* A written response is sent to the applicant, containing the Registration Committee's Order and their Decision and Reasons - this "Registration Committee Orders and Decision" letter is sent to the applicant within 30 days of the RC meeting and making an Order.

3B.4a) If it has been determined at the RC meeting that the applicant has met the program requirements, the applicant is deemed eligible to write the examination. The applicant registers for the examination and then writes the exam.

\* A written response is sent indicating the applicant is exam eligible - this "Exam Eligibility Letter" is sent within 10 days after the RC meeting

- After the applicant writes the exam, he/she is notified of the results.

\* A written response is sent to the applicant indicating pass or fail result - this "Exam Result Letter" is sent within 60 days after the exam is written.

3B.5) Upon successful completion of the examination, the applicant is registered if they have met all outstanding registration requirements

\* The internal timeline for a decision to register an applicant is within 15 days of receipt of initial registration application and fee; the average timeline for this activity is 1 to 15 days.

- If the applicant fails the exam 3 times, the applicant is sent a "Registration Committee Notification Letter".

\* A written response is sent to the applicant providing the reasons that the applicant's application will be referred to the Registration Committee (an applicant is only eligible to write the examination on three occasions), and that they may make submissions to the RC - this "Registration Committee Notification Letter" is sent to the applicant at least 30 days prior to the next available Registration Committee meeting.

- The applicant's matter is reviewed by the Registration Committee and a decision is made

\* The internal timeline for a Registration Committee review is their next available meeting. Face to face meetings are held on average every 41 days.

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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?

\* The internal timeline for a Registration Committee decision is within one meeting.

\* A written response is sent to the applicant, containing the Registration Committee's Order and their Decision and Reasons - this "Registration Committee Orders and Decision" letter is sent to the applicant within 30 days of the RC meeting and making an Order.

3B.4b) If it has been determined at the RC meeting that the applicant has not met the program requirements, the applicant is provided with the opportunity to appeal the Registration Committee's decision to HPARB

\* The Registration Committee's Order and Decision and Reasons is sent to the applicant within 30 days of the meeting, if the applicant is refused or Terms, Conditions or Limitations are applied, the applicant will also be notified that they have a right to appeal the Registration Committee's Order at the Health Professions Appeal and Review Board.

#### REGISTERED PRACTICAL NURSE - PROCESS

1) Upon request, the College will send an application package to a prospective applicant to begin the process of registration.

\* The internal timeline for a response to this request is within 5 days; the average timeline for this activity is 1 to 5 days.

2) Upon receipt from the applicant of their completed application package, a Registration Administrator will be assigned to the file. The RA will review the application for registration, Verification of Registration form, Verification of Education form and Transcripts. After the review, the RA will assess the applicant's program.

\* The internal timeline for a decision resulting from an informal review and assessment is within 90 days; however, the average timeline for this activity is between 15 to 90 days.

- Upon receipt of the applicant's application for registration, Verification of Registration form received directly from the regulatory body in the jurisdiction where the applicant completed their initial nursing program, Verification of Education form and Transcripts received directly from the official source (outlining the courses and hours contained in the applicant's program), and the application fee paid in full, the College may begin to review an applicant's application.

- The RA reviews the Verification of Registration form, Verification of Education form and Transcripts and cross-references this information with the information provided by the applicant in their application form to ensure accuracy and consistency. The RA will also ensure that the appropriate signatures, seals and stamps have been applied to the Verification of Registration, Verification of Education forms and envelopes in which they were delivered. Note that the College maintains a repository of seals and stamps from around the world. This repository is frequently updated to ensure currency. If information is inconsistent with the repository of signatures, seals and stamps maintained by the College, the RA will write a letter of clarification to the official source to validate the documentation.



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### C2: Timely Decisions, Responses and Reasons

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

- The RA reviews the Verification of Registration form to determine if the nursing program completed by the applicant is approved or accredited in the jurisdiction where the program is located. The RA also determines what credential was issued to the applicant upon completion of their nursing program.

##### 3A) Diploma is equivalent to Ontario Program

- If the diploma issued to the applicant is equivalent to a diploma that is issued at the completion of a currently approved nursing program in Ontario, then the RA will commence an assessment of the content of the applicant's nursing program. The RA reviews the program to determine whether the appropriate clinical and program hours and theoretical elements are found in the applicant's program, as per Registration Committee (RC) Guidelines.

- If it has been assessed that an applicant's diploma is deemed equivalent to a diploma that is issued at the completion of a currently approved nursing program in Ontario, and all clinical and program hours and theoretical elements are found in the applicant's program, the applicant is deemed eligible to write the examination and must register for the examination.

\* A written response is sent to the applicant indicating that he/she is eligible to write the examination on three occasions and for an unlimited amount of time - this "Status Letter" is sent within 1 day of completion of assessment.

3A.1) If the applicant's program is deemed to be equivalent to an approved Ontario diploma nursing program, the applicant is deemed eligible to write the examination. The applicant registers for the examination and then writes the exam.

- After the applicant writes the exam, he/she is notified of the results.

\* A written response is sent to the applicant indicating pass or fail result - this "Exam Result Letter" is sent within 60 days after the exam is written.

Note that when an applicant who completes an RN program seeks registration under the RPN category the assessment is the same up to the point of evaluation of content of the program. Once the program content is equivalent to an Ontario RPN diploma, the applicant is sent out an undertaking to confirm that the applicant understands the RPN scope of practice. This undertaking requires that the applicant reads the college's compendium of nursing standards and sign the document to confirm that they have read and understood the standards. When the undertaking is received the applicant is deemed to have met the program requirement and is made examination eligible.

\* The internal timeline for mailout of examination eligibility is within 5 days of receipt of signed undertaking.

3A.2) Upon successful completion of the examination, the applicant is registered if they have met all outstanding registration requirements



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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?

\* The internal timeline for a decision to register an applicant is within 15 days of receipt of initial registration application and fee; the average timeline for this activity is 1 to 15 days.

3B) Diploma is not equivalent to Ontario Program

- If the applicant was not issued a diploma, or

- If the diploma issued to the applicant is not equivalent to a diploma that is issued at the completion of a currently approved nursing program in Ontario, or

- If it has been assessed that not all of clinical and program hours and theoretical elements are found in the applicant's nursing program, then

the applicant is deemed ineligible to write the examination.

\* A written response is sent to the applicant indicating that he/she is ineligible to write the examination - this "Status Letter" is sent within 1 day of completion of assessment.

\* A written response is sent to the applicant indicating that the College's initial assessment of their program has indicated that their program is not equivalent to an approved Ontario nurse diploma program. Within the letter, the applicant is provided written reasons as to why their program is not equivalent to an approved Ontario nurse diploma program. Within the letter, the applicant is also informed that he/she may make submissions. The applicant is provided with an opportunity to withdraw their application or have their application reviewed by the Registration Committee - this "Registration Combo letter" is sent at least 30 days prior to a Registration Committee review.

3B.1) If the applicant's program is deemed not to be equivalent to an approved Ontario diploma nursing program, the applicant may decide to withdraw their application OR the applicant may decide to have their matter reviewed by the RC.

\* If the applicant decides to withdraw their application, a written response is sent to the applicant indicating how they can meet the program requirement - this "Letter of Direction" is sent within 15 days of receiving the applicant's intent to withdraw.

\* If the applicant decides to have their matter reviewed by the RC, a written response is sent to the applicant, notifying him/her that their file is being referred to the next available Registration Committee and they may make submissions to the RC - this "Registration Committee Notification Letter" is sent to the applicant at least 30 days prior to the next available Registration Committee meeting.

3B.2) The applicant's application is reviewed by the Registration Committee and a decision is made

\* The internal timeline for a Registration Committee review is their next available meeting. Face to face meetings are held on average every 41 days.



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### C2: Timely Decisions, Responses and Reasons

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

\* The internal timeline for a Registration Committee decision is within one meeting.

- The applicant's application will be forwarded to the Registration Committee along with any additional submissions provided by the applicant. The applicant's application is then reviewed and a decision is made at the Registration Committee meeting.

\* A written response is sent to the applicant, containing the Registration Committee's Order and their Decision and Reasons - this "Registration Committee Orders and Decision" letter is sent to the applicant within 30 days of the RC meeting and making an Order.

3B.3a) If it has been determined at the RC meeting that the applicant has met the program requirements, the applicant is deemed eligible to write the examination. The applicant registers for the examination and then writes the exam.

\* A written response is sent indicating the applicant is exam eligible - this "Exam Eligibility Letter" is sent 10 days after the RC meeting

- After the applicant writes the exam, he/she is notified of the results.

\* A written response is sent to the applicant indicating pass or fail result - this "Exam Result Letter" is sent within 60 days after the exam is written.

3B.4) Upon successful completion of the examination, the applicant is registered if they have met all outstanding registration requirements

\* The typical timeline for a decision to register an applicant is within 15 days of receipt of initial registration application and fee; the average timeline for this activity is 1 to 15 days.

- If the applicant fails the exam 3 times, the applicant is sent an "Registration Committee Notification Letter".

\* A written response is sent to the applicant providing the reasons that the applicant's application will be referred to the Registration Committee (an applicant is only eligible to write the examination on three occasions), and that they may make submissions to the RC - this "Registration Committee Notification letter" is sent to the applicant at least 30 days prior to the next available Registration Committee meeting.

- The applicant's matter is reviewed by the Registration Committee and a decision is made

\* The internal timeline for a Registration Committee review is their next available meeting. Face to face meetings are held on average every 41 days.

\* The internal timeline for a Registration Committee decision is within one meeting.

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

\* A written response is sent to the applicant, containing the Registration Committee's Order and their Decision and Reasons - this "Registration Committee Orders and Decision" letter is sent to the applicant within 30 days of the RC meeting and making an Order.

3B.3b) If it has been determined at the RC meeting that the applicant has not met the program requirements, the applicant is provided with the opportunity to appeal the Registration Committee's decision to HPARB

\* The Registration Committee's Order and Decision and Reasons is sent to the applicant within 30 days of the meeting, if the applicant is refused or Terms, Conditions or Limitations are applied, the applicant will also be notified that they have a right to appeal the Registration Committee's Order at the Health Professions Appeal and Review Board.

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

This is completed by way of informal communication policy identified at internal registration and customer service meetings.

Process for ensuring adherence to timeline

The use of the College's database ensures adherence to timelines. Reports on applications processed date are run against the data base to ensure the benchmark timelines are achieved.

### 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

**C2a. Does the health regulatory college make registration decisions within a reasonable time?**

**Sample of** Active International RNs & RPNs, Active Canadian RNs & RPNs, Active Ontario RNs & RPNs  
(e.g., international applications)

Population size	Sample size	% of Population
14,640	156	1

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.

The sample of 150 files is composed as follows:

- a) 75% of sample size will be based on international applicants (112)
- b) 12.5% of sample size will be based on Ontario applicants (19)
- c) 12.5% of sample size will be based on Canadian applicants (19)

The sample was further broken down to ensure there was equal representation of RNs and RPNs as follows:

- a) 50% of 75% of international applicants will be RNs (57); the other half will be RPNs (55)
- b) 50% of 12.5% of Ontario applicants will be RNs (10); the other half will be RPNs (9)
- c) 50% of 12.5% of Canadian applicants will be RNs (10); the other half will be RPNs (9)

The sample was further broken down to ensure there was equal representation of: applicants who neither applied nor registered in period, applicants who have applied and registered in period, applicants who have applied in period and applicants who have registered in period as follows:

- a) 25% of 50% of 75% of international RN applicants will be applicants who: neither applied nor registered in period

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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?

(14); applied and registered in period (15); applied in period (14); registered in period (14)

b) 25% of 50% of 75% of international RPN applicants will be applicants who: neither applied nor registered in period (14); applied and registered in period (13); applied in period (14); registered in period (14)

c) 25% of 50% of 12.5% of Ontario RN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (3); registered in period (3)

d) 25% of 50% of 12.5% of Ontario RPN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (2); registered in period (3)

e) 25% of 50% of 12.5% of Canadian RN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (3); registered in period (3)

f) 25% of 50% of 12.5% of Canadian RPN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (2); registered in period (3).

In addition, there were 361 applications that were referred to the Registration Committee. Note that these 361 applications are included in the 14,640 population. Of the 361 applications, 30 had an application date that fell within the audit period. We chose to randomly sample 20% ( $30 \times 20\%$ ) = 6 applications that were referred to the Registration Committee.

As a result, the total sample size is  $150 + 6 = 156$  files.

#### Result of the test Instruction

The decision (resulting from an informal review and assessment) regarding exam eligibility: in 58/59 applicable cases, the decision was made within a reasonable time. In 1/59 applicable cases, the College was not able to make a decision within their internal guideline. In this case, the decision was made 10 days past the 3 month internal deadline.

The decision (resulting from a Registration Committee meeting) regarding exam eligibility: in 7/7 applicable cases, the decision was made within a reasonable time.

The decision (resulting from a Registration Committee meeting) regarding an applicant failing an exam 3 times: in 2/2 applicable cases, the decision was made within a reasonable time.

The decision to register an applicant: in 77/78 applicable cases, the decision was made within a reasonable time. In 1/78 applicable cases, the College was not able to make a decision within their internal guideline. In this case, the



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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?**

decision was made 43 days past the 15 business day internal deadline.

#### Conclusion

Instruction

The College makes registration decisions within a reasonable time.

#### Recommendation

Instruction

No recommendation required.

Add another sampling procedure

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### C2: Timely Decisions, Responses and Reasons

**C2a. Does the health regulatory college make registration decisions within a reasonable time?**

**Interviews of** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member how the College makes registration decisions within a reasonable time.

**Result of the test** **Instruction**

Per discussion with the staff member, the College makes registration decisions within a reasonable time as described in the process above.

**Conclusion** **Instruction**

The College makes registration decisions within a reasonable time.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure



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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.

### C2: Timely Decisions, Responses and Reasons

**C2a. Does the health regulatory college make registration decisions within a reasonable time?**

**Interviews of** Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member how the College makes registration decisions within a reasonable time.

**Result of the test** Instruction

Per discussion with the staff member, the College makes registration decisions within a reasonable time as described in the process above.

**Conclusion** Instruction

The College makes registration decisions within a reasonable time.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

For the College of Nurses of Ontario

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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.

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.

### 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.

Please see PROCESS in TIMELINE below, as there is insufficient space to provide information in this space.

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

☒ Yes ☐ No

Source of timeline (e.g., policy, regulation)  
Legislation, Regulation and Policy

Process for ensuring adherence to timeline

The use of the College's database ensures adherence to timelines. Reports on applications processed date are run against the data base to ensure the benchmark timelines are achieved.

Timeline as stated by the health regulatory college

#### PROCESS

##### General Processes

- Ensuring roles and responsibilities of each staff member involved with registration is defined to maintain efficiency of the registration process
- Date stamping documents and logging information received from applicants into the College's internal database to track movement/progress of application
- Ensuring applicant files are organized by date of receipt to maintain efficiency of the registration process



For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

### C2: Timely Decisions, Responses and Reasons

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

##### College Staff Processes

- a) Regular communication between College registration staff
- b) Regular communication between College registration staff and applicant
- c) Ensuring information is available to give written responses:
  - Information from applicant is complete
  - Information to assess application is available
  - Information between College staff is available
- d) Scheduling and prioritizing tasks

##### Registration Committee Processes

- a) Regular communication between Registration Committee and College registration staff
- b) Scheduling and prioritizing agenda items for the Registration Committee meeting

### TIMELINES

Please refer to the process narratives documented under Section C2a, "TIMELINES".

### 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.

### C2: Timely Decisions, Responses and Reasons

**C2b. Does the health regulatory college give written responses to applicants within a reasonable time?**

**Sample of** Active International RNs & RPNs, Active Canadian RNs & RPNs, Active Ontario RNs & RPNs  
(e.g., international applications)

Population size	Sample size	% of Population
14,640	156	1

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.

The sample of 150 files is composed as follows:

- a) 75% of sample size will be based on international applicants (112)
- b) 12.5% of sample size will be based on Ontario applicants (19)
- c) 12.5% of sample size will be based on Canadian applicants (19)

The sample was further broken down to ensure there was equal representation of RNs and RPNs as follows:

- a) 50% of 75% of international applicants will be RNs (57); the other half will be RPNs (55)
- b) 50% of 12.5% of Ontario applicants will be RNs (10); the other half will be RPNs (9)
- c) 50% of 12.5% of Canadian applicants will be RNs (10); the other half will be RPNs (9)

The sample was further broken down to ensure there was equal representation of: applicants who neither applied nor registered in period, applicants who have applied and registered in period, applicants who have applied in period and applicants who have registered in period as follows:

- a) 25% of 50% of 75% of international RN applicants will be applicants who: neither applied nor registered in period



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## SECTION C: Evaluation of Registration Practices

### C2: Timely Decisions, Responses and Reasons

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

(14); applied and registered in period (15); applied in period (14); registered in period (14)

b) 25% of 50% of 75% of international RPN applicants will be applicants who: neither applied nor registered in period (14); applied and registered in period (13); applied in period (14); registered in period (14)

c) 25% of 50% of 12.5% of Ontario RN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (3); registered in period (3)

d) 25% of 50% of 12.5% of Ontario RPN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (2); registered in period (3)

e) 25% of 50% of 12.5% of Canadian RN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (3); registered in period (3)

f) 25% of 50% of 12.5% of Canadian RPN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (2); registered in period (3).

In addition, there were 361 applications that were referred to the Registration Committee. Note that these 361 applications are included in the 14,640 population. Of the 361 applications, 30 had an application date that fell within the audit period. We chose to randomly sample 20% ( $30 \times 20\%$ ) = 6 applications that were referred to the Registration Committee.

As a result, the total sample size is  $150 + 6 = 156$  files.

#### Result of the test Instruction

Status Letter (exam eligible or exam ineligible): in 42/42 applicable cases, the written response was provided within a reasonable time.

Registration Combo Letter: in 21/21 applicable cases, the written response was provided within a reasonable time.

Letter of Direction (applicant withdraws): in 1/1 applicable cases, the written response was provided within a reasonable time.

Registration Committee Orders and Decision Letter (not exam eligible): in 7/7 applicable cases, the written response was provided within a reasonable time.

Exam Eligibility Letter (Applicant meets program requirements after RC O&D): in 2/2 applicable cases, the written

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## SECTION C: Evaluation of Registration Practices

### C2: Timely Decisions, Responses and Reasons

**C2b. Does the health regulatory college give written responses to applicants within a reasonable time?**

response was provided within a reasonable time.

Registration Committee Notification Letter (applicant fails exam 3 times): in 3/3 applicable cases, the written response was provided within a reasonable time.

Registration Committee Orders and Decisions Letter (applicant fails exam 3 times): in 2/2 applicable cases, the written response was provided within a reasonable time.

Exam Results Letter: in 64/64 applicable cases, the written response was provided within a reasonable time.

#### Conclusion

Instruction

The College gives written responses to applicants within a reasonable time.

#### Recommendation

Instruction

No recommendation required.

Add another sampling procedure



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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.

### C2: Timely Decisions, Responses and Reasons

**C2b. Does the health regulatory college give written responses to applicants within a reasonable time?**

Describe your document review procedure.

I read the Fair Registration Practices Report 2008 to determine if the College provides information on their timelines for responding to applicants in writing.

#### Result of the test Instruction

The College provides information on their timelines for responding to applicants in writing. In particular, this question is addressed in section 3b of the Report.

#### Conclusion Instruction

The College provides information on their timelines for responding to applicants in writing in the Fair Registration Practices Report 2008.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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.

### C2: Timely Decisions, Responses and Reasons

**C2b. Does the health regulatory college give written responses to applicants within a reasonable time?**

**Interviews of** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College gives written responses to applicants within a reasonable time.

**Result of the test** **Instruction**

Per discussion with the staff member, the College gives written responses to applicants within a reasonable time as described in the process above.

**Conclusion** **Instruction**

The College gives written responses to applicants within a reasonable time.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure



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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.

### C2: Timely Decisions, Responses and Reasons

**C2b. Does the health regulatory college give written responses to applicants within a reasonable time?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College gives written responses to applicants within a reasonable time.

**Result of the test** Instruction

Per discussion with the staff member, the College gives written responses to applicants within a reasonable time as described in the process above.

**Conclusion** Instruction

The College gives written responses to applicants within a reasonable time.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

For the College of Nurses of Ontario

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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.

Please see PROCESS in TIMELINE below, as there is insufficient space to provide information in this space.

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  
PROCESS

#### General Processes

- Ensuring roles and responsibilities of each staff member involved with registration is defined to maintain efficiency of the registration process
- Date stamping documents and logging information received from applicants into the College's internal database to track movement/progress of application
- Ensuring applicant files are organized by date of receipt to maintain efficiency of the registration process

#### College Staff Processes

- Regular communication between College registration staff
- Regular communication between College registration staff and applicant
- Ensuring information is available to give written reasons:
  - Information from applicant is complete
  - Information to assess application is available
  - Information between College staff is available
- Scheduling and prioritizing tasks

#### Registration Committee Processes

- Regular communication between Registration Committee and College registration staff



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## SECTION C: Evaluation of Registration Practices

### 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?**

b) Scheduling and prioritizing agenda items for the Registration Committee meeting

#### TIMELINES

Please refer to the process narratives documented under Section C2a, "TIMELINES".

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

Health Professions Procedural Code and Policy

Process for ensuring adherence to timeline

The use of the College's database ensures adherence to timelines. Reports on applications processed date are run against the data base to ensure the benchmark timelines are achieved. In particular, the Manager of Finance and Administration and the Registration Access Coordinator analyze the reports and follow up with Registration Administrators on any discrepancies.

#### 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.

### 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** Active International RNs & RPNs, Active Canadian RNs & RPNs, Active Ontario RNs & RPNs  
(e.g., international applications)

Population size	Sample size	% of Population
14,640	156	1

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.

The sample of 150 files is composed as follows:

- a) 75% of sample size will be based on international applicants (112)
- b) 12.5% of sample size will be based on Ontario applicants (19)
- c) 12.5% of sample size will be based on Canadian applicants (19)

The sample was further broken down to ensure there was equal representation of RNs and RPNs as follows:

- a) 50% of 75% of international applicants will be RNs (57); the other half will be RPNs (55)
- b) 50% of 12.5% of Ontario applicants will be RNs (10); the other half will be RPNs (9)
- c) 50% of 12.5% of Canadian applicants will be RNs (10); the other half will be RPNs (9)

The sample was further broken down to ensure there was equal representation of: applicants who neither applied nor registered in period, applicants who have applied and registered in period, applicants who have applied in period and applicants who have registered in period as follows:

- a) 25% of 50% of 75% of international RN applicants will be applicants who: neither applied nor registered in period (14); applied and registered in period (15); applied in period (14); registered in period (14)



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## SECTION C: Evaluation of Registration Practices

### 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?**

- b) 25% of 50% of 75% of international RPN applicants will be applicants who: neither applied nor registered in period (14); applied and registered in period (13); applied in period (14); registered in period (14)
- c) 25% of 50% of 12.5% of Ontario RN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (3); registered in period (3)
- d) 25% of 50% of 12.5% of Ontario RPN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (2); registered in period (3)
- e) 25% of 50% of 12.5% of Canadian RN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (3); registered in period (3)
- f) 25% of 50% of 12.5% of Canadian RPN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (2); registered in period (3).

In addition, there were 361 applications that were referred to the Registration Committee. Note that these 361 applications are included in the 14,640 population. Of the 361 applications, 30 had an application date that fell within the audit period. We chose to randomly sample 20% ( $30 \times 20\% = 6$ ) applications that were referred to the Registration Committee.

As a result, the total sample size is  $150 + 6 = 156$  files.

#### Result of the test Instruction

Registration Combo Letter: in 21/21 applicable cases, the written reason was provided within a reasonable time.

Registration Committee Orders and Decisions Letter (not exam eligible): in 7/7 applicable cases, the written reason was provided within a reasonable time.

Registration Committee Notification Letter (applicant fails exam 3 times): in 3/3 applicable cases, the written reason was provided within a reasonable time.

Registration Committee Orders and Decisions Letter (applicant fails exam 3 times): in 2/2 applicable cases, the written reason was provided within a reasonable time.

#### Conclusion Instruction

The College gives written reasons to applicants within a reasonable time.

For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

### 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?

**Recommendation**

Instruction

No recommendation required.

Add another sampling procedure



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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.

### 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?**

Describe your document review procedure.

I read the Fair Registration Practices Report 2008 to determine if the College provides information on their timelines for providing written reasons to applicants about all registration decisions, internal reviews and appeal decisions.

#### Result of the test Instruction

The College provides information on their timelines for providing written reasons to applicants about all registration decisions, internal reviews and appeal decisions. In particular, this question is addressed in section 3c of the Report.

#### Conclusion Instruction

The College provides information on their timelines for providing written reasons to applicants about all registration decisions, internal reviews and appeal decisions in the Fair Registration Practices Report 2008.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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.

### 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?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College gives written reasons to applicants within a reasonable time about all registration decisions and internal review or appeal decisions.

**Result of the test** Instruction

Per discussion with the staff member, the College gives written reasons to applicants within a reasonable time about all registration decisions and internal review or appeal decisions as described in the process above.

**Conclusion** Instruction

The College gives written reasons to applicants within a reasonable time about all registration decisions and internal review or appeal decisions.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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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.

### 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?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College gives written reasons to applicants within a reasonable time about all registration decisions and internal review or appeal decisions.

**Result of the test** Instruction

Per discussion with the staff member, the College gives written reasons to applicants within a reasonable time about all registration decisions and internal review or appeal decisions as described in the process above.

**Conclusion** Instruction

The College gives written reasons to applicants within a reasonable time about all registration decisions and internal review or appeal decisions.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

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.

Does the regulated profession have a process in place to establish and re-evaluate timelines for providing decisions, responses and reasons?

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

Please see PROCESS in TIMELINE below, as there is insufficient space to provide information in this space.

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

Establishing and re-evaluating timelines for decisions, responses and reasons is an ongoing project within the College. For example, the College staff are continuously working with the database to determine the timeliness of providing decisions, responses and reasons. From information provided by the database, the College may manage files in certain ways that lead to efficiencies and timeliness.

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

No formal source of timelines

Process for ensuring adherence to timeline

There is no formal process for ensuring adherence to timelines. Rather, the registration staff is constantly reviewing their data to determine how to provide decisions, responses and reasons in a more timely fashion.



For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

### C2: Timely Decisions, Responses and Reasons

**C2d. Type your additional question here.**

C2d. Does the regulated profession have a process in place to establish and re-evaluate timelines for providing decisions, responses and reasons?

#### 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.

### C2: Timely Decisions, Responses and Reasons

**C2d. Does the regulated profession have a process in place to establish and re-evaluate timelines for providing decisions, responses and reasons?**

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



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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.

### C2: Timely Decisions, Responses and Reasons

**C2d. Does the regulated profession have a process in place to establish and re-evaluate timelines for providing decisions, responses and reasons?**

**Interviews of** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College establishes and re-evaluates timelines for providing decisions, responses and reasons.

**Result of the test** Instruction

Per discussion with the staff member, the College establishes and re-evaluates timelines for providing decisions, responses and reasons as described in the process above.

**Conclusion** Instruction

The College establishes and re-evaluates timelines for providing decisions, responses and reasons

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

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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.

### C2: Timely Decisions, Responses and Reasons

**C2d. Does the regulated profession have a process in place to establish and re-evaluate timelines for providing decisions, responses and reasons?**

**Interviews of** Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College establishes and re-evaluates timelines for providing decisions, responses and reasons.

**Result of the test** **Instruction**

Per discussion with the staff member, the College establishes and re-evaluates timelines for providing decisions, responses and reasons as described in the process above.

**Conclusion** **Instruction**

The College establishes and re-evaluates timelines for providing decisions, responses and reasons

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure



For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

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.

Does the regulated profession attempt to improve the timelines of its decisions, responses and reasons?

Describe the health regulatory college's process for acting within a reasonable time about the question you raised.

Please see PROCESS in TIMELINE below, as there is insufficient space to provide information in this space.

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

Attempting to improve the timelines for decisions, responses and reasons is an ongoing project within the College. For example, the College staff are continuously working with the database to determine the timeliness of providing decisions, responses and reasons. From information provided by the database, the College may manage files in certain ways that can lead to efficiencies and timeliness.

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

No formal source of timelines.

Process for ensuring adherence to timeline

There is no formal process for ensuring adherence to timelines. Rather, the College is constantly reviewing their data to determine how to provide decisions, responses and reasons in a more timely fashion.

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## SECTION C: Evaluation of Registration Practices

### C2: Timely Decisions, Responses and Reasons

**C2d. Type your additional question here.**

C2d. Does the regulated profession attempt to improve the timelines of its decisions, responses and reasons?

#### 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.

### C2: Timely Decisions, Responses and Reasons

**C2d. Does the regulated profession attempt to improve the timelines of its decisions, responses and reasons?**

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

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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.

### C2: Timely Decisions, Responses and Reasons

**C2d. Does the regulated profession attempt to improve the timelines of its decisions, responses and reasons?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College attempts to improve the timelines of its decisions, responses and reasons.

**Result of the test** Instruction

Per discussion with the staff member, the College attempts to improve the timelines of its decisions, responses and reasons.

**Conclusion** Instruction

The College attempts to improve the timelines of its decisions, responses and reasons.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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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.

### C2: Timely Decisions, Responses and Reasons

**C2d. Does the regulated profession attempt to improve the timelines of its decisions, responses and reasons?**

**Interviews of** Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College attempts to improve the timelines of its decisions, responses and reasons.

**Result of the test** **Instruction**

Per discussion with the staff member, the College attempts to improve the timelines of its decisions, responses and reasons.

**Conclusion** **Instruction**

The College attempts to improve the timelines of its decisions, responses and reasons.

**Recommendation** **Instruction**

No recommendation required.

Add another question

Add another interview procedure

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### C2: Timely Decisions, Responses and Reasons

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

The College is undergoing database and process enhancements to improve timeliness of decisions, reasons and responses. Currently each requirement has different status values per applicant ranging from “receipt of a document” to “completed”. Also an application goes through stages in processing from “assessment”, “examination eligible”, “registration eligible” etc. The College has been working on database enhancements that will allow the College to attach dates to these value and status changes and extract meaningful reports for tracking. The College worked in 2008 on re-engineering the assessment process and has begun the piloting of the changed process. The College should be seeing the benefits of these changes in the second half of 2010.

No additional comments on section C2.



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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.

Please see PROCESS in TIMELINE below, as there is insufficient space to provide information in this space.

Timeline as stated by the health regulatory college

#### PROCESS

When the College has received all required documents and it has been determined that the applicant does not meet all the registration requirements, the College provides the applicant with a Notice of Intention letter. This letter informs the applicant that their application is being referred to the next available Registration Committee meeting.

#### TIMELINES

Please refer to the process narratives documented under Section C2a, "TIMELINES".

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

Process for ensuring adherence to timeline

A summary sheet documenting the contents of an applicant's file is kept in the applicant's file. This assists the Registration Administrators in keeping track of an applicant's progress through the registration process. In addition, it

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## SECTION C: Evaluation of Registration Practices

### 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?

assists the Registration Administrator in preparing a referral profile for the Registration Committee meetings. These referral profiles are circulated to Registration Committee members in advance of the meetings.

Registration Committee meetings and teleconferences are held regularly throughout the year. Note that it generally takes one Registration Committee meeting to make a decision. Once a consensus about the decision has been made by the Registration Committee, the decision is drafted by the Registration Administrator, reviewed by the Manager of Finance and Administration or by the Registration Access Coordinator, and then signed by the Chair of the 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

**C3a. Does the health regulatory college provide an internal review or appeal from its registration decisions within a reasonable time?**

**Sample of** Active International RNs & RPNs, Active Canadian RNs & RPNs, Active Ontario RNs & RPNs  
(e.g., international applications)

Population size	Sample size	% of Population
14,640	156	1

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.

The sample of 150 files is composed as follows:

- a) 75% of sample size will be based on international applicants (112)
- b) 12.5% of sample size will be based on Ontario applicants (19)
- c) 12.5% of sample size will be based on Canadian applicants (19)

The sample was further broken down to ensure there was equal representation of RNs and RPNs as follows:

- a) 50% of 75% of international applicants will be RNs (57); the other half will be RPNs (55)
- b) 50% of 12.5% of Ontario applicants will be RNs (10); the other half will be RPNs (9)
- c) 50% of 12.5% of Canadian applicants will be RNs (10); the other half will be RPNs (9)

The sample was further broken down to ensure there was equal representation of: applicants who neither applied nor registered in period, applicants who have applied and registered in period, applicants who have applied in period and applicants who have registered in period as follows:

- a) 25% of 50% of 75% of international RN applicants will be applicants who: neither applied nor registered in period

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## SECTION C: Evaluation of Registration Practices

### 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?**

(14); applied and registered in period (15); applied in period (14); registered in period (14)

b) 25% of 50% of 75% of international RPN applicants will be applicants who: neither applied nor registered in period (14); applied and registered in period (13); applied in period (14); registered in period (14)

c) 25% of 50% of 12.5% of Ontario RN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (3); registered in period (3)

d) 25% of 50% of 12.5% of Ontario RPN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (2); registered in period (3)

e) 25% of 50% of 12.5% of Canadian RN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (3); registered in period (3)

f) 25% of 50% of 12.5% of Canadian RPN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (2); registered in period (3).

In addition, there were 361 applications that were referred to the Registration Committee. Note that these 361 applications are included in the 14,640 population. Of the 361 applications, 30 had an application date that fell within the audit period. We chose to randomly sample 20% ( $30 \times 20\%$ ) = 6 applications that were referred to the Registration Committee.

As a result, the total sample size is  $150 + 6 = 156$  files.

### Result of the test Instruction

Where an applicant was determined to be not exam eligible, an internal review was provided within a reasonable time in 6/6 applicable cases.

### Conclusion Instruction

The College provides an internal review from its registration decisions within a reasonable time.

### Recommendation Instruction

No recommendation required.



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## SECTION C: Evaluation of Registration Practices

### 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?

Add another sampling procedure

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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?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College provides an internal review or appeal from its registration decisions within a reasonable time.

**Result of the test** Instruction

Per discussion with the staff member, the College provides an internal review or appeal from its registration decisions within a reasonable time as described in the process above.

**Conclusion** Instruction

The College provides an internal review or appeal from its registration decisions within a reasonable time.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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

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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.

#### PROCESS

When the College has received all required documents and it has been determined that the applicant does not meet all the registration requirements, the College provides the applicant with a Notice of Intention letter. This letter informs the applicant that their application is being referred to the next available Registration Committee meeting.

#### TIMELINES

Please refer to the process narratives documented under Section C2a, "TIMELINES".

### 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.

### 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?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College provides an internal review or appeal from its registration decisions within a reasonable time.

**Result of the test** **Instruction**

Per discussion with the staff member, the College provides an internal review or appeal from its registration decisions within a reasonable time as described in the process above.

**Conclusion** **Instruction**

The College provides an internal review or appeal from its registration decisions within a reasonable time.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure



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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.

### 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?**

**Sample of** Active International RNs & RPNs, Active Canadian RNs & RPNs, Active Ontario RNs & RPNs  
(e.g., international applications)

Population size	Sample size	% of Population
14,640	156	1

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.

The sample of 150 files is composed as follows:

- a) 75% of sample size will be based on international applicants (112)
- b) 12.5% of sample size will be based on Ontario applicants (19)
- c) 12.5% of sample size will be based on Canadian applicants (19)

The sample was further broken down to ensure there was equal representation of RNs and RPNs as follows:

- a) 50% of 75% of international applicants will be RNs (57); the other half will be RPNs (55)
- b) 50% of 12.5% of Ontario applicants will be RNs (10); the other half will be RPNs (9)
- c) 50% of 12.5% of Canadian applicants will be RNs (10); the other half will be RPNs (9)

The sample was further broken down to ensure there was equal representation of: applicants who neither applied nor registered in period, applicants who have applied and registered in period, applicants who have applied in period and applicants who have registered in period as follows:

- a) 25% of 50% of 75% of international RN applicants will be applicants who: neither applied nor registered in period

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## SECTION C: Evaluation of Registration Practices

### 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?**

(14); applied and registered in period (15); applied in period (14); registered in period (14)

b) 25% of 50% of 75% of international RPN applicants will be applicants who: neither applied nor registered in period (14); applied and registered in period (13); applied in period (14); registered in period (14)

c) 25% of 50% of 12.5% of Ontario RN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (3); registered in period (3)

d) 25% of 50% of 12.5% of Ontario RPN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (2); registered in period (3)

e) 25% of 50% of 12.5% of Canadian RN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (3); registered in period (3)

f) 25% of 50% of 12.5% of Canadian RPN applicants will be applicants who: neither applied nor registered in period (2); applied and registered in period (2); applied in period (2); registered in period (3).

In addition, there were 361 applications that were referred to the Registration Committee. Note that these 361 applications are included in the 14,640 population. Of the 361 applications, 30 had an application date that fell within the audit period. We chose to randomly sample 20% ( $30 \times 20\%$ ) = 6 applications that were referred to the Registration Committee.

As a result, the total sample size is  $150 + 6 = 156$  files.

#### Result of the test Instruction

Registration Combo Letter (where an applicant was determined to be not exam eligible): the College provided the applicant with the opportunity to make additional submissions in 19/19 applicable cases.

Registration Committee Notification Letter (applicant fails exam 3 times): the College provided the applicant with the opportunity to make additional submissions in 1/1 applicable case.

#### Conclusion Instruction

The College provides applicants with the opportunity to make additional submissions.



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## SECTION C: Evaluation of Registration Practices

### 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?**

**Recommendation**

Instruction

No recommendation required.

Add another sampling procedure

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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?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College gives applicants for registration the opportunity to make oral, written or electronic submissions about any internal review or appeal.

### Result of the test Instruction

Per discussion with the staff member, the College gives applicants for registration the opportunity to make written or electronic submissions about any internal review as described in the process above.

### Conclusion Instruction

The College gives applicants for registration the opportunity to make written or electronic submissions about any internal review.

### Recommendation Instruction

No recommendation required.

Add another interview procedure



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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.

### 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?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College gives applicants for registration the opportunity to make oral, written or electronic submissions about any internal review or appeal.

**Result of the test** Instruction

Per discussion with the staff member, the College gives applicants for registration the opportunity to make written or electronic submissions about any internal review as described in the process above.

**Conclusion** Instruction

The College gives applicants for registration the opportunity to make written or electronic submissions about any internal review.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

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## SECTION C: Evaluation of Registration Practices

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.**

Does the regulated profession have a review and/or appeal process which is codified and refers to developed criteria to make sure review or appeal decisions are made as objectively as possible?

### C3: Internal Review or Appeal

**C3c. Type your additional question here.**

C3c. Does the regulated profession have a review and/or appeal process which is codified and refers to developed criteria to make sure review or appeal decisions are made as objectively as possible?

### C3: Internal Review or Appeal

**C3c. Type your additional question here.**

C3c. Does the regulated profession have a review and/or appeal process which is codified and refers to developed criteria to make sure review or appeal decisions are made as objectively as possible?

### C3: Internal Review or Appeal

**C3c. Type your additional question here.**

C3c. Does the regulated profession have a review and/or appeal process which is codified and refers to developed criteria to make sure review or appeal decisions are made as objectively as possible?

### C3: Internal Review or Appeal

**C3c. Type your additional question here.**

C3c. Does the regulated profession have a review and/or appeal process which is codified and refers to developed criteria to make sure review or appeal decisions are made as objectively as possible?



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### C3: Internal Review or Appeal

**C3c. Type your additional question here.**

C3c. Does the regulated profession have a review and/or appeal process which is codified and refers to developed criteria to make sure review or appeal decisions are made as objectively as possible?

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

The College has a review process that is codified and refers to developed criteria to make sure review decisions are made as objectively as possible.

An internal review is provided when it has been determined that the applicant does not meet all the registration requirements, as outlined in Ontario Regulations 275/94.

The College's Baccalaureate Equivalency Work Group (BEWG) prepares a standardized document to assist the Registration Committee in making assessments of qualifications during their internal review.

Registration Committee members perform an internal review based on referral profiles prepared by the Registration Administrators. The referral profiles summarize an applicant's information and refers to registration requirements, as outlined in Ontario Regulations 275/94.

In addition, the Registration Committee members perform their duties based on training provided within the Registration Committee Administrative Manual.

### 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

**C3c. Does the regulated profession have a review and/or appeal process which is codified and refers to developed criteria to make sure review or appeal decisions are made as objectively as possible?**

Describe your document review procedure.

I reviewed some referral profiles prepared during the audit period to determine if the College has a review process that is codified, and refers to developed criteria to ensure review decisions are made as objectively as possible.

#### Result of the test Instruction

Referral profiles refer to developed criteria (Ontario Regulation 275/94) to ensure review decisions are made as objectively as possible.

#### Conclusion Instruction

The College has a review process that is codified, and refers to developed criteria to ensure review decisions are made as objectively as possible.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure



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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.

### C3: Internal Review or Appeal

**C3c. Does the regulated profession have a review and/or appeal process which is codified and refers to developed criteria to make sure review or appeal decisions are made as objectively as possible?**

**Interviews of** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College ensures the review or appeal decisions are made as objectively as possible.

**Result of the test** Instruction

Per discussion with the staff member, the College ensures the review decisions are made as objectively as possible as described in the process above.

**Conclusion** Instruction

The College ensures the review decisions are made as objectively as possible.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

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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.

### C3: Internal Review or Appeal

**C3c. Does the regulated profession have a review and/or appeal process which is codified and refers to developed criteria to make sure review or appeal decisions are made as objectively as possible?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College ensures the review or appeal decisions are made as objectively as possible.

**Result of the test** Instruction

Per discussion with the staff member, the College ensures the review decisions are made as objectively as possible as described in the process above.

**Conclusion** Instruction

The College ensures the review decisions are made as objectively as possible.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

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.

Does the Registration Committee meet on a regular basis to provide an internal review?

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

The Registration Committee meets on a regular basis to provide an internal review in person and by teleconference.

The Registration Administrator sets 6 to 8 meetings in advance, to ensure rooms are available for the meeting.

### 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.

### C3: Internal Review or Appeal

#### C3c. Does the Registration Committee meet on a regular basis to provide an internal review?

Describe your document review procedure.

I requested to see the Registration Committee meeting minutes held during the audit period to determine if the Registration Committee meets on a regular basis to provide an internal review or appeal.

#### Result of the test Instruction

The Registration Committee held nine meetings throughout the audit period.

#### Conclusion Instruction

The Registration Committee meets on a regular basis to provide an internal review.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure



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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.

### C3: Internal Review or Appeal

#### C3c. Does the Registration Committee meet on a regular basis to provide an internal review?

Describe your document review procedure.

I requested to see the Registration Committee teleconference meeting minutes held during the audit period to determine if the Registration Committee meets on a regular basis to provide an internal review or appeal.

#### Result of the test Instruction

The Registration Committee held eleven teleconference meetings throughout the audit period.

#### Conclusion Instruction

The Registration Committee meets on a regular basis to provide an internal review.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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.

### C3: Internal Review or Appeal

#### C3c. Does the Registration Committee meet on a regular basis to provide an internal review?

Describe your document review procedure.

No other document review procedure performed.

**Result of the test** Instruction

N/A - No other document review procedure performed.

**Conclusion** Instruction

N/A - No other document review procedure performed.

**Recommendation** Instruction

N/A - No other document review procedure performed.

Add another document review procedure



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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.

### C3: Internal Review or Appeal

#### C3c. Does the Registration Committee meet on a regular basis to provide an internal review?

**Interviews of** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the Registration Committee meets on a regular basis to provide an internal review or appeal.

#### Result of the test Instruction

Per discussion with the staff member, the Registration Committee meets on a regular basis to provide an internal review or appeal.

#### Conclusion Instruction

The Registration Committee meets on a regular basis to provide an internal review or appeal.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure

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## SECTION C: Evaluation of Registration Practices

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### C3: Internal Review or Appeal

**C3c. Does the Registration Committee meet on a regular basis to provide an internal review?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the Registration Committee meets on a regular basis to provide an internal review or appeal.

**Result of the test** Instruction

Per discussion with the staff member, the Registration Committee meets on a regular basis to provide an internal review or appeal.

**Conclusion** Instruction

The Registration Committee meets on a regular basis to provide an internal review or appeal.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

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.**

Can an applicant receive additional time to make submissions before the Registration Committee provides an internal review?

### C3: Internal Review or Appeal

**C3c. Type your additional question here.**

C3c. Can an applicant receive additional time to make submissions before the Registration Committee provides an internal review?

### C3: Internal Review or Appeal

**C3c. Type your additional question here.**

C3c. Can an applicant receive additional time to make submissions before the Registration Committee provides an internal review?

### C3: Internal Review or Appeal

**C3c. Type your additional question here.**

C3c. Can an applicant receive additional time to make submissions before the Registration Committee provides an internal review?

### C3: Internal Review or Appeal

**C3c. Type your additional question here.**

C3c. Can an applicant receive additional time to make submissions before the Registration Committee provides an internal review?

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

The College gives applicants additional time to make submissions before the Registration Committee provides an

For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

### C3: Internal Review or Appeal

**C3c. Type your additional question here.**

C3c. Can an applicant receive additional time to make submissions before the Registration Committee provides an internal review?

internal review.

An applicant is provided an opportunity to make written submissions when her/his file is before the Registration Committee. When an applicant requires additional time s/he can make the request in writing or over the phone/email and the Registration Assessor (RA) responds. All extensions requests are granted and the RA works with the applicant to the point of referral to 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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## 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.

### C3: Internal Review or Appeal

#### C3c. Can an applicant receive additional time to make submissions before the Registration Committee provides an internal review?

Describe your document review procedure.

I read the Fair Registration Practices Report 2008 to determine if an applicant can receive additional time to make submissions before the Registration Committee provides an internal review.

#### Result of the test Instruction

An applicant can receive additional time to make submissions before the Registration Committee provides an internal review. This question is addressed in section 6a(i) of the Report.

#### Conclusion Instruction

An applicant can receive additional time to make submissions before the Registration Committee provides an internal review.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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.

### C3: Internal Review or Appeal

**C3c. Can an applicant receive additional time to make submissions before the Registration Committee provides an internal review?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if an applicant can receive additional time to make submissions before the Registration Committee provides an internal review.

**Result of the test** Instruction

Per discussion with the staff member, an applicant can receive additional time to make submissions before the Registration Committee provides an internal review.

**Conclusion** Instruction

An applicant can receive additional time to make submissions before the Registration Committee provides an internal review.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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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.

### C3: Internal Review or Appeal

**C3c. Can an applicant receive additional time to make submissions before the Registration Committee provides an internal review?**

**Interviews of** Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if an applicant can receive additional time to make submissions before the Registration Committee provides an internal review.

**Result of the test** Instruction

Per discussion with the staff member, an applicant can receive additional time to make submissions before the Registration Committee provides an internal review.

**Conclusion** Instruction

An applicant can receive additional time to make submissions before the Registration Committee provides an internal review.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

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## SECTION C: Evaluation of Registration Practices

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.

Can an applicant request to waive the 30 day notice period and have their matter reviewed by the Registration Committee at the next regularly scheduled Registration Committee meeting?

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

The College allows an applicant to request to waive the 30 day notice period and have their matter reviewed by the Registration Committee at the next regularly scheduled Registration Committee meeting.

An applicant may consent to a reduced notice period if the applicant prefers the existing file to be presented to the Registration Committee as complete. However, the College must obtain a written waiver of the 30 day notice.

The written waiver is received by the Registration Assessor and on receipt of this written document, the file is referred to Registration Committee within 30 days. The Registration Assessor supports the applicant through the referral 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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## 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.

### C3: Internal Review or Appeal

**C3c. Can an applicant request to waive the 30 day notice period and have their matter reviewed by the Registration Committee at the next regularly scheduled Registration Committee meeting?**

Describe your document review procedure.

I read the Fair Registration Practices Report 2008 to determine if an applicant can request to waive the 30 day notice period and have their matter reviewed by the Registration Committee at the next regularly scheduled Registration Committee meeting.

#### Result of the test Instruction

An applicant can request to waive the 30 day notice period and have their matter reviewed by the Registration Committee at the next regularly scheduled Registration Committee meeting. This question is addressed in section 6a (i) of the Report.

#### Conclusion Instruction

An applicant can request to waive the 30 day notice period and have their matter reviewed by the Registration Committee at the next regularly scheduled Registration Committee meeting.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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.

### C3: Internal Review or Appeal

**C3c. Can an applicant request to waive the 30 day notice period and have their matter reviewed by the Registration Committee at the next regularly scheduled Registration Committee meeting?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if an applicant can request to waive the 30 day notice period and have their matter reviewed by the Registration Committee at the next regularly scheduled Registration Committee meeting.

**Result of the test** Instruction

An applicant can request to waive the 30 day notice period and have their matter reviewed by the Registration Committee at the next regularly scheduled Registration Committee meeting as described in the process above.

**Conclusion** Instruction

An applicant can request to waive the 30 day notice period and have their matter reviewed by the Registration Committee at the next regularly scheduled Registration Committee meeting.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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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.

### C3: Internal Review or Appeal

**C3c. Can an applicant request to waive the 30 day notice period and have their matter reviewed by the Registration Committee at the next regularly scheduled Registration Committee meeting?**

**Interviews of** Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if an applicant can request to waive the 30 day notice period and have their matter reviewed by the Registration Committee at the next regularly scheduled Registration Committee meeting.

**Result of the test** Instruction

An applicant can request to waive the 30 day notice period and have their matter reviewed by the Registration Committee at the next regularly scheduled Registration Committee meeting as described in the process above.

**Conclusion** Instruction

An applicant can request to waive the 30 day notice period and have their matter reviewed by the Registration Committee at the next regularly scheduled Registration Committee meeting.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

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.

Does the College provide one-on-one assistance to an applicant who is undergoing an internal review?

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

Once an application is received by the College, the applicant is assigned to a Registration Administrator who will oversee their file throughout their registration process. When it has been determined that the applicant does not meet all the registration requirements, the College provides the applicant with a Notice of Intention letter. This letter includes their assigned Registration Administrator's name and e-mail address if they have any questions or require further clarification. The Registration Administrator will prepare a referral profile to be presented to the Registration Committee, including the applicant's written submissions.

### 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.

### C3: Internal Review or Appeal

#### C3c. Does the College provide one-on-one assistance to an applicant who is undergoing an internal review?

Describe your document review procedure.

I read the Fair Registration Practices Report 2008 to determine if the College provides the opportunity for one-on-one assistance to an applicant who is undergoing an internal review.

#### Result of the test Instruction

The College provides the opportunity for one-on-one assistance to an applicant who is undergoing an internal review. This question is addressed in section 6c of the Report.

#### Conclusion Instruction

The College provides the opportunity for one-on-one assistance to an applicant who is undergoing an internal review.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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.

### C3: Internal Review or Appeal

#### C3c. Does the College provide one-on-one assistance to an applicant who is undergoing an internal review?

Describe your document review procedure.

During my sampling, I read some Notice of Intention letters to determine if the College provides the opportunity for one-on-one assistance to an applicant who is undergoing an internal review.

#### Result of the test Instruction

The College provides applicants an opportunity to contact their designated Registration Administrator for one-on-one assistance.

#### Conclusion Instruction

The College provides the opportunity for one-on-one assistance to applicants who are undergoing an internal review.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure



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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.

### C3: Internal Review or Appeal

**C3c. Does the College provide one-on-one assistance to an applicant who is undergoing an internal review?**

**Interviews of** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College provides the opportunity for one-on-one assistance to an applicant who is undergoing an internal review.

**Result of the test** Instruction

The College provides an opportunity for one-on-one assistance to an applicant who is undergoing an internal review as described in the process above.

**Conclusion** Instruction

The College provides an opportunity for one-on-one assistance to an applicant who is undergoing an internal review.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

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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.

### C3: Internal Review or Appeal

**C3c. Does the College provide one-on-one assistance to an applicant who is undergoing an internal review?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College provides the opportunity for one-on-one assistance to an applicant who is undergoing an internal review.

#### Result of the test Instruction

The College provides an opportunity for one-on-one assistance to an applicant who is undergoing an internal review as described in the process above.

#### Conclusion Instruction

The College provides an opportunity for one-on-one assistance to an applicant who is undergoing an internal review.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure



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## SECTION C: Evaluation of Registration Practices

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.

Do members of the Registration Committee declare any conflicts of interest before providing an internal review?

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

Registration Committee members must declare any conflicts of interest before providing an internal review. When a conflict of interest has been declared, the Registration Committee member who made the declaration leaves the room prior to the discussion proceeding. In addition, the Registration Committee member's name is not recorded on the subsequent reasons and decisions provided to the applicant.

Note that training is provided on how to identify conflicts of interest.

### 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

**C3c. Do members of the Registration Committee declare any conflicts of interest before providing an internal review?**

Describe your document review procedure.

To test if Registration Committee members declare any conflicts of interest before providing an internal review, I reviewed at random, minutes of one Registration Committee meeting held during the audit period.

#### Result of the test Instruction

I reviewed at random, minutes of one Registration Committee meeting held during the audit period. In my review, I looked to ensure that there were either (a) no conflicts of interest declared or (b) if there were conflicts of interest declared, that there was documentation that the Registration Committee member who declared the conflict of interest was not present for that portion of the meeting.

#### Conclusion Instruction

There were no occasions where a conflict of interest was declared.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure



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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.

### C3: Internal Review or Appeal

**C3c. Do members of the Registration Committee declare any conflicts of interest before providing an internal review?**

**Interviews of** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if members of the Registration Committee declare any conflicts of interest before providing an internal review.

**Result of the test** Instruction

Members of the Registration Committee declare conflicts of interest before providing an internal review as described in the process above.

**Conclusion** Instruction

Members of the Registration Committee declare conflicts of interest before providing an internal review.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

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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.

### C3: Internal Review or Appeal

**C3c. Do members of the Registration Committee declare any conflicts of interest before providing an internal review?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if members of the Registration Committee declare any conflicts of interest before providing an internal review.

**Result of the test** Instruction

Members of the Registration Committee declare conflicts of interest before providing an internal review as described in the process above.

**Conclusion** Instruction

Members of the Registration Committee declare conflicts of interest before providing an internal review.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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## SECTION C: Evaluation of Registration Practices

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.

No additional questions for section C3.

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

N/A - No additional questions for section C3.

### 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

No additional comments on section C3.



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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.

Applicants may appeal a Registration Committee's decision to the Health Professions Appeal and Review Board (HPARB). Within 30 days of the Registration Committee meeting date, the applicant receives a Notice of Order letter, which provides information on their right to appeal the Registration Committee's decision to HPARB.

In particular, the letter states: "in accordance with the Regulated Health Professions Act, they have the right to require the Health Professions Appeal and Review Board ("Board") to hold a review of their application and the documentary evidence in support of it, or a hearing of their application."

### 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.

I read the Fair Registration Practices Report 2008 to determine if the College informs applicants of any rights they may have to request a review of, or appeal from, a registration decision.

#### Result of the test Instruction

The College informs applicants of any rights they may have to request a review of, or appeal from, a registration decision. In particular, this question is addressed in section 7 of the Report.

#### Conclusion Instruction

The College informs applicants of any rights they may have to request a review of, or appeal from, a registration decision.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure



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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?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College informs applicants of any rights they may have to request a further review of, or appeal from, a registration decision.

### Result of the test Instruction

Per discussion with the staff member, the College informs applicants of any rights they may have to request a further review of, or appeal from, a registration decision as described in the process above.

### Conclusion Instruction

The College informs applicants of any rights they may have to request a further review of, or appeal from, a registration decision.

### Recommendation Instruction

No recommendation required.

Add another interview procedure

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## SECTION C: Evaluation of Registration Practices

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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?**

**Interviews of** Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College informs applicants of any rights they may have to request a further review of, or appeal from, a registration decision.

**Result of the test** **Instruction**

Per discussion with the staff member, the College informs applicants of any rights they may have to request a further review of, or appeal from, a registration decision as described in the process above.

**Conclusion** **Instruction**

The College informs applicants of any rights they may have to request a further review of, or appeal from, a registration decision.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure



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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 Executive Director determines whether the applicant has met the registration requirements. If the applicant is determined not to have met the registration requirements, the application is referred to the Registration Committee. The Executive Director is not a member of the Registration Committee.

The Registration Committee is composed of: 3 elected councillors, two of whom were elected RN councillors and one of whom was an elected RPN councillor; four public councillors; and two elected committee members, one of whom was an elected RN committee member and one of whom was an elected RPN committee member. An applicant may appeal the Registration Committee's decision to HPARB.

HPARB is an external party. Therefore, no concern exists that the same people are involved in both decision-making processes.

### 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.

I reviewed the minutes of the Registration Committee meetings held during the audit period to determine if the Executive Director participated in the internal reviews.

#### Result of the test Instruction

I reviewed all nine minutes of the Registration Committee meetings held during the audit period. In particular, I scanned the attendance section (broken down by: committee members, staff, regrets and on invitation) for the Executive Director's name. The Executive Director was not in attendance of any Registration Committee meeting held during the audit period per review of the minutes.

#### Conclusion Instruction

The Executive Director does not participate in the internal reviews.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure



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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.

I read the Fair Registration Practices Report 2008 to determine if decision-makers in internal reviews or appeals are different from those who made the original registration decision.

#### Result of the test Instruction

Decision-makers in internal reviews or appeals are different from those who made the original registration decision. In particular, this question is addressed in section 6d of the Report.

#### Conclusion Instruction

Decision-makers in internal reviews or appeals are different from those who made the original registration decision.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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?**

Interviews of Senior Corporate Services staff member  
(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College ensures decision-makers in internal review or appeals are different from those who made the original registration decision.

**Result of the test** **Instruction**

Per discussion with the staff member, the College ensures decision-makers in internal review or appeals are different from those who made the original registration decision as described in the process above.

**Conclusion** **Instruction**

The College ensures decision-makers in internal review or appeals are different from those who made the original registration decision.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure



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## SECTION C: Evaluation of Registration Practices

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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?

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College ensures decision-makers in internal review or appeals are different from those who made the original registration decision.

#### Result of the test **Instruction**

Per discussion with the staff member, the College ensures decision-makers in internal review or appeals are different from those who made the original registration decision as described in the process above.

#### Conclusion **Instruction**

The College ensures decision-makers in internal review or appeals are different from those who made the original registration decision.

#### Recommendation **Instruction**

No recommendation required.

Add another interview procedure

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## SECTION C: Evaluation of Registration Practices

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.

Does the regulated profession inform all applicants who did not get an unrestricted certificate of registration of their appeal rights in a clear and proactive manner?

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

When an applicant is issued a restricted certificate of registration (ie. certificates of registration with terms, conditions and/or limitations), the letter regarding this decision includes the applicant's rights to appeal to HPARB.

Note that the College rarely issues a restricted certificate of registration. Applicants may consent to terms, conditions and/or limitations; for example, work permits. Applicants may also be ordered by the Registration Committee to have terms, conditions and/or limitations; for example, restricted practice within settings.

### 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

**C4c. Does the regulated profession inform all applicants who did not get an unrestricted certificate of registration of their appeal rights in a clear and proactive manner?**

**Interviews of** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College informs all applicants who did not get an unrestricted certificate of registration of their appeal rights in a clear and proactive manner.

**Result of the test** **Instruction**

Per discussion with the staff member, the College informs all applicants who did not get an unrestricted certificate of registration of their appeal rights in a clear and proactive manner as described in the process above.

**Conclusion** **Instruction**

The College informs all applicants who did not get an unrestricted certificate of registration of their appeal rights in a clear and proactive manner.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure

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### C4: Information on Appeal Rights

**C4c. Does the regulated profession inform all applicants who did not get an unrestricted certificate of registration of their appeal rights in a clear and proactive manner?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College informs all applicants who did not get an unrestricted certificate of registration of their appeal rights in a clear and proactive manner.

Result of the test **Instruction**

Per discussion with the staff member, the College informs all applicants who did not get an unrestricted certificate of registration of their appeal rights in a clear and proactive manner as described in the process above.

Conclusion **Instruction**

The College informs all applicants who did not get an unrestricted certificate of registration of their appeal rights in a clear and proactive manner.

Recommendation **Instruction**

No recommendation required.

Add another interview procedure



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## SECTION C: Evaluation of Registration Practices

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.

See next question.

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

N/A - See next question.

### 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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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.

Can an applicant receive additional time to decide if they would like to appeal the Registration Committee's decision to HPARB?

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

An applicant can receive additional time to decide if they would like to appeal the Registration Committee's decision to HPARB. The applicant must inform HPARB that they would like to appeal the Registration Committee's decision regarding their matter. HPARB will then contact the College and ask if the College would consent to the extension.

Note that the College has not denied an extension of an applicant's appeal to HPARB.

### 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

#### C4c. Can an applicant receive additional time to decide if they would like to appeal the Registration Committee's decision to HPARB?

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if an applicant can receive additional time to decide if they would like to appeal the Registration Committee's decision to HPARB.

#### Result of the test Instruction

Per discussion with the staff member, an applicant can receive additional time to decide if they would like to appeal the Registration Committee's decision to HPARB as described in the process above.

#### Conclusion Instruction

An applicant can receive additional time to decide if they would like to appeal the Registration Committee's decision to HPARB.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure

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### C4: Information on Appeal Rights

#### C4c. Can an applicant receive additional time to decide if they would like to appeal the Registration Committee's decision to HPARB?

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if an applicant can receive additional time to decide if they would like to appeal the Registration Committee's decision to HPARB.

#### Result of the test Instruction

Per discussion with the staff member, an applicant can receive additional time to decide if they would like to appeal the Registration Committee's decision to HPARB as described in the process above.

#### Conclusion Instruction

An applicant can receive additional time to decide if they would like to appeal the Registration Committee's decision to HPARB.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure



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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.**

No additional questions for section C4.

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

N/A - No additional questions for section C4.

### 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

No additional comments on section C4.



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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 College of Nurses of Ontario ("College") makes available to the public its requirements for the documentation of qualifications that are part of the application process through seven different ways.

1. The College makes available to the public its requirements for the documentation of qualifications that are part of the application process through the College web site, [www.cno.org](http://www.cno.org).

- a) On the left side of the web site's home page are eleven sections for a web site user to choose from. Fourth from the top is a section called "Registration".
- b) Rolling over "Registration" with the cursor provides the web site user with six additional categories to choose from. Fifth from the top is a category called "For New Applicants".
- c) Rolling over "For New Applicants" with the cursor provides the web site user with four additional subcategories to choose from. Second from the top is a subcategory called "Applying for registration".
- d) Selecting "Applying for registration" will take the web site user to a page that has information about registration. Near the bottom of this page is a link for the "Registration Guide for Internationally Educated Nurses".
- e) Selecting the "Registration Guide for Internationally Educated Nurses" will provide the web site user with the College's requirements for the documentation of qualifications that are part of the application process.

2. The College makes available to the public its requirements for the documentation of qualifications that are part of the application process in person. An applicant that walks into the College can speak with a representative at the Customer Service Desk who will assist them with any information requests they may have. The College may be contacted at:

101 Davenport Road  
Toronto, Ontario, Canada M5R 3P1

3. The College makes available to the public its requirements for the documentation of qualifications that are part of the application process through mail. The College may be contacted at:

101 Davenport Road

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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?**

Toronto, Ontario, Canada M5R 3P1

4. The College makes available to the public its requirements for the documentation of qualifications that are part of the application process through e-mail. The College may be emailed directly or be contacted through a tab labelled "Email Us" in the "Contact Us" section on their web site, [www.cno.org](http://www.cno.org).

5. The College makes available to the public its requirements for the documentation of qualifications that are part of the application process by telephone and fax. The College may be contacted at:

Telephone: (416) 928-0900

Toll Free: 1(800) 563-5847

Fax: (416) 975-4355

The College's hours of operation are Monday to Friday, from 8:30 am to 5:00 pm.

6. The College makes available to the public its requirements for the documentation of qualifications that are part of the application process at Health Force Ontario information sessions.

7. The College makes available to the public its requirements for the documentation of qualifications that are part of the application process at various schools that host job fairs or have student associations related to nursing.

### 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.

### 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 document review procedure.

To test if the College makes available to the public its requirements for the documentation of qualifications that are part of the application process, I read the application packages for International Graduates, Canadian Graduates, and Ontario Graduates applying to become either a Registered Nurse or Registered Practical Nurse in the General or Transitional class.

#### Result of the test Instruction

In the application packages, the College provides information about its requirements for the documentation of qualifications that are part of the application process.

#### Conclusion Instruction

The College makes available to the public its requirements for the documentation of qualifications that are part of the application process.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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.

### 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?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College makes available to the public its requirements for the documentation of qualifications that are part of the application process.

#### Result of the test Instruction

Per discussion with the staff member, the College makes available to the public its requirements for the documentation of qualifications that are part of the application process as described in the process above.

#### Conclusion Instruction

The College makes available to the public its requirements for the documentation of qualifications that are part of the application process.

#### Recommendation Instruction

C5a-1. On the web site, [www.cno.org](http://www.cno.org), under the section "Registration", the College should provide information about its requirements for the documentation of qualifications that are part of the application process. This is so the information is easily accessible to all users.

Add another interview procedure



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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.

### 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?**

**Interviews of** Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College makes available to the public its requirements for the documentation of qualifications that are part of the application process.

**Result of the test** Instruction

Per discussion with the staff member, the College makes available to the public its requirements for the documentation of qualifications that are part of the application process as described in the process above.

**Conclusion** Instruction

The College makes available to the public its requirements for the documentation of qualifications that are part of the application process.

**Recommendation** Instruction

C5a-1. On the web site, [www.cno.org](http://www.cno.org), under the section "Registration", the College should provide information about its requirements for the documentation of qualifications that are part of the application process. This is so the information is easily accessible to all users.

Add another interview procedure

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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.

### 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.

To test if the College makes available to the public its requirements for the documentation of qualifications that are part of the application process, I visited their website, [www.cno.org](http://www.cno.org).

#### Result of the test Instruction

The College makes available to the public its requirements for the documentation of qualifications that are part of the application process through their web site, [www.cno.org](http://www.cno.org).

- On the left side of the web site's home page are eleven sections for a web site user to choose from. Fourth from the top is a section called "Registration".
- Rolling over "Registration" with the cursor provides the web site user with six additional categories to choose from. Fifth from the top is a category called "For New Applicants".
- Rolling over "For New Applicants" with the cursor provides the web site user with four additional subcategories to choose from. Second from the top is a subcategory called "Applying for registration".
- Selecting "Applying for registration" will take the web site user to a page that has information about registration. Near the bottom of this page is a link for the "Registration Guide for Internationally Educated Nurses".
- Selecting the "Registration Guide for Internationally Educated Nurses" will provide the web site user with the College's requirements for the documentation of qualifications that are part of the application process.

#### Conclusion Instruction

The College makes available to the public its requirements for the documentation of qualifications that are part of the application process.



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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?**

#### Recommendation

##### Instruction

C5a-1. On the web site, [www.cno.org](http://www.cno.org), under the section "Registration", the College should provide information about its requirements for the documentation of qualifications that are part of the application process. This is so the information is easily accessible to all users.

Add another testing procedure

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

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### 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 of Nurses of Ontario ("College") gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control through six different ways.

1. The College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control in person. An applicant that walks into the College can speak with a representative at the Customer Service Desk who will assist them with any information requests and provide them with hard copies of an application, supporting guide and other documents. The College may be contacted at:

101 Davenport Road  
Toronto, Ontario, Canada M5R 3P1

2. The College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control through mail. The College may be contacted at:

101 Davenport Road  
Toronto, Ontario, Canada M5R 3P1

3. The College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control through e-mail. The College may be emailed directly or be contacted through a tab labelled "Email Us" in the "Contact Us" section on their web site, [www.cno.org](http://www.cno.org).

4. The College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control by telephone and fax. The College may be contacted at:

Telephone: (416) 928-0900

Toll Free: 1(800) 563-5847

Fax: (416) 975-4355

The College's hours of operation are Monday to Friday, from 8:30 am to 5:00 pm.



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## SECTION C: Evaluation of Registration Practices

### 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?**

5. The College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control at Health Force Ontario information sessions.

6. The College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control at various schools that host job fairs or have student associations related to nursing.

### 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?**

Describe your document review procedure.

To test if the College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control, I read the application packages for International Graduates, Canadian Graduates, and Ontario Graduates applying to become either a Registered Nurse or Registered Practical Nurse in the General or Transitional class.

#### Result of the test Instruction

In the guide, under the section "Requirements for Becoming a Nurse in Ontario", the College provides applicants with information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control.

#### Conclusion Instruction

The College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure



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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 Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control.

#### Result of the test Instruction

Per discussion with the staff member, the College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control as described in the process above.

#### Conclusion Instruction

The College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control.

#### Recommendation Instruction

C5b-1. On the website, under the section "Registration", applicants or potential applicants should be provided with information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control. This is so the information is always readily available and easily accessible to the public.

Add another interview procedure

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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 Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control.

#### Result of the test Instruction

Per discussion with the staff member, the College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control as described in the process above.

#### Conclusion Instruction

The College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control.

#### Recommendation Instruction

C5b-1. On the website, under the section "Registration", applicants or potential applicants should be provided with information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control. This is so the information is always readily available and easily accessible to the public.

Add another interview procedure



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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.

### 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?**

Describe your other testing procedure.

To test if the College gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control, I visited their web site, [www.cno.org](http://www.cno.org).

#### Result of the test Instruction

I did not find information on acceptable alternatives to the documentation if applicants cannot obtain the standard documentation for reasons beyond their control on their web site, [www.cno.org](http://www.cno.org).

#### Conclusion Instruction

The College does not give applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control on their web site.

#### Recommendation Instruction

C5b-1. On the website, under the section "Registration", applicants or potential applicants should be provided with information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control. This is so the information is always readily available and easily accessible to the public.

Add another testing procedure

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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.

Does the regulated profession have an effective process to deal with applicants whose documents are unavailable for reasons beyond their control, which goes beyond an ad hoc, case by case approach?

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

The College has an effective and efficient process to deal with applicants whose documents are unavailable for reasons beyond their control, which goes beyond an ad hoc, case by case approach.

In particular, the College allows an applicant to provide documentation via a statutory declaration.

### 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.

### C5: Documentation of Qualifications

**C5c. Does the regulated profession have an effective process to deal with applicants whose documents are unavailable for reasons beyond their control, which goes beyond an ad hoc, case by case approach?**

Describe your document review procedure.

I read the Fair Registration Practices Report 2008 to determine if the College has an effective process to deal with applicants whose documents are unavailable for reasons beyond their control, which goes beyond an ad hoc, case by case approach.

#### Result of the test Instruction

The College has an effective process to deal with applicants whose documents are unavailable for reasons beyond their control, which goes beyond an ad hoc, case by case approach. In particular, this question is addressed in section 1h of the Report.

#### Conclusion Instruction

The College has an effective process to deal with applicants whose documents are unavailable for reasons beyond their control, which goes beyond an ad hoc, case by case approach.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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.

### C5: Documentation of Qualifications

**C5c. Does the regulated profession have an effective process to deal with applicants whose documents are unavailable for reasons beyond their control, which goes beyond an ad hoc, case by case approach?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College effectively deals with applicants whose documents are unavailable for reasons beyond their control.

**Result of the test** Instruction

The College effectively deals with applicants whose documents are unavailable for reasons beyond their control as described in the process above.

**Conclusion** Instruction

The College effectively deals with applicants whose documents are unavailable for reasons beyond their control.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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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

**C5c. Does the regulated profession have an effective process to deal with applicants whose documents are unavailable for reasons beyond their control, which goes beyond an ad hoc, case by case approach?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College effectively deals with applicants whose documents are unavailable for reasons beyond their control.

### Result of the test Instruction

The College effectively deals with applicants whose documents are unavailable for reasons beyond their control as described in the process above.

### Conclusion Instruction

The College effectively deals with applicants whose documents are unavailable for reasons beyond their control.

### Recommendation Instruction

No recommendation required.

Add another question

Add another interview procedure

For the College of Nurses of Ontario

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### C5: Documentation of Qualifications

#### C5d. Additional comments on section C5, Documentation of Qualifications

No additional comments on section C5.



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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.

The College makes its own assessment of qualifications in a way that is transparent, objective, impartial and fair as follows:

The Executive Director or her designate is the first to perform an assessment of qualifications. When it has been determined that the applicant does not meet all the registration requirements, the applicant is referred to the Registration Committee.

The College's Registration Committee members make assessments of qualifications in a transparent manner because:

- a) The Registration Committee assess qualifications based on criteria documented in the Ontario Regulation 275/94, which is clearly written and easy to find on their web site
- b) Policies are constantly updated and formally documented in the Registration Committee Administrative Manual
- c) Registration Committee's presentation of reasons and decisions are continually under the process of improvement such that the reasons and decisions are clear and well communicated to the applicant

The College's Registration Committee members make assessments of qualifications in an objective manner because:

- a) The Registration Committee assess qualifications based on criteria documented in the Ontario Regulation 275/94, and the applicant has either met the requirement, or has not met the requirement. Factors to determine whether or not an applicant has met the requirement are not subjective.
- b) In addition, decisions made by Registration Committee members are not based on past experience, but rather on an individual case-by-case basis. Specifically, Registration Committee members are advised during orientation that decisions are to be made based on the applicant's unique situation.

The College's Registration Committee members make assessments of qualifications in an impartial manner because:

- a) The Registration Committee members must declare any conflicts of interest and remove themselves from an assessment where preconceived notions about any party or class of parties may affect his/her decision. As a result, assessments are performed in an unbiased manner. Members who declare a conflict of interest either remove themselves from the room or do not participate in the conversation about the conflicting party.

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## SECTION C: Evaluation of Registration Practices

### 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?**

- b) Registration Committee is composed of members from various nationalities/ ethnicities
- c) Registration Committee is composed of members with various educational and professional backgrounds
- d) Registration Committee is composed of certain members of the public (RNs and RPNs, non-RNs and non-RPNs) to ensure the public's interest is integrated into decision making and that all categories of registration are represented.

The College's Registration Committee members make assessments of qualifications in a fair manner because:

- a) The Registration Committee members assess qualifications based on published criteria, standards and policies
- b) Registration requirements that must be met by applicants are clearly justified
- c) Applicants are provided with the opportunity to make submissions to the Registration Committee
- d) The Registration Committee uses worksheets prepared by Registration Administrators to make assessments which are based on the criteria documented in the Ontario Regulation 275/94.

### 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.

Worksheets used by Registration Committee members to review an applicant's matter and to make orders and decisions. The worksheets are formal, standardized templates prepared by Registration Administrators, and presented to the Registration Committee by the Committee Registration Administrator at least one week in advance of the Registration Committee meeting. Note that the Registration Administrator attends the Registration Committee to present the facts, however, no opinions or representations are made.

I reviewed a sample worksheet used by Registration Committee members to review an applicants matter and to make orders and decisions.

#### Result of the test Instruction

Per review of the worksheets, I noted the following:

Organization: The worksheets were organized and neat (printed not hand written)

Informative: The worksheets provided a good summary of the situation. In particular, the summary included:

- Reason for referral
- Registration requirements summary
- Issue
- Background information
- List of attachments (note that the attachments were numbered and attached in order)
- Regulation
- Previous rulings
- Policy

#### Conclusion Instruction

The College makes its own assessment of qualifications in a way that is transparent, objective, impartial and fair.

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## SECTION C: Evaluation of Registration Practices

### 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?

**Recommendation**

Instruction

No recommendation required.

Add another document review procedure



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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.

### 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?**

**Interviews of** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College makes its own assessment of qualifications in a way that is transparent, objective, impartial and fair.

**Result of the test** Instruction

Per discussion with the staff member, the College makes its own assessment of qualifications in a way that is transparent, objective, impartial and fair as described in the process above.

**Conclusion** Instruction

The College makes its own assessment of qualifications in a way that is transparent, objective, impartial and fair.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

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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.

### 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?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College makes its own assessment of qualifications in a way that is transparent, objective, impartial and fair.

**Result of the test** Instruction

Per discussion with the staff member, the College makes its own assessment of qualifications in a way that is transparent, objective, impartial and fair as described in the process above.

**Conclusion** Instruction

The College makes its own assessment of qualifications in a way that is transparent, objective, impartial and fair.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



For the College of Nurses 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

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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.

### EXAMINATIONS - REGISTERED NURSES, REGISTERED PRACTICAL NURSES and NURSE PRACTITIONERS

The College uses the Canadian Nurses Association (CNA) examination for RNs. The examination is a national examination and the College purchases the examination from CNA. Contracts are entered on a five year cycle tied into the blue print development cycle. The College participates in the exam validity and reliability evaluation, pass score setting etc. The College suggests appointees for item writing and administers the examination. The same applies in the case of the RPN examination which is purchased from Assessment Strategies Inc – (ASI).

### FLUENCY TESTING

The College has a list of fluency tests that have been approved by the Registration Committee for meeting the fluency requirement for registration. The applicant could choose any one or a combination of these tests. The tests offered are alternative mechanisms for meeting the requirement and are offered by different language testing organizations. The following tests are offered: TOEFL, MELAB, IELTS, TOIEC, TFI and CELBAN. Some of these tests are offered nationally and others are offered internationally by these agencies. An applicant approaches any of these testing agency, pays the fees and writes the test. The results are forwarded to the College and if the scores meet the College's requirement, s/he meets the requirement for fluency. There are currently no limits to the number of attempts or the currency of a score. The rates paid are the same for any public member who would like to have their language skill tested. The College does not have any specific contract with these testing agencies. The College is currently working through a pan-Canadian workgroup to benchmark these tests so that the College can have some consistency in the scores across the country.

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## SECTION C: Evaluation of Registration Practices

### 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?**

#### ASSESSMENT OF CREDENTIALS

The College, upon receiving documentation from an applicant, ensures that the documents contain the appropriate seals and/or signatures based on a repository of documents on site. If the applicant's educational program has not previously been assessed by the College and it was completed outside Canada, the College refers the documents to World Education Services (WES). The College uses WES in assessment of the level of credentials - specifically the determination if a credential is equivalent to an Ontario Baccalaureate. The College supplies original documents to WES for their evaluation and consideration. WES validates that these documents are from the official source, and when unsatisfied about the authenticity of a document, WES clarifies this with the official source of the documents (by requesting the Examination marks sheets and degree certificates). Annual meetings are held where ideas are exchanged on processes used in evaluation of credentials and new trends discussed.

The use of a credible third party credential evaluation agency like WES ensures the currency of documents used for assessment.

The College absorbs the cost of the WES assessment and then carries out a paper-based content and competency assessment to determine if the nursing program is comparable to an Ontario nursing program.

#### 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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### 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.

I reviewed the contract between the College and Canadian Nurses Association (CNA), the third party who sells the Canadian Registered Nurse Examination (CRNE), the national examination for Registered Nurses to determine if the College takes reasonable measures to ensure the CNA makes assessments of qualifications in a way that is transparent, objective, impartial and fair.

#### Result of the test Instruction

Within the contract, there is a statement made regarding the CNA's right to alter the process used to develop the CRNE provided that the exams remain valid, reliable and fair. In addition, the CNA will inform the College of any material changes in the process used to develop the CRNE, as well as seek input from the College, prior to making the changes.

#### Conclusion Instruction

The College takes reasonable measures to ensure the CNA makes assessments of qualifications in a way that is transparent, objective, impartial and fair.

#### Recommendation Instruction

No recommendations required.

Add another document review procedure

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## SECTION C: Evaluation of Registration Practices

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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?**

Describe your document review procedure.

I reviewed the contract between the College and Assessment Strategies, Inc. (ASI), the third party who sells the Practical Nurse Registration Examination (PN), the national examination for Registered Practical Nurses to determine if the College takes reasonable measures to ensure the ASI makes assessments of qualifications in a way that is transparent, objective, impartial and fair.

#### Result of the test Instruction

Within the contract, there is a "Statement of Work", which outlines the following:

- Scope
- Examination development
- Administration and scoring of examinations
- Security
- Communication

In summary, ASI and the College work collaboratively to ensure assessments of qualifications are made in a way that is transparent, objective, impartial and fair. For example, a representative from the College sits on the ASI Examination Committee.

#### Conclusion Instruction

The College takes reasonable measures to ensure the ASI makes assessments of qualifications in a way that is transparent, objective, impartial and fair.

#### Recommendation Instruction

No recommendations required.



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**SECTION C: Evaluation of Registration Practices**

**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?**

Add another document review procedure

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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?**

Describe your document review procedure.

I reviewed the contract between the College and Canadian Nurses Association (CNA), the third party who sells the Canadian Nurse Practitioner Examination (CNPE - Family All Ages) to determine if the College takes reasonable measures to ensure the CNA makes assessments of qualifications in a way that is transparent, objective, impartial and fair.

#### Result of the test Instruction

Within the contract, there is a statement made regarding the CNA's right to alter the process used to develop the CNPE provided that the exams remain valid, reliable and fair. In addition, the CNA will inform the College of any material changes in the process used to develop the CNPE, as well as seek input from the College, prior to making the changes.

#### Conclusion Instruction

The College takes reasonable measures to ensure the CNA makes assessments of qualifications in a way that is transparent, objective, impartial and fair.

#### Recommendation Instruction

No recommendations required.

Add another document review procedure



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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?**

Describe your document review procedure.

I reviewed the contract between the College and World Education Services ("WES"), the third party who assesses an applicant's credentials to determine if his or her credentials are equivalent to an Ontario Baccalaureate, to determine if the College takes reasonable measures to ensure WES makes assessments of qualifications in a way that is transparent, objective, impartial and fair.

#### Result of the test Instruction

The agreement outlines the processes, procedures, and methodology used by WES in the preparation of evaluation reports. It also outlines the responsibilities of each party.

#### Conclusion Instruction

The College takes reasonable measures to ensure WES makes assessments of qualifications in a way that is transparent, objective, impartial and fair.

#### Recommendation Instruction

No recommendations required.

Add another document review procedure

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**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.

N/A - no other document review procedure.

**Result of the test** Instruction

N/A - no other document review procedure.

**Conclusion** Instruction

N/A - no other document review procedure.

**Recommendation** Instruction

N/A - no other document review procedure.

Add another document review procedure



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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?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College takes reasonable measures to ensure that the third parties make assessments of qualifications in a way that is transparent, objective, impartial and fair.

**Result of the test** Instruction

The College takes reasonable measures to ensure that the third parties make assessments of qualifications in a way that is transparent, objective, impartial and fair as described in the process above.

**Conclusion** Instruction

The College takes reasonable measures to ensure that the third parties make assessments of qualifications in a way that is transparent, objective, impartial and fair.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

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**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?**

**Interviews of** Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College takes reasonable measures to ensure that the third parties make assessments of qualifications in a way that is transparent, objective, impartial and fair.

### Result of the test Instruction

The College takes reasonable measures to ensure that the third parties make assessments of qualifications in a way that is transparent, objective, impartial and fair as described in the process above.

### Conclusion Instruction

The College takes reasonable measures to ensure that the third parties make assessments of qualifications in a way that is transparent, objective, impartial and fair.

### Recommendation Instruction

No recommendations required.

Add another interview procedure



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## SECTION C: Evaluation of Registration Practices

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.

Does the regulated profession or the qualifications assessment agency it relies upon use clear and recognized criteria to assess applicants' qualifications and does it make sure assessors are trained in how to apply these criteria consistently?

### C6: Assessment of Qualifications

#### C6c. Type your additional question here.

C6c. Does the regulated profession or the qualifications assessment agency it relies upon use clear and recognized criteria to assess applicants' qualifications and does it make sure assessors are trained in how to apply these criteria consistently?

### C6: Assessment of Qualifications

#### C6c. Type your additional question here.

C6c. Does the regulated profession or the qualifications assessment agency it relies upon use clear and recognized criteria to assess applicants' qualifications and does it make sure assessors are trained in how to apply these criteria consistently?

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

The College uses clear and recognized criteria to assess applicants' qualifications and it ensures assessors are trained in how to apply these criteria consistently.

The College has guidelines that speak to requirements and information that can assist the Registration Committee in determining whether an applicant meets the requirements or what might satisfy the requirements. In particular, the Ontario Regulation 275/94 is used by the Registration Committee.

Third parties visit the College to hold information sessions so that the College can gain an understanding of the criteria they use to assess an applicant's qualifications. Other information discussed at these information sessions include analysis of qualifications, timeliness of assessments, fees, etc. The College relies on the third parties to train their own staff.

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### C6: Assessment of Qualifications

#### C6c. Type your additional question here.

C6c. Does the regulated profession or the qualifications assessment agency it relies upon use clear and recognized criteria to assess applicants' qualifications and does it make sure assessors are trained in how to apply these criteria consistently?

#### 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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### C6: Assessment of Qualifications

**C6c. Does the regulated profession or the qualifications assessment agency it relies upon use clear and recognized criteria to assess applicants' qualifications and does it make sure assessors are trained in how to apply these criteria consistently?**

**Interviews of** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College uses clear and recognized criteria to assess applicants' qualifications and how it ensures assessors are trained in how to apply these criteria consistently.

**Result of the test** Instruction

The College uses clear and recognized criteria to assess applicants' qualifications and it ensures assessors are trained in how to apply these criteria consistently as described in the process above.

**Conclusion** Instruction

The College uses clear and recognized criteria to assess applicants' qualifications and it ensures assessors are trained in how to apply these criteria consistently.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

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### C6: Assessment of Qualifications

**C6c. Does the regulated profession or the qualifications assessment agency it relies upon use clear and recognized criteria to assess applicants' qualifications and does it make sure assessors are trained in how to apply these criteria consistently?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College uses clear and recognized criteria to assess applicants' qualifications and how it ensures assessors are trained in how to apply these criteria consistently.

**Result of the test** **Instruction**

The College uses clear and recognized criteria to assess applicants' qualifications and it ensures assessors are trained in how to apply these criteria consistently as described in the process above.

**Conclusion** **Instruction**

The College uses clear and recognized criteria to assess applicants' qualifications and it ensures assessors are trained in how to apply these criteria consistently.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure



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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.

Does the regulated profession verify the validity of documents and information provided by the applicant?

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

The College verifies the validity of documents and information provided by the applicant.

In addition to using WES as described in C6b above, the College also maintains a binder of seals, stamps and signatures from schools around the world. The binder is constantly updated. The binder is referenced to when a staff member wants to verify the validity of documents received by an applicant.

### 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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### C6: Assessment of Qualifications

**C6c. Does the regulated profession verify the validity of documents and information provided by the applicant?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe the College's process for validating documents and information provided by applicants.

**Result of the test** Instruction

Per discussion with the staff member, the College has a process for validating documents and information provided by applicants as described in the process above.

**Conclusion** Instruction

The College has a process for validating documents and information provided by applicants.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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### C6: Assessment of Qualifications

**C6c. Does the regulated profession verify the validity of documents and information provided by the applicant?**

**Interviews of** Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe the College's process for validating documents and information provided by applicants.

**Result of the test** Instruction

Per discussion with the staff member, the College has a process for validating documents and information provided by applicants as described in the process above.

**Conclusion** Instruction

The College has a process for validating documents and information provided by applicants.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

For the College of Nurses of Ontario

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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.

Does the regulated profession ensure that those who assist others in the assessment of qualifications and registration decision making process do so in a transparent, objective, impartial and fair manner?

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

The College ensures that those who assist others in the assessment of qualifications and registration decision making process do so in a transparent, objective, impartial and fair manner.

The College established a Baccalaureate Equivalency Work Group (BEWG). The BEWG provides an opinion of an applicant's competencies to the Registration Committee. This is performed to assist the Registration Committee; however, the Registration Committee may agree or disagree with the BEWG opinion and ultimately makes the final decision.

### 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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### C6: Assessment of Qualifications

**C6c. Does the regulated profession ensure that those who assist others in the assessment of qualifications and registration decision making process do so in a transparent, objective, impartial and fair manner?**

Describe your document review procedure.

I reviewed the baccalaureate equivalency table used by BEWG members to review applicants initial program, additional education and work experience and to make recommendations to the Registration Committee about Ontario baccalaureate equivalence. I also reviewed the Baccalaureate Equivalency Workgroup Recommendations document.

**Result of the test** Instruction

The College's BEWG members assist the Registration Committee in making assessments of qualifications in a transparent manner because: The BEWG members use a standardized format to document his/her review of the Baccalaureate Equivalency Table (completed by the applicant) that results in clearly supported reasons, unambiguous conclusions and straight forward recommendations.

The College's BEWG members assist the Registration Committee in making assessments of qualifications in an objective manner because: The BEWG members reviews the Baccalaureate Equivalency Table ("BET"), which is completed by the applicant. Applicants are provided with detailed guidelines on how to complete the BET, which help make the review of the BET a more objective exercise.

The College's BEWG members assist the Registration Committee in making assessments of qualifications in an impartial manner because: the BEWG members must declare any conflicts of interest and remove themselves from a review where preconceived notions about any party or class of parties may affect his/her recommendations. As a result, reviews are performed in an unbiased manner.

The College's BEWG members make assessments of qualifications in a fair manner because: the BEWG members review BETs based on published criteria, standards and policies. In addition, registration requirements that must be met by applicants are clearly justified.

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## SECTION C: Evaluation of Registration Practices

### C6: Assessment of Qualifications

**C6c. Does the regulated profession ensure that those who assist others in the assessment of qualifications and registration decision making process do so in a transparent, objective, impartial and fair manner?**

#### Conclusion

Instruction

The College ensures that those who assist others in the assessment of qualifications and registration decision making process (ie. the BEWGs) do so in a transparent, objective, impartial and fair manner.

#### Recommendation

Instruction

No recommendation required.

Add another document review procedure



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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.

### C6: Assessment of Qualifications

**C6c. Does the regulated profession ensure that those who assist others in the assessment of qualifications and registration decision making process do so in a transparent, objective, impartial and fair manner?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College ensures that those who assist others in the assessment of qualifications and registration decision making process do so in a transparent, objective, impartial and fair manner.

**Result of the test** **Instruction**

The College ensures that those who assist others in the assessment of qualifications and registration decision making process (ie. the BEWGs) do so in a transparent, objective, impartial and fair manner as described in the process above.

**Conclusion** **Instruction**

The College ensures that those who assist others in the assessment of qualifications and registration decision making process (ie. the BEWGs) do so in a transparent, objective, impartial and fair manner.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure

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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.

### C6: Assessment of Qualifications

**C6c. Does the regulated profession ensure that those who assist others in the assessment of qualifications and registration decision making process do so in a transparent, objective, impartial and fair manner?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College ensures that those who assist others in the assessment of qualifications and registration decision making process do so in a transparent, objective, impartial and fair manner.

**Result of the test** Instruction

The College ensures that those who assist others in the assessment of qualifications and registration decision making process (ie. the BEWGs) do so in a transparent, objective, impartial and fair manner as described in the process above.

**Conclusion** Instruction

The College ensures that those who assist others in the assessment of qualifications and registration decision making process (ie. the BEWGs) do so in a transparent, objective, impartial and fair manner.

**Recommendation** Instruction

No recommendation required.

Add another question

Add another interview procedure



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### C6: Assessment of Qualifications

#### C6d. Additional comments on section C6, Assessment of Qualifications

No additional comments on section C6.

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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's process for ensuring that persons assessing qualifications are trained:

1. New Registration Committee members receive an orientation to the Registration Committee
2. Canadian Nurses Association ("CNA") and the College have a signed agreement outlining expectations
3. Assessment Strategies, Inc. ("ASI") and the College have a signed agreement outlining expectations
4. World Education Services ("WES") and the College have a signed agreement outlining expectations

The College's process for ensuring that persons making registration decisions are trained:

1. The Executive Director is hired with the requisite knowledge concerning regulation and is committed to ongoing professional development and has access to legal counsel when needed
2. New Registration Committee members receive an orientation to the Registration Committee
3. New Registration Administrators receive an orientation to becoming a Registration Administrator

### 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

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

Describe your document review procedure.

N/A - see next document review procedure.

**Result of the test**

Instruction

N/A - see next document review procedure.

**Conclusion**

Instruction

N/A - see next document review procedure.

**Recommendation**

Instruction

N/A - see next document review procedure.

Add another document review procedure

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### C7: Training

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

Describe your document review procedure.

I reviewed the "Registration Orientation Handbook" (Registration Administrator Training).

#### Result of the test Instruction

Per review of the Registration Orientation Handbook, the handbook provides:

1. a general orientation to the Regulated Health Professions Act, 1991, the Health Professions Procedural Code, in particular: confidentiality and registration
2. a general orientation to the Nursing Act, 1991, the Ontario Regulation 275/94, in particular: Part II Registration
3. Training on the roles and responsibilities of a Registration Administrator, including an understanding of: the application package, application process chart, Registration Administrative Manual, and FLO introduction

#### Conclusion Instruction

The College ensures that persons such as Registration Administrators who make registration decisions, are trained.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure



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### C7: Training

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

Describe your document review procedure.

I reviewed the "Registration Committee Administrative Manual".

#### Result of the test Instruction

Per review of the Registration Committee Administrative Manual, the manual provides:

1. a general orientation to the Regulated Health Professions Act, 1991, the Health Professions Procedural Code, in particular: confidentiality and registration
2. a general orientation to the Nursing Act, 1991, the Ontario Regulation 275/94, in particular: Part II Registration
3. training on the roles and responsibilities of the Registration Committee
4. specific training on assessment methods and criteria used by the Registration Committee to determine whether an applicant meets the registration requirements of the College

#### Conclusion Instruction

The College ensures that persons such as Registration Committee members who assess qualifications and make registration decisions, are trained.

#### Recommendation Instruction

No recommendation required.

For the College of Nurses of Ontario

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## SECTION C: Evaluation of Registration Practices

### C7: Training

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

Add another document review procedure



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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?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College ensures that persons assessing qualifications and making registration decisions are trained.

**Result of the test** Instruction

Per discussion with the staff member, the College ensures that persons assessing qualifications and making registration decisions are trained as described in the process above.

**Conclusion** Instruction

The College ensures that persons assessing qualifications and making registration decisions are trained.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

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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.

### C7: Training

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

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College ensures that persons assessing qualifications and making registration decisions are trained.

**Result of the test** **Instruction**

Per discussion with the staff member, the College ensures that persons assessing qualifications and making registration decisions are trained as described in the process above.

**Conclusion** **Instruction**

The College ensures that persons assessing qualifications and making registration decisions are trained.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure



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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.

### C7: Training

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

Describe your other testing procedure.

I hand delivered a letter to all eight Registration Administrators, asking them to confirm that he/she has received:

1. an orientation to registration, which includes a registration orientation (Registration Administrator Training) handbook
2. a general orientation to the Regulated Health Professions Act, 1991, the Health Professions Procedural Code, in particular: confidentiality and registration
3. a general orientation to the Nursing Act, 1991, the Ontario Regulation 275/94, in particular: Part II Registration
4. Training on the roles and responsibilities of a Registration Administrator, including an understanding of: the application package, application process chart, Registration Administrative Manual, and FLO introduction

#### Result of the test Instruction

Of the eight Registration Administrators who were hand delivered a letter, all eight have responded. All eight have also confirmed that they have received the training as described in the letter.

#### Conclusion Instruction

The College ensures that persons such as Registration Administrators who make registration decisions, are trained.

#### Recommendation Instruction

No recommendation required.

Add another testing procedure

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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.

### C7: Training

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

Describe your other testing procedure.

I e-mailed a letter to all ten members of the Registration Committee, asking them to confirm that he/she has received:

1. an orientation to the Registration Committee, which includes a Registration Committee Administrative Manual
2. a general orientation to the Regulated Health Professions Act, 1991, the Health Professions Procedural Code, in particular: confidentiality and registration
3. a general orientation to the Nursing Act, 1991, the Ontario Regulation 275/94, in particular: Part II Registration
4. training on the roles and responsibilities of the Registration Committee
5. specific training on assessment methods and criteria used by the Registration Committee to determine whether an applicant meets the registration requirements of the College

#### Result of the test Instruction

Of the ten Registration Committee members who was e-mailed a letter, six have responded. All six members who responded have confirmed that they have received the training as described in the letter.

#### Conclusion Instruction

The College ensures that persons such as Registration Committee members who assess qualifications and make registration decisions, are trained.

#### Recommendation Instruction

No recommendation required.

Add another testing procedure



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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 other testing procedure.

I searched on the College's web site under "Find a Nurse", to determine if the Executive Director was a Registered Nurse or a Registered Practical Nurse.

#### Result of the test

The Executive Director is a member of the College, and is a Registered Nurse per search of the College's web site.

#### Conclusion

The College ensures that persons making registration decisions are trained.

#### Recommendation

No recommendation required.

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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.

N/A - no 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

**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?**

I did not use any testing procedures because no hearings are necessary.

**Conclusion**

Instruction

N/A - no hearings are necessary.

**Recommendation**

Instruction

N/A - no hearings are necessary.

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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 ensures 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 as follows:

1. Changes to RN/RPN/NP competencies are provided to the Registration Committee by the Entry to Practice Department.
2. The Executive Director is hired with the requisite knowledge concerning regulation and is committed to ongoing professional development and has access to legal counsel when needed.
3. Ongoing briefing notes are provided to the Registration Committee to keep them updated with new developments in testing and evaluations that support possible changes to policies and procedures.
4. Use of Independent Legal Counsel when appropriate or considered necessary.



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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?**

#### 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.

### 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** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College ensures that training in any special considerations that may apply in the assessment of applications is provided, and how the process for applying those considerations is taught.

**Result of the test** **Instruction**

The College ensures that training in any special considerations that may apply in the assessment of applications is provided, as described in the process above.

**Conclusion** **Instruction**

The College ensures that training in any special considerations that may apply in the assessment of applications is provided.

**Recommendation** **Instruction**

No recommendation is required.

Add another interview procedure



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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** Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College ensures that training in any special considerations that may apply in the assessment of applications is provided, and how the process for applying those considerations is taught.

**Result of the test** Instruction

The College ensures that training in any special considerations that may apply in the assessment of applications is provided, as described in the process above.

**Conclusion** Instruction

The College ensures that training in any special considerations that may apply in the assessment of applications is provided.

**Recommendation** Instruction

No recommendation is required.

Add another interview procedure

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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.

Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?

### C7: Training

#### C7d. Type your additional question here.

C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?

### C7: Training

#### C7d. Type your additional question here.

C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?

### C7: Training

#### C7d. Type your additional question here.

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### C7: Training

#### C7d. Type your additional question here.

C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?

### C7: Training

#### C7d. Type your additional question here.

C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?



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### C7: Training

**C7d. Type your additional question here.**

C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?

### C7: Training

**C7d. Type your additional question here.**

C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?

### C7: Training

**C7d. Type your additional question here.**

C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?

### C7: Training

**C7d. Type your additional question here.**

C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?

### C7: Training

**C7d. Type your additional question here.**

C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?

### C7: Training

**C7d. Type your additional question here.**

C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?

### C7: Training

**C7d. Type your additional question here.**

C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?

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## SECTION C: Evaluation of Registration Practices

### C7: Training

**C7d. Type your additional question here.**

C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?

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

The College provides regularly scheduled training to staff members involved in the registration process through:

1. Registration Committee decisions are reviewed at debriefing meetings ("huddles") held following each Registration Committee meeting. During these meetings, Registration Administrators are updated on various issues such as: policy items brought forward, rationale behind Registration Committee decisions, the Registration Committee's decision making process, etc.

2. Weekly administrative staff meetings are held to provide updates to staff and to provide an overview of registration processes. Information that is unique to an application is provided to all assessment staff. In addition, they are conducted to review applicant files and determine whether any non-standard materials or scenarios should be addressed by the College. In response, the College may consult with other internal departments, like the College's Practice and Policy department, that will conduct research and draft a report that will take into consideration the issue to be addressed and, when appropriate, further training that may be required. If training is required, the College will either do so internally, if appropriate, or will retain third parties to conduct the necessary training. Legal counsel may also be consulted to assist in this 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.

### C7: Training

**C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?**

Describe your document review procedure.

I reviewed minutes of "Huddle Meetings" held during the audit period to determine if the College provides training on a regular basis, and to determine if the training is sufficient to cover the aspects of registration matters that a staff member may have to deal with.

#### Result of the test Instruction

The College provides training on a regular basis, and the training is sufficient to cover the aspects of registration matters that a staff member may have to deal with.

#### Conclusion Instruction

The College provides training on a regular basis and the training is sufficient to cover the aspects of registration matters that a staff member may have to deal with.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure

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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

**C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?**

Describe your document review procedure.

I reviewed an invoice for a training session provided to staff to determine attendance and to determine if the training session pertained to registration activities.

#### Result of the test Instruction

Per review of an invoice, the training session was provided to staff, attended by staff, and pertained to registration activities.

#### Conclusion Instruction

The College ensures that staff are provided with training.

#### Recommendation Instruction

No recommendation required.

Add another document review procedure



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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.

### C7: Training

**C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College provides regularly scheduled training to staff members involved in the registration process.

**Result of the test** Instruction

Per discussion with the staff member, the College provides regularly scheduled training to staff members involved in the registration process.

**Conclusion** Instruction

The College provides regularly scheduled training to staff members involved in the registration process as described in the process above.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

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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.

### C7: Training

**C7d. Is there regularly scheduled training provided by the regulated profession and is it sufficient to cover all the aspects that a staff member may have to deal with?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College provides regularly scheduled training to staff members involved in the registration process.

### Result of the test Instruction

Per discussion with the staff member, the College provides regularly scheduled training to staff members involved in the registration process.

### Conclusion Instruction

The College provides regularly scheduled training to staff members involved in the registration process as described in the process above.

### Recommendation Instruction

No recommendation required.

Add another interview procedure



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## SECTION C: Evaluation of Registration Practices

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.

Does the regulated profession ensure that those who assist others in the assessment of qualifications and registration decision making process are trained?

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

The College ensures that those who assist others in the assessment of qualifications and registration decision making process are trained.

The College established a Baccalaureate Equivalency Work Group (BEWG). The BEWG provides an opinion of an applicant's competencies to the Registration Committee. This is performed to assist the Registration Committee; however, the Registration Committee may agree or disagree with the BEWG opinion and ultimately makes the final decision.

### 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.

### C7: Training

**C7d. Does the regulated profession ensure that those who assist others in the assessment of qualifications and registration decision making process are trained?**

Describe your document review procedure.

I reviewed the "Baccalaureate Equivalency Workgroup Orientation Handbook".

#### Result of the test Instruction

Per review of the Baccalaureate Equivalency Workgroup Orientation Handbook, the handbook provides:

1. a general orientation to the Regulated Health Professions Act, 1991, the Health Professions Procedural Code, in particular: confidentiality and registration
2. a general orientation to the Nursing Act, 1991, the Ontario Regulation 275/94, in particular: Part II Registration
3. training on the roles and responsibilities of a member of a BEWG, including an understanding of: the application package, the assessment process and entry-to-practice competencies
4. specific training on guidelines for completing baccalaureate equivalency table

#### Conclusion Instruction

The College ensures that persons such as BEWG members who assist others in the assessment of qualifications and registration decision making process, are trained.

#### Recommendation Instruction

No recommendation required.



For the College of Nurses of Ontario

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**SECTION C: Evaluation of Registration Practices**

**C7: Training**

**C7d. Does the regulated profession ensure that those who assist others in the assessment of qualifications and registration decision making process are trained?**

Add another document review procedure

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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.

### C7: Training

**C7d. Does the regulated profession ensure that those who assist others in the assessment of qualifications and registration decision making process are trained?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College ensures that those who assist others in the assessment of qualifications and registration decision making process are trained.

#### Result of the test Instruction

Per discussion with the staff member, the College ensures that those who assist others in the assessment of qualifications and registration decision making process are trained as described in the process above.

#### Conclusion Instruction

The College ensures that those who assist others in the assessment of qualifications and registration decision making process are trained.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure



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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.

### C7: Training

**C7d. Does the regulated profession ensure that those who assist others in the assessment of qualifications and registration decision making process are trained?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe how the College ensures that those who assist others in the assessment of qualifications and registration decision making process are trained.

**Result of the test** Instruction

Per discussion with the staff member, the College ensures that those who assist others in the assessment of qualifications and registration decision making process are trained as described in the process above.

**Conclusion** Instruction

The College ensures that those who assist others in the assessment of qualifications and registration decision making process are trained.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

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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.

### C7: Training

**C7d. Does the regulated profession ensure that those who assist others in the assessment of qualifications and registration decision making process are trained?**

Describe your other testing procedure.

I e-mailed a letter to all eight members of the Baccalaureate Equivalency Workgroup, asking them to confirm that he/she has received:

1. an orientation to the BEWG, which includes a BEWG orientation handbook
2. a general orientation to the Regulated Health Professions Act, 1991, the Health Professions Procedural Code, in particular: confidentiality and registration
3. a general orientation to the Nursing Act, 1991, the Ontario Regulation 275/94, in particular: Part II Registration
4. training on the roles and responsibilities of a member of a BEWG, including an understanding of: the application package, the assessment process and entry-to-practice competencies
5. specific training on guidelines for completing baccalaureate equivalency table

#### Result of the test Instruction

Of the eight BEWG members who was e-mailed a letter, five BEWG members have responded. All five BEWG members have confirmed that they have received the training as described in the letter or training very similar what was described in the letter.

#### Conclusion Instruction

The College ensures that persons such as BEWG members who assist others in the assessment of qualifications and registration decision making process, are trained.

#### Recommendation Instruction

No recommendation required.



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## SECTION C: Evaluation of Registration Practices

### C7: Training

**C7d. Does the regulated profession ensure that those who assist others in the assessment of qualifications and registration decision making process are trained?**

Add another question

Add another testing procedure

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### C7: Training

#### C7e. Additional comments on section C7, Training

No additional comments on section C7.



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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.

Per Section 16. (1) of the Health Professions Procedural Code, "The Registrar shall give an applicant for registration, at his or her request, all the information and a copy of each document the College has that is relevant to the application."

Per Section 16. (2) of the Health Professions Procedural Code, "The Registrar may refuse to give an applicant anything that may, in the Registrar's opinion, jeopardize the safety of any person."

The College's process for giving applicants access to records related to their application follows the Code and is as follows:

1. The applicant must submit in writing a request for access to records related to their application. The request must include the applicant's signature and date.
2. Customer service personnel receives the request and documents the request in the College's computer system. The applicant's records are retrieved from the applicant's assigned Registration Administrator. Customer service personnel photocopy the documents requested by the applicant, if the information is available. Alternatively, Registration Administrators may also photocopy the documents requested by the applicant if the information is available, and send it to Customer service personnel.
3. The Manager of Customer Service reviews the photocopied documents to determine if information within the photocopied documents is what the applicant has requested. The Customer Service Coordinator (the assistant to the Manager of Customer Service) may perform the review if the Manager of Customer Service is unavailable. If the photocopied documents contain information that may jeopardize the safety of any person, the Manager or designate may refuse to provide the photocopied documents to the applicant. If the photocopied documents do not contain information that may jeopardize the safety of any person, the Manager or designate approves the request.

Note that the applicant's medical information, if any, are not included in the applicant's records. This information is

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## SECTION C: Evaluation of Registration Practices

### C8: Access to Records

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

separately kept with the Registration Access Coordinator. Any requests for access to an applicant's medical records must be made through the Registration Access Coordinator.

4. The photocopied documents requested by the applicant are provided to the applicant.

### 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** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe the process for giving applicants access to records related to their application, upon written request.

**Result of the test** **Instruction**

Per discussion with the staff member, the College gives applicants access to records related to their application, upon written request, as described in the process above.

**Conclusion** **Instruction**

The College gives applicants access to records related to their application, upon written request.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure

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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?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe the process for giving applicants access to records related to their application, upon written request.

**Result of the test** **Instruction**

Per discussion with the staff member, the College gives applicants access to records related to their application, upon written request, as described in the process above.

**Conclusion** **Instruction**

The College gives applicants access to records related to their application, upon written request.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure



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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 Senior Customer Service staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe the process for giving applicants access to records related to their application, upon written request.

### Result of the test Instruction

Per discussion with the staff member, the College gives applicants access to records related to their application, upon written request, as described in the process above.

### Conclusion Instruction

The College gives applicants access to records related to their application, upon written request.

### Recommendation Instruction

No recommendation required.

Add another interview procedure

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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.

Per Section 16. (1) of the Health Professions Procedural Code, "The Registrar shall give an applicant for registration, at his or her request, all the information and a copy of each document the College has that is relevant to the application."

Per Section 16. (2) of the Health Professions Procedural Code, "The Registrar may refuse to give an applicant anything that may, in the Registrar's opinion, jeopardize the safety of any person."

The College does not limit access, beyond the limitations permitted in the legislation.

### 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 Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College limits an applicant's access to records related to their application, beyond the limitations permitted in the legislation.

#### Result of the test Instruction

Per discussion with the staff member, the College does not limit an applicant's access to records related to their application, beyond the limitations permitted in the legislation.

#### Conclusion Instruction

The College does not limit an applicant's access to records related to their application, beyond the limitations permitted in the legislation.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure

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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 Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College limits an applicant's access to records related to their application, beyond the limitations permitted in the legislation.

**Result of the test** Instruction

Per discussion with the staff member, the College does not limit an applicant's access to records related to their application, beyond the limitations permitted in the legislation.

**Conclusion** Instruction

The College does not limit an applicant's access to records related to their application, beyond the limitations permitted in the legislation.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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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.

### C8: Access to Records

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

Interviews of Senior Customer Service staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College limits an applicant's access to records related to their application, beyond the limitations permitted in the legislation.

**Result of the test** **Instruction**

Per discussion with the staff member, the College does not limit an applicant's access to records related to their application, beyond the limitations permitted in the legislation.

**Conclusion** **Instruction**

The College does not limit an applicant's access to records related to their application, beyond the limitations permitted in the legislation.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure

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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.

Per Section 16. (1) of the Health Professions Procedural Code, "The Registrar shall give an applicant for registration, at his or her request, all the information and a copy of each document the College has that is relevant to the application."

Per Section 16. (2) of the Health Professions Procedural Code, "The Registrar may refuse to give an applicant anything that may, in the Registrar's opinion, jeopardize the safety of any person."

Full access is always provided, unless there is information within an applicant's file that in the Executive Director's or designate's opinion, may jeopardize the safety of any person.

### 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.

### C8: Access to Records

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

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College gives applicants partial access when records can reasonably be severed.

### Result of the test Instruction

Per discussion with the staff member, the College gives applicants partial access when records can reasonably be severed. For example, information within an applicant's file that in the Executive Director's or designate's opinion, may jeopardize the safety of any person, can reasonably be severed from an applicant's file.

### Conclusion Instruction

The College gives applicants partial access when records can reasonably be severed.

### Recommendation Instruction

No recommendation required.

Add another interview procedure

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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

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

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College gives applicants partial access when records can reasonably be severed.

### Result of the test Instruction

Per discussion with the staff member, the College gives applicants partial access when records can reasonably be severed. For example, transcripts can reasonably be severed from an applicant's file.

### Conclusion Instruction

The College gives applicants partial access when records can reasonably be severed.

### Recommendation Instruction

No recommendation required.

Add another interview procedure



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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.

### C8: Access to Records

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

**Interviews of** Senior Customer Service staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College gives applicants partial access when records can reasonably be severed.

### Result of the test Instruction

Per discussion with the staff member, the College gives applicants partial access when records can reasonably be severed. For example, transcripts can reasonably be severed from an applicant's file.

### Conclusion Instruction

The College gives applicants partial access when records can reasonably be severed.

### Recommendation Instruction

No recommendation required.

Add another interview procedure

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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.

The College's process for considering applicant requests for access to records is as follows:

1. The applicant must submit in writing a request for access to records related to their application. The request must include the applicant's signature and date.
2. Customer service personnel receives the request and documents the request in the College's computer system. The applicant's records are retrieved from the applicant's assigned Registration Administrator. Customer service personnel photocopy the documents requested by the applicant, if the information is available. Alternatively, Registration Administrators may also photocopy the documents requested by the applicant if the information is available, and send it to Customer service personnel.
3. The Manager of Customer Service scans the photocopied documents to determine if information within the photocopied documents is what the applicant has requested. The Customer Service Coordinator (the assistant to the Manager of Customer Service) may perform the scan if the Manager of Customer Service is unavailable. If the photocopied documents contain information that may jeopardize the safety of any person, the Manager or designate may refuse to provide the photocopied documents to the applicant. If the photocopied documents do not contain information that may jeopardize the safety of any person, the Manager or designate approves the request.

The College's process for considering other party requests for access to records is as follows:

1. If the applicant's application is referred to the Registration Committee, the Registration Committee may have access to the applicant's application.
2. If the applicant appeals a Registration Committee's decision, the Health Professions Appeal and Review Board may have access to the applicant's application.

Note that the applicant's medical information, if any, are not included in the applicant's records. This information is



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### C8: Access to Records

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

separately kept with the Registration Access Coordinator. Any requests for access to an applicant's medical records must be made through the Registration Access Coordinator, who will determine whether the individual or party making the request is authorized to have this information.

#### 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?**

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe the College's process for considering requests for access to records.

**Result of the test** Instruction

Per discussion with the staff member, the College has a process for considering requests for access to records as described in the process above.

**Conclusion** Instruction

The College has a process for considering requests for access to records.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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## SECTION C: Evaluation of Registration Practices

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### C8: Access to Records

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

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe the College's process for considering requests for access to records.

### Result of the test Instruction

Per discussion with the staff member, the College has a process for considering requests for access to records as described in the process above.

### Conclusion Instruction

The College has a process for considering requests for access to records.

### Recommendation Instruction

No recommendation required.

Add another interview procedure

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## SECTION C: Evaluation of Registration Practices

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### C8: Access to Records

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

Interviews of Senior Customer Service staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member to describe the College's process for considering requests for access to records.

**Result of the test** Instruction

Per discussion with the staff member, the College has a process for considering requests for access to records as described in the process above.

**Conclusion** Instruction

The College has a process for considering requests for access to records.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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### 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 College gives applicants information on fees charged for access to applicant records. The College refers to photocopying or faxing documents to applicants as "access" to applicant records.

Applicants are informed of access fees when he or she makes the request to the College. In addition, the web site and physically published materials provide information on 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

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### C8: Access to Records

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

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College gives applicants an estimate of any fee charged for access.

**Result of the test** Instruction

Per discussion with the staff member, the College gives applicants an estimate of any fee charged for access as described in the process above.

**Conclusion** Instruction

The College gives applicants an estimate of any fee charged for access.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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## SECTION C: Evaluation of Registration Practices

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### C8: Access to Records

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

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College gives applicants an estimate of any fee charged for access.

### Result of the test Instruction

Per discussion with the staff member, the College gives applicants an estimate of any fee charged for access as described in the process above.

### Conclusion Instruction

The College gives applicants an estimate of any fee charged for access.

### Recommendation Instruction

No recommendation required.

Add another interview procedure

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## SECTION C: Evaluation of Registration Practices

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### C8: Access to Records

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

**Interviews of** Senior Customer Service staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College gives applicants an estimate of any fee charged for access.

**Result of the test** **Instruction**

Per discussion with the staff member, the College gives applicants an estimate of any fee charged for access as described in the process above.

**Conclusion** **Instruction**

The College gives applicants an estimate of any fee charged for access.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure



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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 establishes the amount of the access fee based on cost recovery. The fee represents the time and effort required to extract the information and provide it to the individual.

### 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

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

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College's fee for access to records is less than the amount prescribed by regulation.

**Result of the test** Instruction

Per discussion with the staff member, there is no regulation prescribing an amount for access to records.

**Conclusion** Instruction

There is no regulation prescribing an amount for access to records.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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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 regulation?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College's fee for access to records is less than the amount prescribed by regulation.

**Result of the test** Instruction

Per discussion with the staff member, there is no regulation prescribing an amount for access to records.

**Conclusion** Instruction

There is no regulation prescribing an amount for access to records.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

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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 regulation?**

Interviews of Senior Customer Service staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College's fee for access to records is less than the amount prescribed by regulation.

**Result of the test** Instruction

Per discussion with the staff member, there is no regulation prescribing an amount for access to records.

**Conclusion** Instruction

There is no regulation prescribing an amount for access to records.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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### 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.

The College may waive access fees. However, the fee is rarely waived as the costs are low and it represents the time and effort required to extract the information and provide it to the individual.

These waivers are based on fair and equitable reasons. Per By-law No.2 : Fees, section 10.01, "Despite any provisions contained in this by-law, the Executive Director may waive the requirement for an individual applicant or member to pay a fee required by this by-law where, in the Executive Director's opinion, the circumstances are sufficiently extraordinary to warrant the waiver and are not based upon the ability of the individual applicant or member to pay the fee."

### 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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### C8: Access to Records

#### C8g. Does the health regulatory college waive access fees?

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College waives access fees.

#### Result of the test Instruction

Per discussion with the staff member, the College waives access fees as described in the process above.

#### Conclusion Instruction

The College does not normally waive access fees unless it is in the Executive Director's opinion that the circumstances are sufficiently extraordinary.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure



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## SECTION C: Evaluation of Registration Practices

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### C8: Access to Records

#### C8g. Does the health regulatory college waive access fees?

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College waives access fees.

#### Result of the test Instruction

Per discussion with the staff member, the College waives access fees as described in the process above.

#### Conclusion Instruction

The College does not normally waive access fees unless it is in the Executive Director's opinion that the circumstances are sufficiently extraordinary.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure

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## SECTION C: Evaluation of Registration Practices

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### C8: Access to Records

#### C8g. Does the health regulatory college waive access fees?

Interviews of Senior Customer Service staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College waives access fees.

#### Result of the test Instruction

Per discussion with the staff member, the College waives access fees as described in the process above.

#### Conclusion Instruction

The College does not normally waive access fees unless it is in the Executive Director's opinion that the circumstances are sufficiently extraordinary.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure



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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.**

Does the regulated profession restrict certain employees from having access to applicant records?

### C8: Access to Records

**C8h. Type your additional question here.**

C8h. Does the regulated profession restrict certain employees from having access to applicant records?

### C8: Access to Records

**C8h. Type your additional question here.**

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### C8: Access to Records

**C8h. Type your additional question here.**

C8h. Does the regulated profession restrict certain employees from having access to applicant records?

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## SECTION C: Evaluation of Registration Practices

### C8: Access to Records

**C8h. Type your additional question here.**

C8h. Does the regulated profession restrict certain employees from having access to applicant records?

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

The College keeps all information confidential in accordance with the Regulated Health Professions Act.

All applicant files are locked in the Administration department. All applications are assigned to a Registration Administrator who has carriage over the applicant's file and is the applicant's main contact throughout the registration process. The applicant's records are disclosed only to those in the Customer Service department, Applicant Administration (department: Finance and Administration), Entry-to-Practice department, Manager of Finance and Administration, Director of Corporate Services, Executive Director (or acting Executive Director), and Registration Committee. Everyone else is on a need-to-know basis.

All applicant medical records are locked separately in the Registration Access Coordinator's office. The Registration Access Coordinator is the main contact with respect to all matters relating to an applicant's medical records. Any requests for access to an applicant's medical records must be made through the Registration Access Coordinator, who will determine whether the individual or party making the request is authorized to have this information.

### 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

**C8h. Does the regulated profession restrict certain employees from having access to applicant records?**

**Interviews of** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College restricts certain employees from having access to applicant information.

**Result of the test** **Instruction**

Per discussion with the staff member, the College restricts certain employees from having access to applicant information as described in the process above.

**Conclusion** **Instruction**

The College restricts certain employees from having access to applicant information.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure

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### C8: Access to Records

**C8h. Does the regulated profession restrict certain employees from having access to applicant records?**

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College restricts certain employees from having access to applicant information.

**Result of the test** Instruction

Per discussion with the staff member, the College restricts certain employees from having access to applicant information as described in the process above.

**Conclusion** Instruction

The College restricts certain employees from having access to applicant information.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure

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### C8: Access to Records

**C8h. Does the regulated profession restrict certain employees from having access to applicant records?**

**Interviews of** Senior Customer Service staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College restricts certain employees from having access to applicant information.

**Result of the test** **Instruction**

Per discussion with the staff member, the College restricts certain employees from having access to applicant information as described in the process above.

**Conclusion** **Instruction**

The College restricts certain employees from having access to applicant information.

**Recommendation** **Instruction**

No recommendation required.

Add another interview procedure



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## SECTION C: Evaluation of Registration Practices

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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.

Does the regulated profession return original documents submitted by the applicant, if requested?

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

The only original document the College requests to be submitted by the applicant is the CPIC. This is not returned to the applicant. If an applicant submits an original document such as a birth certificate, the College makes a photocopy of the original document and returns the original document to the applicant.

Other original documents such as transcripts, reference letters, etc. the College requests to be submitted directly from the source, not the applicant.

### 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

**C8h. Does the regulated profession return original documents submitted by the applicant, if requested?**

**Interviews of** Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College returns original documents submitted by the applicant.

#### Result of the test

Instruction

Per discussion with the staff member, the College returns all original documents submitted by the applicant as described in the process above.

#### Conclusion

Instruction

With the exception of the CPIC, the College returns original documents submitted by the applicant, if requested.

#### Recommendation

Instruction

No recommendation required.

Add another interview procedure

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## SECTION C: Evaluation of Registration Practices

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### C8: Access to Records

**C8h. Does the regulated profession return original documents submitted by the applicant, if requested?**

**Interviews of** Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College returns original documents submitted by the applicant.

**Result of the test** Instruction

Per discussion with the staff member, the College returns all original documents submitted by the applicant as described in the process above.

**Conclusion** Instruction

With the exception of the CPIC, the College returns original documents submitted by the applicant, if requested.

**Recommendation** Instruction

No recommendation required.

Add another interview procedure



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## SECTION C: Evaluation of Registration Practices

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### C8: Access to Records

**C8h. Does the regulated profession return original documents submitted by the applicant, if requested?**

**Interviews of** Senior Customer Service staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College returns original documents submitted by the applicant.

**Result of the test** Instruction

Per discussion with the staff member, the College returns all original documents submitted by the applicant as described in the process above.

**Conclusion** Instruction

With the exception of the CPIC, the College returns original documents submitted by the applicant, if requested.

**Recommendation** Instruction

No recommendation required.

Add another question

Add another interview procedure

For the College of Nurses of Ontario

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### C8: Access to Records

#### C8i. Additional comments on section C8, Access to Records

No additional comments on section C8.



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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 **Instruction** 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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### 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.

Determine whether the applicant has met the program requirement.

### 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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## SECTION D: Evaluation of Registration Practices, General Duty

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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 Determine whether the applicant has met the program requirement.

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College has any practices that relate to its registration function but are not listed in the Code.

#### Result of the test Instruction

The College has practices that relate to its registration function but are not listed in the Code. One of the practices is determining whether the applicant has met the program requirement (eg. reviewing application to determine whether an applicant has completed a nursing program equivalent to an approved Ontario program, evaluation of the credential to determine equivalency to a current Ontario program).

#### Conclusion Instruction

The College has practices that relate to its registration function but are not listed in the Code.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure

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## SECTION D: Evaluation of Registration Practices, General Duty

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

Testing procedure for Determine whether the applicant has met the program requirement.

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College has any practices that relate to its registration function but are not listed in the Code.

#### Result of the test Instruction

The College has practices that relate to its registration function but are not listed in the Code. One of the practices is determining whether the applicant has met the program requirement (eg. reviewing application to determine whether an applicant has completed a nursing program equivalent to an approved Ontario program, evaluation of the credential to determine equivalency to a current Ontario program).

#### Conclusion Instruction

The College has practices that relate to its registration function but are not listed in the Code.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure



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### 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.

2.

Determine whether the applicant meets the safe practice requirement.

### 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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## SECTION D: Evaluation of Registration Practices, General Duty

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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 Determine whether the applicant meets the safe practice requirement.

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College has any practices that relate to its registration function but are not listed in the Code.

#### Result of the test Instruction

The College has practices that relate to its registration function but are not listed in the Code. One of the practices is determining whether the applicant meets the safe practice requirement (determining whether an applicant has graduated from a program in the last five years or whether they have worked as a nurse for 1125 hours in the last five years).

#### Conclusion Instruction

The College has practices that relate to its registration function but are not listed in the Code.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure

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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.

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

Testing procedure for Determine whether the applicant meets the safe practice requirement.

Interviews of Senior Registration staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College has any practices that relate to its registration function but are not listed in the Code.

#### Result of the test Instruction

The College has practices that relate to its registration function but are not listed in the Code. One of the practices is determining whether the applicant meets the safe practice requirement (determining whether an applicant has graduated from a program in the last five years or whether they have worked as a nurse for 1125 hours in the last five years).

#### Conclusion Instruction

The College has practices that relate to its registration function but are not listed in the Code.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure



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☒ 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.

3.

Determine whether an applicant has met the examination requirement.

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

Testing procedure for Determine whether an applicant has met the examination requirement.

Interviews of Senior Corporate Services staff member

(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College has any practices that relate to its registration function but are not listed in the Code.

#### Result of the test Instruction

The College has practices that relate to its registration function but are not listed in the Code. One of the practices is determining whether an applicant has met the examination requirement (administering a national examination, scoring the examination, allowing the applicant to request a re-score of the examination).

#### Conclusion Instruction

The College has practices that relate to its registration function but are not listed in the Code.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure

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(e.g., registration committee members)

Describe your interview procedure.

I asked the staff member if the College has any practices that relate to its registration function but are not listed in the Code.

#### Result of the test Instruction

The College has practices that relate to its registration function but are not listed in the Code. One of the practices is determining whether an applicant has met the examination requirement (administering a national examination, scoring the examination, allowing the applicant to request a re-score of the examination).

#### Conclusion Instruction

The College has practices that relate to its registration function but are not listed in the Code.

#### Recommendation Instruction

No recommendation required.

Add another interview procedure



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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.

4.

Determine whether an applicant has met the fluency requirement.

### 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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- ☐ Document review
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- ☐ I did not use any testing procedures



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

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### 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
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- ☐ Sampling
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