

For the College of Dental Hygienists of Ontario

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

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

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

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

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

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

For the College of Dental Hygienists of Ontario

Completing the Audit Report

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

Submission and Publication Guidelines

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

Contact Us

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

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SECTION A: General Information

This section should be completed by the auditor.

Health Regulatory College Name			
College of Dental Hygienists of Ontario			
Period Covered by the Audit (e.g. July 16, 2008, through July 15, 2009)			
April 2, 2008		through April 1, 2009	
Notice of Audit Start Date	Notice of Audit Completion Date	Actual Start Date	Actual Completion Date
September 1, 2009	December 31, 2009	October 6, 2009	December 23, 2009

SECTION B: Audit Approach

This section should be completed by the auditor.

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

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

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

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

- Attended the auditor's orientation session held by the Office of the Fairness Commissioner (OFC) in August 2009
- 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 the 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 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 website and publications
- j) Review of other related websites 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 website

c) Discussions and meetings with Registrar and College registration staff:

- Fran Richardson, Registrar
- Evelyn Waters, Deputy Registrar
- Jane Cain, Executive Assistant
- Heather Boucher, Administrative Assistant Registration
- Margaret Stevenson, Director of Administration Services
- Vivian Ford, Receptionist

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) Corresponded and confirmed information with registration committee members

h) Surveyed applicants 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 (April 2, 2008 through April 1, 2009). This includes the following:

i) Applicants who applied for registration during the audit period and were not registered during the audit period (nil)

ii) Applicants who were registered during the audit period (104)

iii) Applicants who applied for registration and were registered during the audit period (889)

iv) Applicants who began the registration process prior to the audit period but were not registered during the audit period (5)

v) Applicants who began the registration process during the audit period but have not met the registration requirements during the audit period (54)

There were 1052 total active files.

b) Confirmed completeness of population through either confirmation with Registrar or Deputy Registrar, and/or having staff generate a listing of active applicants during the audit period from an exhaustive database of applicants in our presence

c) Subsequent to the confirmation of the completeness of the population, we chose our samples.

d) We used a sample size of approximately 10 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 for the Accredited registrants was chosen as follows:

Add all registrants = 781 accredited registrants + 212 non-accredited & international registrants = 993 registrants

Multiply total registrants by 5% = $993 \times 5\% = 49.65 = \text{sampled } 49$

Multiply sample of registrants by 25% = $49 \times 25\% = 12 \text{ accredited registrants}$

Select the first registrant on list
Select every sixty fourth registrant thereafter

Sample size for the Non-accredited & International registrants was chosen as follows:

Add all registrants = 781 accredited registrants + 212 non-accredited & international registrants = 993 registrants
Multiply total registrants by 5% = $993 \times 5\% = 49.65 =$ sampled 49
Multiply sample of registrants by 75% = $49 \times 75\% = 37$ non-accredited & international registrants
Select the first registrant on list
Select every sixth registrant thereafter

Sample size for the Accredited applicants was chosen as follows:

Add all applicants = 777 accredited applicants + 166 non-accredited & international applicants = 943 applicants
Multiply total applicants by 5% = $943 \times 5\% = 47.15 =$ sampled 46
Multiply sample of applicants by 25% = $46 \times 25\% = 11$ accredited applicants
Select the thirty third applicant on list
Select every sixty sixth applicant thereafter

Sample size for the Non-accredited & International applicants was chosen as follows:

Add all applicants = 777 accredited applicants + 166 non-accredited & international applicants = 943 applicants
Multiply total applicants by 5% = $943 \times 5\% = 47.15 =$ sampled 46
Multiply sample of applicants by 75% = $46 \times 75\% = 35$ non-accredited & international applicants
Randomly select applicants that were not already selected (majority of the 166 applicants were also in the registrant list)

All remaining international files that were active in the period but not randomly selected above were also sampled (2).

All Registration Committee reviews that occurred during the period but not randomly selected above were also sampled (12).

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SECTION C: Evaluation of Registration Practices

This section should be completed by the auditor.

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

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

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

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

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

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

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

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

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SECTION C: Evaluation of Registration Practices

Table of Questions

C1: Information for Applicants

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

C2: Timely Decisions, Responses and Reasons

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

C3: Internal Review or Appeal

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

C4: Information on Appeal Rights

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

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SECTION C: Evaluation of Registration Practices

C5: Documentation of Qualifications

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

C6: Assessment of Qualifications

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

C7: Training

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

C8: Access to Records

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

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SECTION C: Evaluation of Registration Practices

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

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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?

☒ Yes ☐ No

Describe the health regulatory college's process for providing information about its registration practices.

The College of Dental Hygienists of Ontario ("CDHO") provides information about its registration practices to persons applying or intending to apply for registration through different communication methods.

1. CDHO provides information about its registration practices through the CDHO web site, www.cdho.org.

a) On the web site's home page are nine clearly labelled tabs for a web site user to choose from. Sixth across the list is a tab called "Registration".

b) Once the web site user selects "Registration", a drop down menu shows eleven topics for a web site user to choose from.

c) Within these eleven topics, the CDHO provides information about its registration practices. In particular, the topics covered are: "about registration", "categories of registration", "requirements", "clinical competency evaluation", "educational institutions", "private non-accredited", "renew your registration", "registrant address change", "forms", "jurisprudence registration dates", and "office of the fairness commissioner".

2. CDHO provides information about its registration practices in person. The Deputy Registrar, administration assistant in the registration department, and receptionist are available to meet with applicants regarding their applications. This support is provided to walk-ins if they are available, or by appointment. The CDHO may be contacted at:

69 Bloor Street East, Suite 300
Toronto, Ontario Canada M4W 1A9

3. CDHO provides information about its registration practices by mail. The CDHO may be contacted at:

69 Bloor Street East, Suite 300
Toronto, Ontario Canada M4W 1A9

4. CDHO provides information about its registration practices through e-mail. The CDHO may be contacted at: deputyregistrar@cdho.org

5. CDHO provides information about its registration practices by telephone and fax. The CDHO may be contacted at:
Telephone: (416) 961-6234



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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?

Toll Free: 1 (800) 268-2346

Fax: (416) 961-6028

The CDHO's hours of operations are Monday to Friday, 8:30am to 4:30pm.

In addition to the five methods noted above, the CDHO also forwards application packages to all students in accredited programs.

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**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 reviewed the physically published application packages for each of the three programs.

Result of the test **Instruction**

The application package clearly provides information about CDHO's registration practices.

The package includes a narrative guide to the process of being registered as a dental hygienist in Ontario, all applicable forms to be completed, as well as a comprehensive checklist. In addition, the package includes relevant legislation and guidelines regarding the practice of dental hygiene in Ontario: a copy of the Dental Hygiene Act, 1991 (Part VII, Registration) and a copy of the Regulated Health Professions Act, 1991 (S.O. 1991, CHAPTER 18, Registration).

Conclusion **Instruction**

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

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

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

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters 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

The CDHO provides information about its registration practices to persons applying or intending to apply for registration as described in the process above.

Conclusion Instruction

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

Recommendation Instruction

No recommendation required.

Add another interview 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

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.

I reviewed the CDHO's website. In particular, I reviewed the "Registration" tab.

Result of the test Instruction

The website clearly provides information about CDHO's registration practices.

Clearly labelled across the homepage of its website, www.cdho.org, are nine tabs for the applicant to choose from. The sixth tab is called "Registration".

Under this tab, the website provides information on: an overview of the College and registration requirements, categories of registration, requirements for each of the three types of applicants, clinical competency evaluation, accredited educational institutions in Ontario, private non-accredited programs & exam results, how to renew registration, forms, jurisprudence presentation dates, Office of the Fairness Commissioner.

Conclusion Instruction

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

Recommendation Instruction

No recommendation required.

Add another testing procedure

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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 CDHO provides information about the amount of time that the registration process usually takes through different communication methods.

1. CDHO provides information about the amount of time that the registration process usually takes through the CDHO web site, www.cdho.org and through published application packages.

a) On the web site's home page are nine clearly labelled tabs for a web site user to choose from. Sixth across the list is a tab called "Registration".

b) Once the web site user selects "Registration", a drop down menu shows eleven topics for a web site user to choose from.

c) From the drop-down menu, the applicant can select "Requirements", and select which program applies to their situation (accredited graduates, non-accredited graduates and international graduates). Clearly indicated within each program's requirements are the expected registration processing times.

The registration processing time is also physically published in its application packages for each type of applicant (accredited graduates, non-accredited graduates and international graduates). Within the application package is a document called "A Guide to the Process of Being Registered as a Dental Hygienist in Ontario". There is a specific guide for each of the three types of applicants. In the guide, the CDHO indicates the length of time it is expected to take to process a completed application once it has been received. The application package can be requested via the four methods below:

2. CDHO can provide information about the amount of time that the registration process usually takes in person. The Deputy Registrar, administration assistant in the registration department, and receptionist are available to meet with applicants regarding their applications. This support is provided to walk-ins if they are available, or by appointment. The CDHO may be contacted at:

69 Bloor Street East, Suite 300
Toronto, Ontario Canada M4W 1A9

3. CDHO can provide information about the amount of time that the registration process usually takes by mail. The

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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?

CDHO may be contacted at:
69 Bloor Street East, Suite 300
Toronto, Ontario Canada M4W 1A9

4. CDHO can provide information about the amount of time that the registration process usually takes through e-mail.
The CDHO may be contacted at:
deputyregistrar@cdho.org

5. CDHO can provide information about the amount of time that the registration process usually takes by telephone and fax. The CDHO may be contacted at:
Telephone: (416) 961-6234
Toll Free: 1 (800) 268-2346
Fax: (416) 961-6028
The CDHO's hours of operations are Monday to Friday, 8:30am to 4:30pm.

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

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 reviewed the physically published application packages for each of the three programs. In particular, I reviewed "A Guide to the Process of Being Registered as a Dental Hygienist in Ontario".

Result of the test Instruction

A graduate of an accredited dental hygiene program must: (1) be a holder of a certificate issued by the National Dental Hygiene Certification Board ("NDHCB") (2) attend a jurisprudence presentation or complete an approved jurisprudence course of study (3) submit an application form. Once the registration requirements have been met and the College has received a completed application form, the registration processing time is approximately 5-10 business days. In addition, the applicant may check on-line at "Find a Dental Hygienist" on the College's web site to see if their name is listed (indicating that the applicant is registered). This is published in the guide.

A graduate of a non-accredited dental hygiene program must: (1) have the Registration Committee approve their educational requirements (if considered ineligible to sit the NDHCB examination) and pass the provincial exam OR successfully complete the NDHCB examination (2) successfully complete a clinical competency assessment (3) attend a jurisprudence presentation or complete an approved jurisprudence course of study (4) submit an application form. As indicated in "A Guide to the Process of Being Registered as a Dental Hygienist in Ontario", it takes approximately three months for a course of study to be assessed. In the "College of Dental Hygienists of Ontario Clinical Competency Evaluation Information to Candidates" guide, results will be forwarded to candidates within three weeks of the evaluation. Once the registration requirements have been met and the College has received a completed application form, the registration processing time is approximately 5-10 business days. In addition, the applicant may check on-line at "Find a Dental Hygienist" on the College's web site to see if their name is listed (indicating that the applicant is registered). This is published in the guide.

A graduate of an international dental hygiene program must: (1) have the Registration Committee approve their educational requirements (if considered ineligible to sit the NDHCB examination) and pass the provincial exam OR successfully complete the NDHCB examination (2) successfully complete a clinical competency assessment (3) attend a jurisprudence presentation or complete an approved jurisprudence course of study (4) submit an application

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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?

form. As indicated in "A Guide to the Process of Being Registered as a Dental Hygienist in Ontario", it takes approximately three months for a course of study to be assessed. In the "College of Dental Hygienists of Ontario Clinical Competency Evaluation Information to Candidates" guide, results will be forwarded to candidates within three weeks of the evaluation. Once the registration requirements have been met and the College has received a completed application form, the registration processing time is approximately 5-10 business days. In addition, the applicant may check on-line at "Find a Dental Hygienist" on the College's web site to see if their name is listed (indicating that the applicant is registered). This is published in the guide.

Conclusion

Instruction

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

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.

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 Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

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

Result of the test Instruction

The CDHO provides information about the amount of time that the registration process usually takes as described in the process above.

Conclusion Instruction

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

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.

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.

I reviewed the program requirements for each of the three programs on CDHO's website.

Result of the test Instruction

A graduate of an accredited dental hygiene program must: (1) be a holder of a certificate issued by the National Dental Hygiene Certification Board ("NDHCB") (2) attend a jurisprudence presentation or complete an approved jurisprudence course of study (3) submit an application form. Once the registration requirements have been met and the College has received a completed application form, the registration processing time is approximately 5-10 business days. In addition, the applicant may check on-line at "Find a Dental Hygienist" on the College's web site to see if their name is listed (indicating that the applicant is registered).

A graduate of a non-accredited dental hygiene program must: (1) have the Registration Committee approve their educational requirements (if considered ineligible to sit the NDHCB examination) and pass the provincial exam OR successfully complete the NDHCB examination (2) successfully complete a clinical competency assessment (3) attend a jurisprudence presentation or complete an approved jurisprudence course of study (4) submit an application form. As indicated in "A Guide to the Process of Being Registered as a Dental Hygienist in Ontario", it takes approximately three months for a course of study to be assessed. In the "College of Dental Hygienists of Ontario Clinical Competency Evaluation Information to Candidates" guide, results will be forwarded to candidates within three weeks of the evaluation. Once the registration requirements have been met and the College has received a completed application form, the registration processing time is approximately 5-10 business days. In addition, the applicant may check on-line at "Find a Dental Hygienist" on the College's web site to see if their name is listed (indicating that the applicant is registered).

A graduate of an international dental hygiene program must: (1) have the Registration Committee approve their educational requirements (if considered ineligible to sit the NDHCB examination) and pass the provincial exam OR successfully complete the NDHCB examination (2) successfully complete a clinical competency assessment (3) attend a jurisprudence presentation or complete an approved jurisprudence course of study (4) submit an application

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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?

form. As indicated in the Career Map, it takes approximately three months for a course of study to be assessed. The web site indicates through the Clinical Competency Evaluation Information that results will be forwarded to candidates within three weeks of the evaluation. Once the registration requirements have been met and the College has received a completed application form, the registration processing time is approximately 5-10 business days. In addition, the applicant may check on-line at "Find a Dental Hygienist" on the College's web site to see if their name is listed (indicating that the applicant is registered).

Conclusion

Instruction

The CDHO 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 CDHO communicates the objective requirements for registration through different communication methods.

1. CDHO communicates the objective requirements for registration through the CDHO web site, www.cdho.org and through published application packages.

a) On the web site's home page are nine clearly labelled tabs for a web site user to choose from. Sixth across the list is a tab called "Registration".

b) Once the web site user selects "Registration", a drop down menu shows eleven topics for a web site user to choose from.

c) From the drop-down menu, the applicant can select "Requirements", and select which program applies to their situation (accredited graduates, non-accredited graduates and international graduates). Clearly indicated within each program's requirements are the objective requirements.

The objective requirements are also physically published in its application packages for each type of applicant (accredited graduates, non-accredited graduates and international graduates). Within the application package is a document called "A Guide to the Process of Being Registered as a Dental Hygienist in Ontario". There is a specific guide for each of the three types of applicants. Objective requirements are clearly stated in the guide.

In addition, a copy of the Dental Hygiene Act, 1991 (Part VII, Registration) has been included in the application package. Exemptible and non-exemptible requirements are noted in the regulations. The application package can be requested via the four methods below:

2. CDHO communicates the objective requirements for registration in person. The Deputy Registrar, administration assistant in the registration department, and receptionist are available to meet with applicants regarding their applications. This support is provided to walk-ins if they are available, or by appointment. The CDHO may be contacted at:

69 Bloor Street East, Suite 300
Toronto, Ontario Canada M4W 1A9

3. CDHO may communicate the objective requirements for registration by mail. The CDHO may be contacted at:

69 Bloor Street East, Suite 300
Toronto, Ontario Canada M4W 1A9

For the College of Dental Hygienists of Ontario

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C1: Information for Applicants

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

4. CDHO communicates the objective requirements for registration through e-mail. The CDHO may be contacted at: deputyregistrar@cdho.org

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

Telephone: (416) 961-6234

Toll Free: 1 (800) 268-2346

Fax: (416) 961-6028

The CDHO's hours of operations are Monday to Friday, 8:30am to 4:30pm.

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

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

Describe your document review procedure.

I reviewed the physically published application packages for each of the three programs.

Result of the test Instruction

Objective registration requirements were communicated within each program's application package in two places: "A Guide to the Process of Being Registered as a Dental Hygienist in Ontario" and in the excerpt from the Dental Hygiene Act, 1991 (Part VII, Registration).

Conclusion Instruction

The CDHO communicates the objective requirements for registration.

Recommendation Instruction

Although there is a link to the Dental Hygiene Act, 1991 (Part VII, Registration) on the web site under the "Legislation and Bylaws" tab, we recommend that a link to the Dental Hygiene Act, 1991 (Part VII, Registration) be included under the Registration tab in the web site.

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.

C1: Information for Applicants

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

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe how the College communicates the objective requirements for registration.

Result of the test Instruction

The CDHO communicates the objective requirements for registration as described in the process above.

Conclusion Instruction

The CDHO communicates the objective requirements for registration.

Recommendation Instruction

No recommendation required.

Add another interview procedure

For the College of Dental Hygienists 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.

The CDHO explains which requirements may be satisfied through acceptable alternatives on a case by case basis. However, requirements are also explained through the following methods:

a) Ontario Regulation 218/94 - Part VII, Registration. For examples:

i) An applicant must be the holder of a certificate issued by the National Dental Hygiene Certification Board or must have successfully completed the written certification examination set or approved by the Registration Committee.

ii) An applicant must have successfully completed a clinical competency assessment set or approved by the Registration Committee, unless the applicant has successfully completed a program of at least two years in dental hygiene that at the time of the applicant's graduation was accredited by the CDAC or by the American Dental Association Commission on Dental Accreditation

b) Jurisprudence Presentation

c) Finally, requirements which may be satisfied through acceptable alternatives are explained through the CDHO web site, or the applicants may contact the CDHO in person, by mail, by e-mail or by telephone.

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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?

Testing procedures

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

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

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

C1: Information for Applicants

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

Describe your document review procedure.

I reviewed two types of documents: the Dental Hygiene Act, 1991, Ontario Regulation 218/94 - Registration, and the application forms.

Result of the test

Instruction

The College explains which requirements may be satisfied through acceptable alternatives within these two types of documents.

Conclusion

Instruction

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

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.

C1: Information for Applicants

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

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

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

Result of the test Instruction

The CDHO explains which requirements may be satisfied through acceptable alternatives as described in the process above.

Conclusion Instruction

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

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.

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 95 registered applicants, and asked them the following question:

"Were you aware of the alternate ways to satisfy registration requirements based on information provided in the published materials (for example, in cases where original certificates have been destroyed or lost)?"

Result of the test Instruction

Of the 95 surveys sent, 42 were returned. Of the 42 returned: 18 have indicated that based on information provided in the published materials, they were aware of the alternate ways to satisfy registration requirements; 11 have indicated that based on information provided in the published materials, they were unaware of the alternate ways to satisfy registration requirements; and the remaining 13 have indicated not applicable.

Note that surveys were sent to registered applicants, which include all types of applicants (accredited, non-accredited and non-accredited international). In the case of graduates from accredited programs, they usually have no difficulty in registering as they automatically meet the requirements so it is not necessary to address acceptable alternatives in their guides.

Conclusion Instruction

Although 11 registered applicants have indicated that they were unaware of the alternate ways to satisfy registration requirements, other procedures we have performed have indicated that the CDHO explains which requirements may be satisfied through acceptable alternatives (through various methods as described in the process above).

Recommendation Instruction

No recommendation required.

Add another testing procedure

For the College of Dental Hygienists of Ontario

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C1: Information for Applicants

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

☒ Yes ☐ No

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

The CDHO provides a fee scale for each type of applicant through two different methods.

Firstly, the CDHO provides a fee scale through the CDHO web site, www.cdho.org.

a) On the web site's home page are nine clearly labelled tabs for a web site user to choose from. Sixth across the list is a tab called "Registration".

b) Once the web site user selects "Registration", a drop down menu shows eleven topics for a web site user to choose from.

c) In addition, from the drop-down menu, the applicant can select "Requirements", and select which program applies to their situation (accredited graduates, non-accredited graduates and international graduates). Clearly indicated within each program's requirements are the fees.

Secondly, the fee scale is physically published in its application packages for each type of applicant (accredited graduates, non-accredited graduates and international graduates). Within the application package is a document called "A Guide to the Process of Being Registered as a Dental Hygienist in Ontario". There is a specific guide for each of the three types of applicants. Fees are listed in the document.

Testing procedures

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

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

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

C1: Information for Applicants

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

Describe your document review procedure.

I reviewed the application packages for each type of applicant to ensure the fee scale is physically published.

Result of the test Instruction

Within each guide for each of the three types of applicants, the fees were listed.

Conclusion Instruction

The CDHO provides a fee scale.

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.

C1: Information for Applicants

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

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe how the College provides a fee scale.

Result of the test Instruction

The CDHO provides a fee scale as described in the process above.

Conclusion Instruction

The CDHO provides a fee scale.

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.

C1: Information for Applicants

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

Describe your other testing procedure.

I reviewed the College's web site at www.cdho.org to ensure the fee scale is electronically published.

Result of the test Instruction

Under the "Requirements" tab, for each of the three types of programs, the fees are clearly indicated.

Conclusion Instruction

The CDHO provides a fee scale.

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.

C1: Information for Applicants**C1e. Does the health regulatory college provide a fee scale?**

Describe your other testing procedure.

We sent surveys to 95 registered applicants, and asked them the following question:

"Were you made aware of the total costs that an applicant may expect to incur in order to complete the registration process?"

Result of the test **Instruction**

Of the 95 surveys sent, 42 were returned. Of the 42 returned: 39 have indicated that they were made aware of the total costs that an applicant may expect to incur in order to complete the registration process; 2 have indicated that they were not made aware of the total costs that an applicant may expect to incur in order to complete the registration process; and the remaining 1 has indicated not applicable.

Conclusion **Instruction**

Although 2 registered applicants have indicated that they were not made aware of the total costs that an applicant may expect to incur in order to complete the registration process, other procedures we have performed have indicated that the CDHO provides a fee scale (through various methods as described in the process above).

Recommendation **Instruction**

No recommendation required.

[Add another testing procedure](#)

For the College of Dental Hygienists of Ontario

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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 and concise 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 CDHO provides information in a clear and concise manner through:

- a) The development of an easily navigable and understandable web site
- b) The simple and organized design of application forms
- c) The support provided by CDHO staff to applicants throughout the application and registration process by meeting face to face with applicants, or responding to questions by telephone, mail and email

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

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

Describe your document review procedure.

I reviewed the application forms to determine the simplicity and understandability of the forms.

Result of the test 

The application forms were simply laid out. The wording was understandable and not complicated.

Conclusion 

The CDHO provides information in a clear and concise manner.

Recommendation 

No recommendation required.



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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

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

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe how the College provides information in a clear and concise manner.

Result of the test Instruction

The CDHO provides information in a clear and concise manner as described in the process above.

Conclusion Instruction

The CDHO provides information in a clear and concise manner.

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.

C1: Information for Applicants

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

Describe your other testing procedure.

I reviewed the web site to determine the simplicity and understandability of the site.

Result of the test Instruction

The web site was simply laid out. The wording within was understandable and not complicated.

Conclusion Instruction

The regulated profession provides information in a clear and concise manner.

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.

C1: Information for Applicants

C1f. Does the regulated profession provide information in a clear and concise 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 95 registered applicants, and asked them the following question:

"Was it easy for you to find the registration requirements in published materials (e.g. on the College's website/ published registration packages/ fact sheets/ career map, etc.)?"

Result of the test Instruction

Of the 95 surveys sent, 42 were returned. Of the 42 returned, all have indicated that it was easy to find the registration requirements in published materials.

Conclusion Instruction

The CDHO provides information in a clear and concise manner.

Recommendation Instruction

No recommendation required.

Add another question

Add another testing procedure

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C1: Information for Applicants

C1g. Additional comments on section C1, Information for Applicants

No additional comments on section C1.

For the College of Dental Hygienists of Ontario

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SECTION C: Evaluation of Registration Practices

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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.

The CDHO makes registration decisions within a reasonable time by following both unwritten and formally published timelines. Please see below under "timeline as stated by the health regulatory college", as there is insufficient room to describe the process here.

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

☒ Yes ☐ No

Timeline as stated by the health regulatory college

Process, continued from above:

The CDHO makes registration decisions within a reasonable time by following both unwritten and formally published timelines. Specific processes include:

GENERAL

- Ensuring roles and responsibilities of each staff member involved with registration is defined to maintain efficiency of the registration process
- Date stamping documents received from applicants to track movement/progress of application
- Ensuring applicant files are organized to maintain efficiency of the registration process
- Ensuring staffing levels are adequate during busy registration periods

COLLEGE STAFF

- Regular communication between Deputy Registrar and College registration staff
- Regular communication between College registration staff and applicant
- Ensuring information is available to make decisions:
 - Information from applicant is complete
 - Information to assess application is available
 - Information between College registration staff is available
- Scheduling and prioritizing tasks (based on number of days before the next Registration Committee/ other job responsibilities/ specific applicant situation, etc.)

REGISTRATION COMMITTEE

- Regular communication between Registration Committee, Registrar and Deputy Registrar

For the College of Dental Hygienists of Ontario

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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?

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

Timeline as stated by the health regulatory college:

- a) Registration Committee decision regarding the evaluation of a course of study = once all the required documents have been received from the applicant, the evaluation of a course of study and resulting decision is completed in approximately three months.
- b) Registration Committee decision regarding the application (declarations of criminal or civil offences) = a decision to exempt an applicant who has made declarations of criminal or civil offences on the application may be made within two to four weeks.
- c) Decision to pass or fail a clinical competency exam candidate = same day the exam is performed.
- d) Registration Committee decision regarding a clinical competency exam appeal ("Reasons and Decisions") = provided that the applicant has been given 30 days to appeal the results of a clinical competency assessment (from the date of the letter communicating the results), the internal appeal and resulting Reasons and Decisions is completed within 45 business days.
- e) Decision to register once a completed application has been received = application is processed and the applicant is registered within five to ten business days or less.

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

Website, published materials (guides, application forms)

Process for ensuring adherence to timeline

There is no formal process for adhering to timelines; the CDHO understands the importance of making registration decisions within a reasonable time and makes decisions as soon as reasonably possible after receiving information from the applicant, information from the clinical evaluators or information from the Registration Committee.

For the College of Dental Hygienists of Ontario

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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?

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

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

Sample of The entire population (as described below)
(e.g., international applications)

Population size	Sample size	% of Population
1,052	109	10

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.

1. Population size

The population size of 1052 included all applicants that had active files during the audit period. Active files include the following:

- a) Applicants who applied for registration during the audit period and were not registered during the audit period (nil)
- b) Applicants who were registered during the audit period (104)
- c) Applicants who applied for registration and were registered during the audit period (889)
- d) Applicants who began the registration process prior to the audit period but were not registered during the audit period (5)
- e) Applicants who began the registration process during the audit period but have not met the registration requirements during the audit period (54)

2. Sample size

- a) Sample of 109 active files was decided to be sufficient based on the auditors' judgement at the commencement of the audit. The sample size was not changed throughout the audit as it was as it was considered to be representative of the entire population.

- b) The following is a breakdown of the sample size:

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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?

- 5% of registered applicants ($104 + 889 = 993$; $993 \times 5\% = 49.65$, sampled 49)
- 5% of applied applicants, including those who began the process but did not apply ($889 + 54 = 943 \times 5\% = 47.15$, sampled 46)
- All other active international files that were not randomly selected (2)
- All other active files that went through either a formal or informal appeal, that were not randomly selected (12)

From the above, a further breakdown is required:

- Of the 49, 25% were selected from the accredited program (12) and 75% were selected from the non-accredited and international program (37)
- Of the 46, 25% were selected from the accredited program (11) and 75% were selected from the non-accredited and international program (35)
- All other active international files that were not randomly selected (2)
- All other active files that went through either a formal or informal appeal, that were not randomly selected (12)

Result of the test Instruction

Of the 11 accredited applied sampled:

- In 10/11 applicable cases, the registration decision to register the applicant was made within a reasonable time. In the one case where the registration decision to register the applicant was not made within a reasonable time, the time lag was due to the applicant's form being attached to another applicant's file in error.

Of the 12 accredited registered sampled:

- In 12/12 applicable cases, the registration decision to register the applicant was made within a reasonable time.

Of the 35 non-accredited applied sampled:

- In 34/34 applicable cases, the registration decision to pass or fail the CCA exam candidate was made within a reasonable time. Of the 35 non-accredited applied sampled, 1 case was not applicable - the applicant did not attend the exam.
- In 25/25 applicable cases, the registration decision to register the applicant was made within a reasonable time. Of the 35 non-accredited applied sampled, 10 cases were not applicable - they were not registered during the audit period because they have not met the registration requirements during the audit period.

Of the 37 non-accredited registered sampled:

- In 37/37 applicable cases, the registration decision to pass or fail the CCA exam candidate was made within a reasonable time.
- In 2/2 applicable cases, the registration decision regarding the Reasons and Decisions was made within a reasonable time. Of the 37 non-accredited registered sampled, 35 cases were not applicable - they did not appeal the CCA exam results.

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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?

- In 37/37 applicable cases, the registration decision to register the applicant was made within a reasonable time.

Of the 2 other active international files that were not randomly selected sampled:

- In 2/2 applicable cases, the registration decision to pass or fail the CCA exam candidate was made within a reasonable time.
- In 1/1 applicable case, the registration decision to register the applicant was made within a reasonable time. Of the 2 other active international files that were not randomly selected sampled, 1 case was not applicable - the applicant was not registered during the audit period.

For the appeal cases:

Of the 2 cases that were referred to the Registration Committee regarding the evaluation of a course:

- In 1/1 applicable case, the registration decision regarding the eligibility or ineligibility of an applicant was made within a reasonable time. Of the 2 cases that were referred to the Registration Committee regarding the evaluation of a course, 1 case was not applicable - the applicant's evaluation is not complete because the applicant had not paid the applicable fee. It was decided that the Registration Committee would continue the evaluation once the fee is paid by the applicant.

Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam:

- In 4/4 applicable cases, the registration decision to pass or fail the CCA exam candidate was made within a reasonable time.
- In 4/4 applicable cases, the registration decision regarding the Reasons and Decisions was made within a reasonable time.
- In 1/1 applicable case, the registration decision regarding the 2nd Reasons and Decisions was made within a reasonable time. Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam, 3 cases were not applicable - they did not request a second appeal of their CCA exam.
- In 3/3 applicable cases, the registration decision to register the applicant was made within a reasonable time. Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam, 1 case was not applicable - the applicant was not registered during the audit period.

Of the 6 cases that were referred to the Registration Committee regarding a declaration of offence or unauthorized practice of a profession:

- In 5/5 applicable cases, the registration decision to refer the application to the Registration Committee was made within a reasonable time. Of the 6 cases that were referred to the Registration Committee regarding a declaration of offence or unauthorized practice of a profession, 1 case was not applicable - the application was not referred to the Registration Committee for a formal review. The applicant had submitted a letter and supporting documentation



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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?

regarding her criminal offence the same day as her application; since all of her documentation was complete, the College made an effort to reduce the registration decision time by making a decision via e-mail.

- In 6/6 applicable cases, the registration decision to accept an application was made within a reasonable time.
- In 6/6 applicable cases, the registration decision to register the applicant was made within a reasonable time.

Conclusion

Instruction

The CDHO makes registration decisions within a reasonable time.

Recommendation

Instruction

We recommend that once every six months, files are reviewed at random to ensure timelines are met by the College. Monitoring compliance with timelines will assist the College in ensuring that registration decisions are made within a reasonable time.

Add another sampling 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 Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe how the College makes registration decisions within a reasonable time.

Result of the test Instruction

The CDHO makes registration decisions within a reasonable time as described in the process above.

Conclusion Instruction

The CDHO makes registration decisions within a reasonable time.

Recommendation Instruction

We recommend that once every six months, files are reviewed at random to ensure timelines are met by the College. Monitoring compliance with timelines will assist the College in ensuring that registration decisions are made within a reasonable time.

Add another interview procedure

For the College of Dental Hygienists of Ontario

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C2: Timely Decisions, Responses and Reasons

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

☒ Yes ☐ No

Describe the health regulatory college's process for giving written responses to applicants within a reasonable time. The CDHO gives written responses to applicants within a reasonable time by following both unwritten and formally published timelines. Please see below under "timeline as stated by the health regulatory college", as there is insufficient room to describe the process here.

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

☒ Yes ☐ No

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

Website, published materials (guides, application forms)

Process for ensuring adherence to timeline

There is no formal process for adhering to timelines; the CDHO understands the importance of providing written responses to applicants within a reasonable time. To assist in this process, all contact with applicants is printed and/or documented in the applicant's file. In addition, the registration staff at CDHO keep each other informed about applicant status to ensure they are assisting applicants on a timely basis.

Timeline as stated by the health regulatory college

Process, continued from above:

The CDHO provides written responses to applicants within a reasonable time by following both unwritten and formally published timelines. Specific processes include:

GENERAL

- Ensuring roles and responsibilities of each staff member involved with registration is defined to maintain efficiency of the registration process
- Date stamping documents received from applicants to track movement/progress of application
- Ensuring applicant files are organized to maintain efficiency of the registration process
- Ensuring staffing levels are adequate during busy registration periods

COLLEGE STAFF

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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?

- a) Regular communication between Deputy Registrar and College registration staff
- b) Regular communication between College registration staff and applicant
- c) Ensuring information is available to provide written responses:
 - Information from applicant is complete
 - Information to assess application is available
 - Information between College registration staff is available
- d) Scheduling and prioritizing tasks (based on number of days before the next Registration Committee/ other job responsibilities/ specific applicant situation, etc.)

REGISTRATION COMMITTEE

- a) Regular communication between Registration Committee, Registrar and Deputy Registrar
- b) Scheduling and prioritizing agenda items for the Registration Committee meeting

Timeline as stated by the health regulatory college:

1. General

- a) Response to telephone, mail and e-mail requests for information and application packages = answered within three to five business days.
- b) Response to receipt of an incomplete application = If an incomplete application is received, the applicant is contacted to acknowledge receipt of the documentation and advised what is required to complete their application within three business days of determining what is outstanding.
- c) Response to applicants' request to attend the Jurisprudence Presentation = answered within three to five business days.
- d) Response regarding successful registration = provided within five to ten business days.

2. Clinical Competency Assessment Exam

- e) Response regarding the CCA exam results = provided within three weeks of the Clinical Competency Evaluation.
- f) Response to candidates' request for appealing the CCA exam results = The College responds to applicants on a timely basis; however, there is no formal policy for this timeline.

For the College of Dental Hygienists 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?

g) Response regarding the Registration Committee decisions ("Reasons and Decisions") = the results of an internal appeal will be provided to the applicant within 10 business days.

3. Registration Committee Evaluation of Course of Study

h) Response to applicants' request for the Registration Committee to evaluate their course of study = answered within three to five business days.

i) Response regarding the Registration Committee evaluation results = The College responds to applicants on a timely basis; however, there is no formal policy for this timeline.

4. Declarations of Criminal or Civil Offences

j) Response to receipt of application with offence declared and subsequent referral to the Registration Committee = if the Registrar refuses to register an applicant, a notice of referral is sent to the applicant within 10 business days.

k) Response regarding the Registration Committee review results = The College responds to applicants on a timely basis; however, there is no formal policy for this timeline.

Testing procedures

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

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

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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?

Sample of The entire population (as described below)
(e.g., international applications)

Population size	Sample size	% of Population
1,052	109	10

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.

1. Population size

The population size of 1052 included all applicants that had active files during the audit period. Active files include the following:

- a) Applicants who applied for registration during the audit period and were not registered during the audit period (nil)
- b) Applicants who were registered during the audit period (104)
- c) Applicants who applied for registration and were registered during the audit period (889)
- d) Applicants who began the registration process prior to the audit period but were not registered during the audit period (5)
- e) Applicants who began the registration process during the audit period but have not met the registration requirements during the audit period (54)

2. Sample size

- a) Sample of 109 active files was decided to be sufficient based on the auditors' judgement at the commencement of the audit. The sample size was not changed throughout the audit as it was as it was considered to be representative of the entire population.
- b) The following is a breakdown of the sample size:

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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?

- 5% of registered applicants ($104 + 889 = 993$; $993 \times 5\% = 49.65$, sampled 49)
- 5% of applied applicants, including those who began the process but did not apply ($889 + 54 = 943 \times 5\% = 47.15$, sampled 46)
- All other active international files that were not randomly selected (2)
- All other active files that went through either a formal or informal appeal, that were not randomly selected (12)

From the above, a further breakdown is required:

- Of the 49, 25% were selected from the accredited program (12) and 75% were selected from the non-accredited and international program (37)
- Of the 46, 25% were selected from the accredited program (11) and 75% were selected from the non-accredited and international program (35)
- All other active international files that were not randomly selected (2)
- All other active files that went through either a formal or informal appeal, that were not randomly selected (12)

Result of the test Instruction

Of the 11 accredited applied sampled:

- In 11/11 applicable cases, written responses regarding successful registration were given to the applicant within a reasonable time.

Of the 12 accredited registered sampled:

- In 12/12 applicable cases, written responses regarding successful registration were given to the applicant within a reasonable time.

Of the 35 non-accredited applied sampled:

- In 17/17 applicable cases, written responses regarding an applicant's request to attend the Jurisprudence Presentation were given within a reasonable time. Of the 35 non-accredited applied sampled, 18 cases were not applicable - these applicants did not submit a written request to attend the Jurisprudence Presentation.
- In 34/34 applicable cases, written responses regarding the outcome of the CCA exam were given to the applicant within a reasonable time. Of the 35 non-accredited applied sampled, 1 case was not applicable - the applicant did not attend the exam.
- In 7/7 applicable cases, written responses regarding incomplete applications were given to the applicant within a reasonable time. Of the 35 non-accredited applied sampled, 28 cases were not applicable - these applicants submitted a complete application and therefore were not sent a written response regarding an incomplete application.
- In 25/25 applicable cases, written responses regarding successful registration were given to the applicant within a reasonable time. Of the 35 non-accredited applied sampled, 10 cases were not applicable - these applicants were not registered during the audit period because they have not met the registration requirements during the audit 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?

Of the 37 non-accredited registered sampled:

- In 15/15 applicable cases, written responses regarding an applicant's request to attend the Jurisprudence Presentation were given within a reasonable time. Of the 37 non-accredited registered sampled, 22 cases were not applicable - these applicants did not submit a written request to attend the Jurisprudence Presentation.
- In 37/37 applicable cases, written responses regarding the outcome of the CCA exam were given to the applicant within a reasonable time.
- In 2/2 applicable cases, written responses regarding the receipt of an appeal letter were given to the applicant within a reasonable time. Of the 37 non-accredited registered sampled, 35 cases were not applicable - these applicants did not appeal the outcome of their CCA exam.
- In 2/2 applicable cases, written responses regarding the notification of the appeal hearing date were given to the applicant within a reasonable time. Of the 37 non-accredited registered sampled, 35 cases were not applicable - these applicants did not appeal the outcome of their CCA exam.
- In 2/2 applicable cases, written responses regarding the Reasons and Decisions were given to the applicant within a reasonable time. Of the 37 non-accredited registered sampled, 35 cases were not applicable - these applicants did not appeal the outcome of their CCA exam.
- In 14/14 applicable cases, written responses regarding incomplete applications were given to the applicant within a reasonable time. Of the 37 non-accredited registered sampled, 23 cases were not applicable - these applicants submitted a complete application and therefore were not sent a written response regarding an incomplete application.
- In 37/37 applicable cases, written responses regarding successful registration were given to the applicant within a reasonable time.

Of the 2 other active international files that were not randomly selected sampled:

- In 1/1 applicable case, written response regarding an applicant's request to attend the Jurisprudence Presentation was given within a reasonable time. Of the 2 other active international files that were not randomly selected sampled, 1 case was not applicable - this applicant did not submit a written request to attend the Jurisprudence Presentation.
- In 2/2 applicable cases, written responses regarding the outcome of the CCA exam were given to the applicant within a reasonable time.
- In 1/1 applicable case, written response regarding successful registration was given to the applicant within a reasonable time. Of the 2 other active international files that were not randomly selected sampled, 1 case was not applicable - this applicant was not registered during the audit period.

For the appeal cases:

Of the 2 cases that were referred to the Registration Committee regarding the evaluation of a course:

- In 2/2 applicable cases, written responses regarding request for a Registration Committee evaluation were given to the applicant within a reasonable time.
- In 1/1 applicable case, written response regarding the outcome of the Registration Committee evaluation was given

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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?

to the applicant within a reasonable time. Of the 2 cases that were referred to the Registration Committee regarding the evaluation of a course, 1 case was not applicable - the applicant's evaluation is not complete because the applicant had not paid for the applicable fee. It was decided that the Registration Committee would continue the evaluation once the fee is paid by the applicant.

- In 2/2 applicable cases, written responses regarding incomplete applications were given to the applicant within a reasonable time.

Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam:

- In 3/3 applicable cases, written responses regarding an applicant's request to attend the Jurisprudence Presentation were given within a reasonable time. Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam, 1 case was not applicable - this applicant did not submit a written request to attend the Jurisprudence Presentation.
- In 4/4 applicable cases, written responses regarding the outcome of the CCA exam were given to the applicant within a reasonable time.
- In 4/4 applicable cases, written responses regarding the receipt of an appeal letter were given to the applicant within a reasonable time.
- In 4/4 applicable cases, written responses regarding the Reasons and Decisions were given within a reasonable time.
- In 1/1 applicable case, written response regarding the receipt of a 2nd appeal letter was given to the applicant within a reasonable time. Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam, 3 cases were not applicable - these applicants did not request a second appeal of their CCA exam.
- In 1/1 applicable case, written response regarding the 2nd Reasons and Decisions was given to the applicant within a reasonable time. Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam, 3 cases were not applicable - these applicants did not request a second appeal of their CCA exam.
- In 3/3 applicable cases, written responses regarding successful registration were given to the applicant within a reasonable time. Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam, 1 case was not applicable - this applicant was not registered during the audit period.

Of the 6 cases that were referred to the Registration Committee regarding a declaration of offence or unauthorized practice of a profession:

- In 1/1 applicable case, written response regarding an applicant's request to attend the Jurisprudence Presentation was given within a reasonable time. Of the 6 cases that were referred to the Registration Committee regarding a declaration of offence or unauthorized practice of a profession, 5 cases were not applicable - these applicants did not submit a written request to attend the Jurisprudence Presentation.

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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?

- In 1/1 applicable case, written responses regarding an incomplete application was given to the applicant within a reasonable time. Of the 6 cases that were referred to the Registration Committee regarding a declaration of offence or unauthorized practice of a profession, 5 cases were not applicable - these applicants submitted a complete application.
- In 5/5 applicable cases, written responses regarding referral to the Registration Committee were given to the applicant within a reasonable time. Of the 6 cases that were referred to the Registration Committee regarding a declaration of offence or unauthorized practice of a profession, 1 case was not applicable - the application was not referred to the Registration Committee for a formal review. The applicant had submitted a letter and supporting documentation regarding her criminal offence the same day as her application; since all of her documentation was complete, the College made an effort to reduce the registration decision time by making a decision via e-mail.
- In 6/6 applicable cases, written responses regarding the Registration Committee's decision were given within a reasonable time.
- In 6/6 applicable cases, written responses regarding successful registration were given to the applicant within a reasonable time.

Conclusion

 Instruction

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

Recommendation

 Instruction

We recommend that once every six months, files are reviewed at random to ensure timelines are met by the College. Monitoring compliance with timelines will assist the College in ensuring that written responses are provided within a reasonable time.

 Add another sampling 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 Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

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

Result of the test Instruction

The CDHO gives written responses to applicants within a reasonable time as described in the process above.

Conclusion Instruction

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

Recommendation Instruction

We recommend that once every six months, files are reviewed at random to ensure timelines are met by the College. Monitoring compliance with timelines will assist the College in ensuring that written responses are provided within a reasonable time.

Add another interview procedure

For the College of Dental Hygienists 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. The CDHO gives written reasons to applicants within a reasonable time by following both unwritten and formally published timelines. Please see below under "timeline as stated by the health regulatory college", as there is insufficient room to describe the process here.

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, continued from above:

The CDHO provides written reasons within a reasonable time by following both unwritten and formally published timelines. Specific processes include:

GENERAL

- Ensuring roles and responsibilities of each staff member involved with registration is defined to maintain efficiency of the registration process
- Date stamping documents received from applicants to track movement/progress of application
- Ensuring applicant files are organized to maintain efficiency of the registration process
- Ensuring staffing levels are adequate during busy registration periods

COLLEGE STAFF

- Regular communication between Deputy Registrar and College registration staff
- Regular communication between College registration staff and applicant
- Ensuring information is available to provide written reasons:
 - Information from applicant is complete
 - Information to assess application is available
 - Information between College registration staff is available
- Scheduling and prioritizing tasks (based on number of days before the next Registration Committee/ other job

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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?

responsibilities/ specific applicant situation, etc.)

REGISTRATION COMMITTEE

- a) Regular communication between Registration Committee, Registrar and Deputy Registrar
- b) Scheduling and prioritizing agenda items for the Registration Committee meeting

Timeline as stated by the health regulatory college:

1. Clinical Competency Assessment Exam

- a) Reasons provided for failing a clinical competency assessment exam candidate = provided within three weeks.
- b) Reasons provided within the Reasons and Decisions regarding the appeal of the clinical competency assessment exam appeal = within 10 business days.

2. Registration Committee Evaluation of Course of Study

- c) Reasons provided for making the applicant ineligible or eligible to write the provincial exam after the Registration Committee evaluation of course of study = The College responds to applicants on a timely basis; however, there is no formal policy for this timeline.

3. Declarations of Criminal or Civil Offences

- d) Reasons provided for referring an application with declarations of criminal or civil offences to the Registration Committee = if the Registrar refuses to register an applicant, a notice of referral (and reasons for notice of referral) is sent to the applicant within 10 business days.
- e) Reasons provided for Registration Committee review results of an application with declarations of criminal or civil offences = The College responds to applicants on a timely basis; however, there is no formal policy for this timeline.

Source of timeline (e.g., policy, regulation)
Website, published materials (guides, application forms)

Process for ensuring adherence to timeline

There is no formal process for adhering to timelines; the CDHO understands the importance of providing written

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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?

reasons within a reasonable time and strives to forward the reasons as soon as reasonably possible after receiving information from the clinical evaluators or information from the Registration Committee.

Testing procedures

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

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

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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?

Sample of Non-accredited applied & registered, international & RC reviews not randomly sampled
(e.g., international applications)

Population size	Sample size	% of Population
277	86	31

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.

1. Population size

The population size of 1052 included all applicants that had active files during the audit period. Active files include the following:

- a) Applicants who applied for registration during the audit period and were not registered during the audit period (nil)
- b) Applicants who were registered during the audit period (104)
- c) Applicants who applied for registration and were registered during the audit period (889)
- d) Applicants who began the registration process prior to the audit period but were not registered during the audit period (5)
- e) Applicants who began the registration process during the audit period but have not met the registration requirements during the audit period (54)

For this test, the population size of 277 is calculated as follows:

- a) Non accredited applicants who were registered during the audit period (100)
- b) Non accredited applicants who applied for registration and were registered during the audit period (112)
- c) Non accredited applicants who began the registration process prior to the audit period but were not registered during the audit period (5)
- d) Non accredited applicants who began the registration process during the audit period but have not met the registration requirements during the audit period (54)

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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?

- e) All other active international files that were not randomly selected (2)
- f) All other active files that went through either a formal or informal appeal, that were not randomly selected (12) less any duplication of files (8)

2. Sample size

a) Sample of 86 active files was decided to be sufficient based on the auditors' judgement at the commencement of the audit. The sample size was not changed throughout the audit as it was as it was considered to be representative of the entire population.

b) The following is a breakdown of the sample size:

- 5% of registered applicants ($104 + 889 = 993$; $993 \times 5\% = 49.65$, sampled 49)
- 5% of applied applicants, including those who began the process but did not apply ($889 + 54 = 943 \times 5\% = 47.15$, sampled 46)

From the above, a further breakdown is required:

- Of the 49, 75% were selected from the non-accredited and international program (37)
- Of the 46, 75% were selected from the non-accredited and international program (35)
- All other active international files that were not randomly selected (2)
- All other active files that went through either a formal or informal appeal, that were not randomly selected (12)

Result of the test Instruction

Of the 35 non-accredited applied sampled:

- In 10/10 applicable cases, written reasons regarding an applicant's unsuccessful attempt at the CCA exam were given within a reasonable time. Of the 35 non-accredited applied sampled, 25 cases are not applicable - these applicants did not fail the CCA exam.

Of the 37 non-accredited registered sampled:

- In 10/10 applicable cases, written reasons regarding an applicant's unsuccessful attempt at the CCA exam were given within a reasonable time. Of the 37 non-accredited registered sampled, 27 cases were not applicable - these applicants did not fail the CCA exam.
- In 2/2 applicable cases, written reasons within the Reasons and Decisions were given to the applicant within a reasonable time. Of the 37 non-accredited registered sampled, 35 cases were not applicable - they did not appeal the CCA exam results.

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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?

Of the 2 other active international files that were not randomly selected sampled:

- In 1/1 applicable case, written reason regarding an applicant's unsuccessful attempt at the CCA exam was given within a reasonable time. Of the 2 other active international files that were not randomly selected sampled, 1 case was not applicable - this candidate did not fail the CCA exam.

Of the 2 cases that were referred to the Registration Committee regarding the evaluation of a course:

- In 1/1 applicable case, written reason regarding the Registration Committee's decision to make a candidate ineligible was given to the applicant within a reasonable time. Of the 2 cases that were referred to the Registration Committee regarding the evaluation of a course, 1 case was not applicable - the applicant's evaluation is not complete because the applicant had not paid for the applicable fee. It was decided that the Registration Committee would continue the evaluation once the fee is paid by the applicant.

Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam:

- In 4/4 applicable cases, written reasons regarding an applicant's unsuccessful attempt at the CCA exam were given within a reasonable time.
- In 4/4 applicable cases, written reasons within the Reasons and Decisions were given to the applicant within a reasonable time.
- In 1/1 applicable case, written reason within the 2nd Reasons and Decisions was given to the applicant within a reasonable time. Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam, 3 cases were not applicable - these applicants did not request a second appeal of their CCA exam.

Of the 6 cases that were referred to the Registration Committee regarding a declaration of offence or unauthorized practice of a profession:

- In 5/5 applicable cases, written reasons regarding the referral of the application to the Registration Committee was given within a reasonable time. Of the 6 cases that were referred to the Registration Committee regarding a declaration of offence or unauthorized practice of a profession, 1 case was not applicable - the application was not referred to the Registration Committee for a formal review. The applicant had submitted a letter and supporting documentation regarding her criminal offence the same day as her application; since all of her documentation was complete, the College made an effort to reduce the registration decision time by making a decision via e-mail.
- In 6/6 applicable cases, written reasons regarding the Registration Committee's decision was given to the applicant within a reasonable time.

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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?

Conclusion

Instruction

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

Recommendation

Instruction

We recommend that once every six months, files are reviewed at random to ensure timelines are met by the College. Monitoring compliance will assist the College in ensuring that written reasons are provided within a reasonable time.

Add another sampling procedure

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SECTION C: Evaluation of Registration Practices

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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?

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

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

Result of the test Instruction

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

Recommendation Instruction

We recommend that once every six months, files are reviewed at random to ensure timelines are met by the College. Monitoring compliance will assist the College in ensuring that written reasons are provided within a reasonable time.

Add another interview procedure

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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. The CDHO establishes timelines both formally within their published timeframes and informally between employees. The CDHO re-evaluates timelines during registration staff meetings.

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

The stated timelines for the above two processes:

- At the annual orientation session, the Registration Committee reviews policies and procedures
- Timelines are discussed at the registration staff meetings, which are held approximately 4-6 times per year

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

Informal (internal) policy

Process for ensuring adherence to timeline

Orientation sessions are scheduled annually.

Registration staff meetings are scheduled as required or as matters arise.



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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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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 N/A - no sample test performed

(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 **Instruction**

Conclusion **Instruction**

Recommendation **Instruction**

Add another sampling procedure

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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 N/A - no sample test performed

(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 **Instruction**

Conclusion **Instruction**

Recommendation **Instruction**

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.

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 Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe when timelines are established and re-evaluated for providing decisions, responses and reasons.

Result of the test Instruction

The CDHO has a process in place to establish and re-evaluate timelines for providing decisions, responses and reasons during Registration Committee meetings as per the process above.

Conclusion Instruction

Timelines are established and re-evaluated 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

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. The CDHO improves the timelines by keeping in direct contact with the applicant to ensure their process runs smoothly. In addition, issues are identified and resolutions are made during registration staff meetings.

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

Timelines are discussed at the registration staff meetings, which are held approximately 4-6 times per year

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

Informal (internal) policy

Process for ensuring adherence to timeline

Registration staff meetings are scheduled as required or as matters arise.

Testing procedures

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

☐ Sampling

☐ Document review

☒ Interviews

☐ Other procedures

☐ I did not use any testing procedures

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

C2: Timely Decisions, Responses and Reasons

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

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

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

Result of the test Instruction

Some examples of CDHO's process for improving the timelines include:

- a) Expediting certain situations, where appropriate, by dealing with the issue via email to the Registration Committee, rather than waiting until the next scheduled Registration Committee
- b) Proactively maintaining correspondence with the applicant
- c) Proactively providing assistance to the applicant (eg. requesting documentation from the applicant's educational institution on their behalf)

Conclusion Instruction

The CDHO attempts to improve 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

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.

The CDHO strives to provide an internal review or appeal from its registration decisions within a reasonable time by following formally published timelines regarding registration.

An internal review is provided when a candidate appeals the results of his/her clinical competency assessment exams.

An internal review is also provided when an applicant has made declarations of criminal or civil offences on their application forms.

Timeline as stated by the health regulatory college

Internal reviews for appeals of clinical competency assessment exams results = provided within 45 days after receipt of appeal.

Internal review for applicants that have made declarations of criminal or civil offences on their application forms = the internal review is completed and provided to the applicant within two to four weeks of receiving the application.

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

Website, published materials (guides, application form)

Process for ensuring adherence to timeline

There is no formal process for adhering to timelines; however, the CDHO understands the importance of providing applicants an internal review or appeal from its registration decisions within a reasonable time.

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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?

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 Non-accredited registered and RC reviews not randomly sampled
(e.g., international applications)

Population size	Sample size	% of Population
218	49	22

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.

1. Population size

Our population size of 1052 included all applicants that had active files during the audit period. Active files include the following:

- a) Applicants who applied for registration during the audit period and were not registered during the audit period (nil)
- b) Applicants who were registered during the audit period (104)
- c) Applicants who applied for registration and were registered during the audit period (889)
- d) Applicants who began the registration process prior to the audit period but were not registered during the audit period (5)
- e) Applicants who began the registration process during the audit period but have not met the registration requirements during the audit period (54)

For this test, the population size of 218 is calculated as follows:

- a) Non accredited applicants who were registered during the audit period (100)
- b) Non accredited applicants who applied for registration and were registered during the audit period (112)
- c) All other active files that went through either a formal or informal appeal, that were not randomly selected (12) less any duplication of files (6)

2. Sample size

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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?

a) Sample of 49 active files was decided to be sufficient based on the auditors' judgement at the commencement of the audit. The sample size was not changed throughout the audit as it was as it was considered to be representative of the entire population.

b) The following is a breakdown of the sample size:

- 5% of applied applicants, including those who began the process but did not apply ($889 + 54 = 943 \times 5\% = 47.15$, sampled 46)

From the above, a further breakdown is required:

- Of the 46, 75% were selected from the non-accredited and international program (35)
- All other active international files that were not randomly selected (2)
- All other active files that went through either a formal or informal appeal, that were not randomly selected (12)

Result of the test Instruction

Of the 37 non-accredited registered sampled:

- In 2/2 applicable cases, an internal review regarding the CCA exam was provided to the applicant within a reasonable time. Of the 37 non-accredited registered sampled, 35 cases were not applicable - they did not appeal the CCA exam results.

Of the 2 cases that were referred to the Registration Committee regarding the evaluation of a course:

- In 2/2 applicable cases, an internal review regarding the evaluation of a course was provided to the applicant within a reasonable time.

Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam:

- In 4/4 applicable cases, an internal review regarding the CCA exam was provided to the applicant within a reasonable time.
- In 1/1 applicable case, an internal review regarding the 2nd CCA exam was provided to the applicant within a reasonable time. Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam, 3 cases were not applicable - these applicants did not request a second appeal of their CCA exam.

Of the 6 cases that were referred to the Registration Committee regarding a declaration of offence or unauthorized practice of a profession:

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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?

- In 6/6 applicable cases, an internal review regarding the declaration of an offence was provided to the applicant

Conclusion Instruction

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

Recommendation Instruction

No recommendation required.

Add another sampling 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

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

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe when the CDHO provides an internal review from its registration decisions.

Result of the test **Instruction**

The CDHO provides an internal review from its registration decisions as described in the process above.

Conclusion **Instruction**

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

Recommendation **Instruction**

No recommendation required.

Add another interview 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?

☒ 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.

The CDHO gives applicants for registration the opportunity to make submissions about any internal review or appeal by following formally published timelines regarding registration.

1. Clinical Competency Assessment (CCA) Exam

After a CCA exam has been evaluated, a cover letter is sent to the candidate communicating the results. Within the cover letter is the applicant's right to appeal. It advises them of the timeframe to appeal (30 days) and includes a copy of the section of the RHPA relating to the appeal procedures, along with the appropriate address and contact information of where to submit their request for an appeal.

If a candidate was unsuccessful on the CCA exam, he/she has the opportunity to make written submissions outlining the reasons why they are dissatisfied with the results of the assessment. The submission is provided to the appeal panel in conjunction with both of the evaluators results of the clinical competency assessment and both of the evaluators responses to the candidates' appeal. In addition, the Chief Evaluator provides her comments regarding the process.

2. Declarations of Criminal or Civil Offences

If an applicant has made declarations of criminal or civil offences on their application forms, he/she has the opportunity to make submissions regarding the offence before the application is referred to the Registration Committee.

In the Notice of Referral, the applicant is advised that they have the right to make submissions. The applicant is also advised if the Registration Committee has any follow-up questions or requires further information, and is provided with a further opportunity to make submissions.

3. Registration Committee Evaluation of Course of Study

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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?

If an applicant requests the Registration Committee of the CDHO to assess his/her course of study, he/she has the opportunity to make submissions regarding the course before the application is referred to the Registration Committee.

The applicant is advised that they have the right to make submissions. The applicant is also advised if the Registration Committee has any follow-up questions or requires further information, and is provided with a further opportunity to make submissions.

All formal Registration Committee decisions are appealable to the Health Professions Appeal and Review Board.

Testing procedures

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

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

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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 Non-accredited applied & registered, international & RC reviews not randomly sampled
(e.g., international applications)

Population size	Sample size	% of Population
277	86	31

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.

1. Population size

The population size of 1052 included all applicants that had active files during the audit period. Active files include the following:

- a) Applicants who applied for registration during the audit period and were not registered during the audit period (nil)
- b) Applicants who were registered during the audit period (104)
- c) Applicants who applied for registration and were registered during the audit period (889)
- d) Applicants who began the registration process prior to the audit period but were not registered during the audit period (5)
- e) Applicants who began the registration process during the audit period but have not met the registration requirements during the audit period (54)

For this test, the population size of 277 is calculated as follows:

- a) Non accredited applicants who were registered during the audit period (100)
- b) Non accredited applicants who applied for registration and were registered during the audit period (112)
- c) Non accredited applicants who began the registration process prior to the audit period but were not registered during the audit period (5)
- d) Non accredited applicants who began the registration process during the audit period but have not met the registration requirements during the audit period (54)

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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?

- e) All other active international files that were not randomly selected (2)
- f) All other active files that went through either a formal or informal appeal, that were not randomly selected (12) less any duplication of files (8)

2. Sample size

a) Sample of 86 active files was decided to be sufficient based on the auditors' judgement at the commencement of the audit. The sample size was not changed throughout the audit as it was as it was considered to be representative of the entire population.

b) The following is a breakdown of the sample size:

- 5% of registered applicants ($104 + 889 = 993$; $993 \times 5\% = 49.65$, sampled 49)
- 5% of applied applicants, including those who began the process but did not apply ($889 + 54 = 943 \times 5\% = 47.15$, sampled 46)

From the above, a further breakdown is required:

- Of the 49, 75% were selected from the non-accredited and international program (37)
- Of the 46, 75% were selected from the non-accredited and international program (35)
- All other active international files that were not randomly selected (2)
- All other active files that went through either a formal or informal appeal, that were not randomly selected (12)

Result of the test Instruction

Of the 35 non-accredited applied sampled:

- In 10/10 applicable cases, applicants were provided with the opportunity to make submissions about any internal review or appeal. Of the 35 non-accredited applied sampled, 25 cases are not applicable - these applicants did not fail the CCA exam.

Of the 37 non-accredited registered sampled:

- In 10/10 applicable cases, applicants were provided with the opportunity to make submissions about any internal review or appeal. Of the 37 non-accredited registered sampled, 27 cases were not applicable - these applicants did not fail the CCA exam.

Of the 2 other active international files that were not randomly selected sampled:

- In 1/1 applicable case, applicant was provided with the opportunity to make submissions about any internal review or appeal. Of the 2 other active international files that were not randomly selected sampled, 1 case was not applicable - this applicant did not fail the CCA exam.

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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?

Of the 4 other cases (that were not randomly selected) that was referred to the Registration Committee regarding the CCA exam:

- In 4/4 applicable cases, applicants were provided with the opportunity to make submissions about any internal review or appeal.

Of the 6 cases that were referred to the Registration Committee regarding a declaration of offence or unauthorized practice of a profession:

- In 5/5 applicable cases, applicants were provided with the opportunity to make submissions about any internal review or appeal. Of the 6 cases that were referred to the Registration Committee regarding a declaration of offence or unauthorized practice of a profession, 1 case was not applicable - the application was not referred to the Registration Committee for a formal review. The applicant had submitted a letter and supporting documentation regarding her criminal offence the same day as her application; since all of her documentation was complete, the College made an effort to reduce the registration decision time by making a decision via e-mail.

Conclusion Instruction

The CDHO gives 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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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?

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters 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

The CDHO gives applicants for registration the opportunity to make oral, written or electronic submissions about any internal review or appeal as described in the process above (for Clinical Competency Assessment, Declarations of Criminal or Civil Offences, and Registration Committee Evaluation of Course of Study).

Conclusion Instruction

The CDHO gives 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 interview procedure

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

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

C3: Internal Review or Appeal

C3c. Type your additional question here.

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 previous decisions to make sure review or appeal decisions are made as objectively as possible?

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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 CDHO ensures review or appeal decisions are made as objectively as possible in the following manner:

a) Criteria for registration have been established based on the legislated requirements of Ontario Regulation 218/94, made under the Dental Hygiene Act, 1991, regarding registration; this information has been communicated to the

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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?

Registration Committee

b) The roles and responsibilities of the Registration Committee has been defined in the Regulated Health Professions Act, 1991, the Health Professions Procedural Code; this information has been communicated to the Registration Committee

c) The Registration Committee has been trained on the criteria used by the Registration Committee in determining whether an applicant meets the requirements for registration; the methodology of conducting assessments; and issues related to making registration decisions.

d) A Registration Committee Resource Manual is provided at an annual orientation, for reference purposes

e) Members of the Registration Committee who have prior involvement with the applicant would be excluded from sitting on the Panel dealing with the current issue. For example, a member of the Registration Committee who was involved in the initial informal appeal from an examination candidate would not be on the Panel when a formal decision is requested.

f) There are six members on the Registration Committee, two of which are public members appointed by the Ministry of Health and Long-Term Care. The other four members are professional members.

In particular for the clinical competency assessment exam:

g) Two clinical evaluators perform an evaluation of the candidate's competency. Within each clinical evaluation 'pair', one clinical evaluator would be 'experienced' in performing CDHO clinical competency evaluations and the other clinical evaluator may or may not be 'new' to performing CDHO clinical competency evaluations (note that all evaluators have experience in evaluating students, as one of the criteria for selection is that they must have teaching and evaluation experience in an accredited dental hygiene program). The evaluation is done separately so that they do not persuade each other's evaluations. The clinical evaluators use an evaluation document to assist in their evaluation of the exam. These evaluation documents identify the main areas of competency a candidate must possess in order to be successful ('S') or unsuccessful ('U'). The same evaluation document is used on each candidate for consistency. At the end of each CCA, the two clinical evaluators discuss one another's evaluations. If there is a difference of opinion, the chief evaluator and the two evaluators discuss the evaluations until a decision is reached.

h) If a candidate were to perform another clinical competency assessment exam, a different clinical evaluator team

For the College of Dental Hygienists of Ontario

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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?

would be assigned to them.

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 the College's Fair Registration Practices Report (2008) 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

The College's Registration Committee has established an equivalency process based on a review of the applicant's documents for consistency with:

- Accreditation Requirements for Dental Hygiene Programs, 2005 (Commission on Dental Accreditation of Canada, CDAC)
- Accreditation Standards for Dental Hygiene Education Programs (Commission on Dental Accreditation, American Dental Association, 2006)
- College of Dental Hygienists of Ontario (Dental Hygiene Standards of Practice, 1998)
- Dental Hygiene Program Standard (College Standards and Accreditation Council, CSAC, June 1996)
- National Dental Hygiene Certification Examination - Blueprint - 2005

Conclusion Instruction

The CDHO has 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.

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.

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 the College's "Registration Committee's Process Respecting the Standards for Recognizing Equivalence of Courses of Study in Dental Hygiene to a Course in Dental Hygiene Currently Being Taught in Ontario" 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

The 11-page document used by the Registration Committee is based on a review of the applicant's documents for consistency with:

- Accreditation Requirements for Dental Hygiene Programs, 2005 (Commission on Dental Accreditation of Canada, CDAC)
- Accreditation Standards for Dental Hygiene Education Programs (Commission on Dental Accreditation, American Dental Association, 2006)
- College of Dental Hygienists of Ontario (Dental Hygiene Standards of Practice, 1998)
- Dental Hygiene Program Standard (College Standards and Accreditation Council, CSAC, June 1996)
- National Dental Hygiene Certification Examination - Blueprint - 2005

The document is well organized and appears straight forward to use.

Conclusion Instruction

The CDHO has 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.

Recommendation Instruction

No recommendation required.

For the College of Dental Hygienists of Ontario

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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?

Add another document review procedure

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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 Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe if the College has a review or appeal process which is codified and refers to developed criteria to make sure review or appeal decisions are made as objectively as possible.

Result of the test Instruction

The CDHO has a review or appeal process which is codified and refers to developed criteria to make sure review or appeal decisions are made as objectively as possible, as described in processes a-h above.

Conclusion Instruction

The CDHO has a review or appeal process which is codified and refers to developed criteria to make sure review or appeal decisions are made as objectively as possible.

Recommendation Instruction

No recommendation required.

Add another question

Add another interview procedure

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C3: Internal Review or Appeal

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

We sent surveys to 95 registered applicants, and asked them the following question:
"Did the published materials explain the requirements for appeals and reviews?"

Of the 95 surveys sent, 42 were returned. Of the 42 returned, 32 have indicated that the published materials explained the requirements for appeals and reviews; 3 have indicated that the published materials did not explain the requirements for appeals and reviews; and the remaining 7 have indicated not applicable. In the case of graduates from accredited programs, they usually have no difficulty in registering as they automatically meet the requirements so it is not necessary to address requirements for appeals and reviews in their guides.

Although 3 registered applicants have indicated that the published materials did not explain the requirements for appeals and reviews, other testing procedures we performed have indicated that the CDHO explains the requirements for appeals and reviews.

Therefore, no recommendation required.

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.

The CDHO informs applicants of any rights they may have to request a further review of, or appeal from, a registration decision during the registration process. The College informs the applicants in a written document, a copy of which is retained in the applicant's file.

In a cover letter sent to a candidate regarding the unsuccessful clinical competency assessment exam results, the following paragraph is included:

"Should you feel that there were any mitigating circumstances that may have affected the results of the evaluation you may file an appeal of the results with this College. A copy of the College's appeal procedures is enclosed. The appeal must be received within thirty (30) days of the date of this letter. Please note that the appeal may only be based on the process of the evaluation and not on the clinical outcome as determined by the evaluators."

In a letter sent to the applicant regarding the Registration Committee's decision from the review of his/her application for registration and submissions, the following paragraph is included:

"Please be advised that, in accordance with s.21 of the Health Professions Procedural Code (the "Code"), which is Schedule 2 to the Regulated Health Professions Act, 1991, you have the right to request either a review or a hearing before the Health Professions Appeal and Review Board. The Board is appointed by the government and is completely independent of the College. In a review, the Board will review your application and the relevant documentary evidence in the absence of the parties. In a hearing, both you and the Registration Committee will be given an opportunity to bring lawyers, call witnesses to give oral testimony and to make oral submissions. To choose either option, you must send written notice to both the Board and the College within 30 days. The written notice must specify whether you wish a review or a hearing. The following are the appropriate addresses."

For the College of Dental Hygienists of Ontario

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SECTION C: Evaluation of Registration Practices

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?

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.

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?

Sample of Non-accredited applied & registered, international & RC reviews not randomly sampled
(e.g., international applications)

Population size	Sample size	% of Population
277	86	31

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.

1. Population size

The population size of 1052 included all applicants that had active files during the audit period. Active files include the following:

- a) Applicants who applied for registration during the audit period and were not registered during the audit period (nil)
- b) Applicants who were registered during the audit period (104)
- c) Applicants who applied for registration and were registered during the audit period (889)
- d) Applicants who began the registration process prior to the audit period but were not registered during the audit period (5)
- e) Applicants who began the registration process during the audit period but have not met the registration requirements during the audit period (54)

For this test, the population size of 277 is calculated as follows:

- a) Non accredited applicants who were registered during the audit period (100)
- b) Non accredited applicants who applied for registration and were registered during the audit period (112)
- c) Non accredited applicants who began the registration process prior to the audit period but were not registered during the audit period (5)
- d) Non accredited applicants who began the registration process during the audit period but have not met the registration requirements during the audit period (54)

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SECTION C: Evaluation of Registration Practices

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?

- e) All other active international files that were not randomly selected (2)
- f) All other active files that went through either a formal or informal appeal, that were not randomly selected (12) less any duplication of files (8)

2. Sample size

a) Sample of 86 active files was decided to be sufficient based on the auditors' judgement at the commencement of the audit. The sample size was not changed throughout the audit as it was as it was considered to be representative of the entire population.

b) The following is a breakdown of the sample size:

- 5% of registered applicants ($104 + 889 = 993$; $993 \times 5\% = 49.65$, sampled 49)
- 5% of applied applicants, including those who began the process but did not apply ($889 + 54 = 943 \times 5\% = 47.15$, sampled 46)

From the above, a further breakdown is required:

- Of the 49, 75% were selected from the non-accredited and international program (37)
- Of the 46, 75% were selected from the non-accredited and international program (35)
- All other active international files that were not randomly selected (2)
- All other active files that went through either a formal or informal appeal, that were not randomly selected (12)

Result of the test Instruction

Of the 35 non-accredited applied sampled:

- In 10/10 applicable cases, applicants were informed of any rights they may have to request a further review of, or appeal from, a registration decision (CCA exam results). Of the 35 non-accredited applied sampled, 25 cases are not applicable - these applicants did not fail the CCA exam.

Of the 37 non-accredited registered sampled:

- In 10/10 applicable cases, applicants were informed of any rights they may have to request a further review of, or appeal from, a registration decision (CCA exam results). Of the 37 non-accredited registered sampled, 27 cases were not applicable - these applicants did not fail the CCA exam.
- In 2/2 applicable cases, applicants were informed of any rights they may have to request a further review of, or appeal from, a registration decision (Registration Committee review of appeal of CCA exam results). Of the 37 non-accredited registered sampled, 35 cases were not applicable - they did not appeal the CCA exam results.

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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?

Of the 2 other active international files that were not randomly selected sampled:

- In 1/1 applicable case, applicant was informed of any rights they may have to request a further review of, or appeal from, a registration decision (CCA exam results). Of the 2 other active international files that were not randomly selected sampled, 1 case was not applicable - this applicant did not fail the CCA exam.

Of the 2 cases that were referred to the Registration Committee regarding the evaluation of a course:

- In 1/1 applicable case, applicant was informed of any rights they may have to request a further review of, or appeal from, a registration decision (Registration Committee evaluation). Of the 2 cases that were referred to the Registration Committee regarding the evaluation of a course, 1 case was not applicable - the applicant's evaluation is not complete because the applicant had not paid for the applicable fee. It was decided that the Registration Committee would continue the evaluation once the fee is paid by the applicant.

Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam:

- In 4/4 applicable cases, applicants were informed of any rights they may have to request a further review of, or appeal from, a registration decision (CCA exam results).
 - In 4/4 applicable cases, applicants were informed of any rights they may have to request a further review of, or appeal from, a registration decision (Registration Committee review of appeal of CCA exam results).
 - In 1/1 applicable cases, applicants were informed of any rights they may have to request a further review of, or appeal from, a registration decision (2nd Registration Committee review of appeal of CCA exam results). Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam, 3 cases were not applicable - these applicants did not request a second appeal of their CCA exam.

Conclusion Instruction

The CDHO 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 sampling procedure

For the College of Dental Hygienists of Ontario

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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?

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters 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

The CDHO informs applicants of any rights they may have to request a further review of, or appeal from, a registration decision, through written correspondence as described in the process above. Specifically, in the letter sent to the applicant informing them of the registration decision, the rights of the applicant and appeal procedure details are mentioned.

Conclusion Instruction

The CDHO 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.

Upon receipt of an application, the Registrar or Deputy Registrar shall either register the applicant or refer the application to the Registration Committee - this is the original registration decision. The Registrar or Deputy Registrar does not participate in the review of the application or in the decision of the Registration Committee.

Members of the Registration Committee who have prior involvement with the applicant would be excluded from sitting on the Panel dealing with the current issue. For example, a member of the Registration Committee who was involved in the initial informal appeal from an examination candidate would not be on the Panel when a formal decision is requested.

In addition, CDHO makes an effort to ensure the absence of bias towards candidates who write the clinical competency assessment exams more than once. In particular, two clinical evaluators perform an evaluation of the candidate's competency during the clinical competency assessment exam. If a candidate were to perform another clinical competency assessment exam, two new clinical evaluators would be assigned to the candidate.

The decision-makers in the original registration decisions are different from the decision-makers in internal review or appeals from those decisions.

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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?

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 one of the Reasons and Decisions used by the Registration Committees, and checked to see if the Registrar or Deputy Registrar had any involvement in the decision making process (by looking for their names).

Result of the test Instruction

In the Reasons and Decisions that I reviewed, there was no mention of the Registrar or Deputy Registrar's involvement in the decision making process of the Registration Committee. Only a member of the Registration Committee signed off on the document. Since the Registrar or Deputy Registrar made the original decision to refer the application to the Registration Committee, and the Registration Committee made a decision based on their internal review, the decision-makers in internal reviews or appeal are different from those who made the original registration decision.

Conclusion Instruction

The CDHO ensures that decision-makers in internal reviews or appeal 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 Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters if decision-makers in internal reviews or appeals are different from those who made the original registration decision.

Result of the test Instruction

Ms. Waters confirmed that although the Registrar or Deputy Registrar (original decision maker) attends the Registration Committee meetings, they are not part of the decision making process. Rather, the Registration Committee makes the subsequent decision.

Conclusion Instruction

The CDHO ensures the decision makers in internal reviews 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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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 license of their appeal rights in a clear and proactive manner?

Describe the health regulatory college's process for the question you raised.
Note that there were no restricted licenses issued during the audit period.

The CDHO's process for informing applicants of their appeal rights is clear because communication with applicants is based on the use of basic templates that are then customized to meet the situation of individual applicants. This also ensures that all applicants receive the same basic information and guidance.

The CDHO's process for informing applicants of their appeal rights is proactive because within the communication indicating the applicant's inability to meet a certain requirement, information regarding the appeal process is included in the event the applicant decides to appeal.

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

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

Describe your document review procedure.

I was unable to view a letter sent to an applicant who did not get an unrestricted license because there were no restricted licenses issued during the audit period. However, I reviewed several basic letter templates to determine if the College informs applicants (who are in receipt of a written response regarding a Registration Committee decision) of their appeal rights in a clear and proactive manner.

Result of the test Instruction

Basic letter templates to applicants (who are in receipt of a written response regarding a Registration Committee decision) were customized to meet the situation of the individual applicants. In most cases, the only items that changed from the basic template were the date, and name. Therefore the letters were clear and understandable.

Basic letter templates to applicants (who are in receipt of a written response regarding a Registration Committee decision) informed applicants of their appeal rights. Therefore the college proactively informed applicants of their appeal rights.

Conclusion Instruction

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

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

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

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe how the College informs all applicants who did not get an unrestricted license of their appeal rights.

Result of the test **Instruction**

The College informs all applicants who did not get an unrestricted license of their appeal rights through basic templates for written communication, as described in the processes above.

Conclusion **Instruction**

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

Recommendation **Instruction**

No recommendation required.

Add another question

Add another interview procedure

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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 CDHO avails to the public its requirements for the documentation of qualifications that must accompany an application through different communication methods.

1. CDHO provides its requirements for the documentation of qualifications that must accompany an application through the CDHO web site, www.cdho.org.

a) On the web site's home page are nine clearly labelled tabs for a web site user to choose from. Sixth across the list is a tab called "Registration".

b) Once the web site user selects "Registration", a drop down menu shows eleven topics for a web site user to choose from.

c) Within these eleven topics, the CDHO provides information about its registration practices. In particular, the topics covered are: "about registration", "categories of registration", "requirements", "clinical competency evaluation", "educational institutions", "private non-accredited", "renew your registration", "registrant address change", "forms", "jurisprudence registration dates", and "office of the fairness commissioner".

d) Depending on the applicant's applicable status:

- Accredited graduates: under "forms", an accredited graduate may print off an application checklist that lists its requirements for documentation of qualifications that must accompany an application.

- International graduates: under "requirements", web site user must choose "grads of non-accredited international programs", and then double click on "Career Map". On pages 6 and 7, a chart depicts all the documents that an international graduate would have to submit to the College.

2. CDHO provides its requirements for the documentation of qualifications that must accompany an application in person. The Deputy Registrar, administration assistant in the registration department, and receptionist are available to meet with applicants regarding their applications. This support is provided to walk-ins if they are available, or by appointment. The CDHO may be contacted at:

69 Bloor Street East, Suite 300
Toronto, Ontario Canada M4W 1A9

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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?

3. CDHO provides its requirements for the documentation of qualifications that must accompany an application through mail. The CDHO may be contacted at:

69 Bloor Street East, Suite 300

Toronto, Ontario Canada M4W 1A9

4. CDHO provides its requirements for the documentation of qualifications that must accompany an application through e-mail. The CDHO may be contacted at:

deputyregistrar@cdho.org

5. CDHO provides its requirements for the documentation of qualifications that must accompany an application by telephone and fax. The CDHO may be contacted at:

Telephone: (416) 961-6234

Toll Free: 1 (800) 268-2346

Fax: (416) 961-6028

The CDHO's hours of operations are Monday to Friday, 8:30am to 4:30pm.

In addition to the five methods above, the CDHO also forwards application packages to all students in accredited programs.

Testing procedures

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

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

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

C5: Documentation of Qualifications

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

Describe your document review procedure.

I reviewed a guide within the application package for each type of applicant, called "A Guide to the Process of Being Registered as a Dental Hygienist in Ontario".

Result of the test Instruction

Within these guides, the CDHO makes available its requirements for the documentation of qualifications that must accompany an application. The requirements are listed very clearly.

Conclusion Instruction

The CDHO makes available its requirements for the documentation of qualifications that must accompany an application.

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 Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe how the College makes available to the public its requirements for the documentation of qualifications that must accompany an application.

Result of the test Instruction

The CDHO makes available to the public its requirements for the documentation of qualifications that must accompany an application as described in the process above.

Conclusion Instruction

The CDHO makes available to the public its requirements for the documentation of qualifications that must accompany an application.

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

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 health regulatory College makes available to the public its requirements for the documentation of qualifications that must accompany an application, I logged onto the College's web site, www.cdho.org to look for related information.

Result of the test Instruction

After logging onto the College's web site, I was able to find the College's requirements for the documentation of qualifications that must accompany an application for graduates of accredited programs and non-accredited international programs.

Conclusion Instruction

The CDHO makes available to the public its requirements for the documentation of qualifications that must accompany an application.

Recommendation Instruction

We recommend that a link under "forms" include an Application Checklist for non-accredited graduates.

Add another testing procedure

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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 CDHO gives applicants information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control through the following methods:

a) Published information: "A Guide to the Process of Being Registered as a Dental Hygienist in Ontario" for graduates of International non-accredited dental hygiene programs (for example, if a document containing the same information required by the CDHO has already been submitted to the NDHCB, this document will be accepted provided it is forwarded from the NDHCB stating that it was received directly from the regulatory body)

b) Jurisprudence Presentation

c) Applicants may also contact CDHO in person, by mail, by e-mail or by telephone to discuss their circumstances when unable to obtain the documentation. The Registration Committee determines, on a case by case basis, whether an alternative document can be substituted.

d) The CDHO has used documentation relating to a course of study from information that has been submitted by another applicant

e) The CDHO has written directly to the educational institute to assist the applicant in obtaining documentation

f) Explanations as to why certain documents cannot be provided by the applicant have been accepted.

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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?

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.

I reviewed the application forms to determine if applicants were provided with information on acceptable alternatives to the documentation if they cannot obtain the standard documentation for reasons beyond their control.

Result of the test

Per review of the application forms, I was able to find information on acceptable alternatives to required documentation.

Conclusion

The CDHO gives applicants information on acceptable alternatives to the documentation if they are unable to obtain the standard documentation for reasons beyond their control.

Recommendation

No recommendation required.



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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 Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe how CDHO 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

The CDHO provides information on acceptable alternatives through published materials (for example, within the application package) and through communication with the College (case by case basis), as described in the process above.

Conclusion Instruction

The CDHO gives applicants information on acceptable alternatives to the documentation if they are unable to obtain the standard documentation for reasons beyond their control.

Recommendation Instruction

No recommendation required.

Add another interview 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?

C5: Documentation of Qualifications

C5c. Type your additional question here.

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?

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C5: Documentation of Qualifications

C5c. Type your additional question here.

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?

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SECTION C: Evaluation of Registration Practices

C5: Documentation of Qualifications

C5c. Type your additional question here.

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

The CDHO has several processes to assist applicants in completing the registration process when documents are unavailable for reasons beyond their control.

In particular, documentation that has been provided to the NDHCB has also been accepted. Note that the applicant must request the NDHCB to forward his/her information to the CDHO.

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

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 reviewed published information on registration which provides alternative ways to satisfy registration requirements, including:

- a) career map
- b) application forms
- c) CDHO website

Result of the test Instruction

The CDHO's process for dealing with applicants whose documents are unavailable for reasons beyond their control is performed in a proactive manner, in that they list acceptable alternative ways to satisfy registration requirements in published information. This is both an effective process as well as an efficient process.

Conclusion Instruction

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

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

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 Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe how the College deals 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 deals with applicants whose documents are unavailable for reasons beyond their control, which goes beyond an ad hoc, case by case approach as described in the process above. The example provided above is an effective process (acceptance of documentation that has been provided by the NDHCB).

Conclusion Instruction

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

Recommendation Instruction

No recommendation required.

Add another question

Add another interview procedure

For the College of Dental Hygienists 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.

For the College of Dental Hygienists of Ontario

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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.

During the registration process, a non-accredited and non-accredited international applicant will have their course of study/credentials assessed, and will have their clinical competency assessed. The CDHO accepts credential evaluations/assessments conducted by the National Dental Hygiene Certification Board (NDHCB). An applicant, if deemed ineligible to write the NDHCE, may request the Registration Committee of the CDHO to conduct an evaluation of their course of study. The CDHO conducts clinical competency assessments for candidates from non-accredited schools. Following successful completion of these, the applicant is registered upon CDHO's receipt of a completed application form.

a) General evaluation

An applicant must successfully complete a two-year dental hygiene program that is accredited by the Commission on Dental Accreditation of Canada or by the American Dental Association Commission on Dental Accreditation OR a dental hygiene program of at least two years that the Registration Committee considers to be equivalent to an accredited program. In addition, the applicant must also successfully complete the National Dental Hygiene Certification Examination (NDHCE). This is stated in the Ontario Regulation 218/94.

b) NDHCB evaluation of an applicant's course of study (assessment of educational qualification):

The CDHO accepts the evaluation criteria established by the NDHCB, which are competency based. The evaluation criteria of the NDHCB is established by the Board of Governors. The Board of Governors is composed of representatives from: provincial Colleges of Dental Hygienists, the Canadian Dental Hygiene Educators, the Canadian Dental Hygienists Association the Commission on Dental Accreditation of Canada, and one public member.

If an applicant's credentials have been approved by the NDHCB, they are eligible to take the NDHCE. Following successful completion of the NDHCE, an applicant may proceed with the registration process at the CDHO (accredited graduates must attend a jurisprudence presentation and submit an application form; non-accredited graduates must attend a jurisprudence presentation, successfully complete the clinical competency assessment exam and then submit an application). If an applicant's credentials have not been approved by the NDHCB (ie. deemed

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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?

ineligible to take the NDHCE), the applicant may request a review of their course of study by the Registration Committee of the CDHO.

c) Registration Committee of the CDHO evaluation of an applicant's course of study (assessment of educational qualification):

The Registration Committee established an equivalency process based on a review of the applicant's documents for consistency with:

- Accreditation Requirements for Dental Hygiene Programs, 2005 (Commission on Dental Accreditation of Canada, CDAC)
- Accreditation Standards for Dental Hygiene Education Programs (Commission on Dental Accreditation, American Dental Association, 2006)
- College of Dental Hygienists of Ontario (Dental Hygiene Standards of Practice, 1998)
- Dental Hygiene Program Standard (College Standards and Accreditation Council, CSAC, June 1996)
- National Dental Hygiene Certification Examination - Blueprint - 2005.

The equivalency process developed by the Registration Committee is divided into six sections, which includes: biomedical sciences, oral health sciences, oral health specialties, behavioural sciences, professional and safe practice, and dental hygiene practice. This process assists the Registration Committee to look at individual competencies.

d) CDHO evaluation of an applicant's clinical competency (assessment of practical qualification):

Advertisements for the position of "clinical evaluators" are placed in the College's magazine, "Milestones". If someone is interested in applying for the position, he/she must meet certain criteria. Examples of criteria include: possession of a current general or specialty certificate of registration with the CDHO; in good standing with the College; at least 3 years clinical dental hygiene experience in either general or periodontal practice; experience in teaching or evaluating dental hygiene students; ability to work collaboratively in a team setting, etc. Interested persons are encouraged to send in their cover letter and resume. Clinical evaluators may also be hired based on recommendations of peers, or past/current clinical evaluators. Note that CDHO has made efforts to remove conflicts of interest by: removing from their list of approved clinical evaluators those who are teaching at a non-accredited school; those who are providing upgrading courses for candidates; current members of Council and Non-Council members are also ineligible.

Clinical evaluators are provided with an orientation session prior to the exams. They are also provided with documents to review regarding the exam process. Examples of documents that are provided to the clinical evaluators include: "Examples of Comments for Evaluators" - to maintain consistency of wording within the evaluation;

For the College of Dental Hygienists of Ontario

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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?

“Documentation Comments” - to provide clinical evaluator suggestions on what to look for; “CDHO Procedures for Clinical Evaluators” - to provide the clinical evaluator with a step by step process, etc.

Two clinical evaluators perform an evaluation of the candidate's competency. Within each clinical evaluation 'pair', one clinical evaluator would be 'experienced' in performing CDHO clinical competency evaluations and the other clinical evaluator may or may not be 'new' to performing CDHO clinical competency evaluations (note that all evaluators have experience in evaluating students, as one of the criteria for selection is that they must have teaching and evaluation experience in an accredited dental hygiene program). The evaluation is done separately so that they do not persuade each other's evaluations. The clinical evaluators use clinical performance evaluation forms to assist in their evaluation of the exam. These evaluation forms identify the main areas of competency a candidate must possess in order to be successful ('S') or unsuccessful ('U'). The same evaluation document is used on each candidate for consistency. At the end of each CCA, the two clinical evaluators discuss one another's evaluations. If there is a difference of opinion, the chief evaluator and the two evaluators discuss the evaluations until a decision is reached. A report to unsuccessful candidate is completed collaboratively between the two clinical evaluators. This is sent with a cover letter indicating results of the exam and appeal procedures available.

If a candidate were to perform another clinical competency assessment exam, a different clinical evaluator team would be assigned to them.

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?

Sample of Non-accredited applied & registered, international & RC reviews not randomly sampled
(e.g., international applications)

Population size	Sample size	% of Population
277	86	31

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.

1. Population size

The population size of 1052 included all applicants that had active files during the audit period. Active files include the following:

- a) Applicants who applied for registration during the audit period and were not registered during the audit period (nil)
- b) Applicants who were registered during the audit period (104)
- c) Applicants who applied for registration and were registered during the audit period (889)
- d) Applicants who began the registration process prior to the audit period but were not registered during the audit period (5)
- e) Applicants who began the registration process during the audit period but have not met the registration requirements during the audit period (54)

For this test, the population size of 277 is calculated as follows:

- a) Non accredited applicants who were registered during the audit period (100)
- b) Non accredited applicants who applied for registration and were registered during the audit period (112)
- c) Non accredited applicants who began the registration process prior to the audit period but were not registered during the audit period (5)
- d) Non accredited applicants who began the registration process during the audit period but have not met the registration requirements during the audit period (54)

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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?

- e) All other active international files that were not randomly selected (2)
- f) All other active files that went through either a formal or informal appeal, that were not randomly selected (12) less any duplication of files (8)

2. Sample size

a) Sample of 86 active files was decided to be sufficient based on the auditors' judgement at the commencement of the audit. The sample size was not changed throughout the audit as it was as it was considered to be representative of the entire population.

b) The following is a breakdown of the sample size:

- 5% of registered applicants ($104 + 889 = 993$; $993 \times 5\% = 49.65$, sampled 49)
- 5% of applied applicants, including those who began the process but did not apply ($889 + 54 = 943 \times 5\% = 47.15$, sampled 46)

From the above, a further breakdown is required:

- Of the 49, 75% were selected from the non-accredited and international program (37)
- Of the 46, 75% were selected from the non-accredited and international program (35)
- All other active international files that were not randomly selected (2)
- All other active files that went through either a formal or informal appeal, that were not randomly selected (12)

Result of the test Instruction

Note that the following are tests performed on the College's assessment of an applicant's competency.

Of the 35 non-accredited applied sampled:

- In 34/34 applicable cases, the CDHO has made its own assessment of qualifications in a way that is transparent, objective, impartial and fair. Of the 35 non-accredited applied sampled, 1 case was not applicable - this applicant did not attend the exam.

Of the 37 non-accredited registered sampled:

- In 37/37 applicable cases, the CDHO has made its own assessment of qualifications in a way that is transparent, objective, impartial and fair.

Of the 2 other active international files that were not randomly selected sampled:

- In 2/2 applicable cases, the CDHO has made its own assessment of qualifications in a way that is transparent,

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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?

objective, impartial and fair.

Of the 4 other cases (that were not randomly selected) that were referred to the Registration Committee regarding the CCA exam:

- In 4/4 applicable cases, the CDHO has made its own assessment of qualifications in a way that is transparent, objective, impartial and fair.

Conclusion

Instruction

The CDHO makes its own assessment of qualifications in a way that is transparent, objective, impartial and fair.

Recommendation

Instruction

No recommendation required.

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.

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 Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters 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

The College makes its own assessment of qualifications in a way that is transparent, objective, impartial and fair as described in process a-d above (General evaluation, NDHCB evaluation of an applicant's course of study, Registration Committee evaluation of an applicant's course of study, and CDHO evaluation of an applicant's clinical competency).

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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C6: Assessment of Qualifications

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

☒ Yes ☐ No ☐ N/A

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

The CDHO relies upon the NDHCB to assess qualifications (an applicant's course of study).

The CDHO accepts the evaluation criteria established by the NDHCB, which are competency based. The evaluation criteria of the NDHCB is established by the Board of Governors. The Board of Governors is composed of representatives from: provincial Colleges of Dental Hygienists, the Canadian Dental Hygiene Educators, the Canadian Dental Hygienists Association the Commission on Dental Accreditation of Canada, and one public member.

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.

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 Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters 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. In particular, I discussed with Ms. Waters the relationship between the CDHO and the National Dental Hygiene Certification Board.

Result of the test Instruction

The College ensures the NDHCB makes assessments of qualifications in a way that is transparent, objective, impartial and fair because:

- a) the Board of Governors establish eligibility criteria
- b) per review of the NDHCB web site, I noted that representatives from Dental Hygiene Colleges and Associations across Canada sit on the Board. This provides a good representation from across Canada.

Conclusion Instruction

The CDHO 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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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

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 other testing procedure.

I reviewed excerpts from the Governance Policies of the NDHCB. I also logged onto the the third parties' web site at www.ndhcb.ca.

Result of the test Instruction

The College ensures the NDHCB makes assessments of qualifications in a way that is transparent, objective, impartial and fair because:

a) per review of excerpts from the governance policies of the NDHCB, the Executive Director has to follow several effective mechanisms to ensure professional integrity, due process and procedural fairness, with respect to the ongoing development and administration of exams.

Conclusion Instruction

The CDHO 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 testing procedure

For the College of Dental Hygienists of Ontario

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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 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?

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?

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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?

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

The CDHO uses clear and recognized criteria to assess applicants' qualifications:

- a) Criteria for registration have been established and documented in the Registration Committee Resource Manual.
- b) For clinical competency assessments, the CDHO's criteria used to assess a candidate's competency is very clearly laid out on the clinical performance evaluations that the clinical evaluators are required to use during the exam. These criteria are also provided to an unsuccessful candidate.

In addition, the CDHO ensures assessors are trained to apply these criteria consistently:

- a) The Registration Committee is provided with training at various stages during their time at the CDHO (eg. general orientation session, ongoing professional development courses, etc.).
- b) The clinical evaluators are screened and selected based on their experience and competencies.

Testing procedures

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

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

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

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

C6: Assessment of Qualifications

C6c. Does the regulated profession 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 Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe how the College uses clear and recognized criteria to assess applicants' qualifications, and how the College ensures assessors are trained in how to apply these criteria consistently.

Result of the test Instruction

The CDHO 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 CDHO 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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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.

C6: Assessment of Qualifications

C6c. Does the regulated profession 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 your other testing procedure.

I emailed a letter to members of the Registration Committee asking them to confirm that they are in agreement with the following points:

As a Registration Committee member, they:

1. Received a general orientation to the Registration Committee
2. Understand the contents of the Registration Committee Resource Manual provided at the orientation, in particular:
 - the Regulated Health Professions Act, 1991, the Health Professions Procedural Code, which defines the roles and responsibilities of the Registration Committee
 - the Ontario Regulation 218/94, made under the Dental Hygiene Act, 1991, regarding registration
3. Received training on the assessment methods and criteria used by the Registration Committee in determining whether an applicant meets the requirements for registration

Result of the test Instruction

Nine of the nine members (during the audit period) of the Registration Committee have confirmed that they are in agreement with points #1-3 as listed in the process above.

Conclusion Instruction

The CDHO ensures assessors are trained in how to apply these criteria consistently.

Recommendation Instruction

No recommendation required.

Add another testing 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 regulatory health college verify validity of documents and information provided by the applicant?

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

The CDHO requires notarized copies and official translations of documents and information provided by applicant. Information on course of study (transcripts) and certificate of professional conduct come directly from the applicant's college of graduation. In cases where CDHO doubts the validity of the documents or information provided by the applicant, CDHO may perform the following to verify the validity:

- request an educational assessment
- hire an independent translator
- write directly to colleges of graduation

Testing procedures

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

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

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

C6: Assessment of Qualifications

C6c. Does the regulatory health college verify validity of documents and information provided by the applicant?

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked the Deputy Registrar to describe the process for validating documents and information provided by applicants.

Result of the test Instruction

Documents and information are notarized copies provided by the applicant. Information on course of study (transcripts) and certificate of professional conduct come directly from the applicant's college of graduation. Unless there is reason for concern, it is not normal practice to verify the validity of documents and information provided by the applicant.

Conclusion Instruction

The CDHO does not typically verify the validity of documents and information provided by the applicant or information on course of study (transcripts) and certificate of professional conduct that come directly from the applicant's college of graduation because most of the documents and information are notarized or come directly from the applicant's college of graduation.

Recommendation Instruction

No recommendation required.

Add another question

Add another interview procedure

For the College of Dental Hygienists of Ontario

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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 CDHO ensures that persons assessing qualifications and making registration decisions are trained. In particular:

REGISTRATION COMMITTEE

a) Training is provided at an annual orientation session. This session is provided to all members of the Registration Committee and addresses: the criteria used by the Registration Committee in determining whether an applicant meets the requirements for registration; the methodology of conducting assessments; and issues related to making registration decisions

b) Training includes a general orientation to the Regulated Health Professions Act, 1991, the Health Professions Procedural Code, which defines the roles and responsibilities of the Registration Committee

c) Training is provided on Ontario Regulation 218/94, made under the Dental Hygiene Act, 1991, regarding registration

d) A Registration Committee Resource Manual is provided at the orientation, for reference purposes

e) Training workshops in credential and program assessment methods from third party organizations are utilized, where appropriate

CLINICAL COMPETENCY EVALUATORS (CCEs)

a) CCEs are selected based on criteria as requested by Council. CCEs either responded to the advertisement in the College's publication, "Milestones" or the College received CV's from dental hygiene educators who have been recommended by peers. These individuals are put on list of potential CCEs to be used. Some evaluators have been removed from the list if a conflict of interest is present (eg. they are teaching at a non-accredited school).

b) Training by the College includes a calibration exercise each session and pairs new evaluators with seasoned ones.

For the College of Dental Hygienists of Ontario

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C7: Training

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

c) An orientation session is also provided for all evaluators before the exam.

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

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

Describe your document review procedure.

I read an advertisement in the College's publication, "Milestones", for Registrants who would be interested in serving the College as a clinical evaluator. In particular, I read the criteria for those who are interested in applying for consideration as a clinical evaluator. Some of the criteria include:

- a) possess a current general or specialty certificate of registration with the CDHO
- b) in good standing with the College
- c) at least 3 years clinical dental hygiene experience in either general or periodontal practice
- d) experience in teaching or evaluating dental hygiene students
- e) ability to work collaboratively in a team setting
- f) proficiency in both oral and written English and/or French
- g) current members of Council and Non-Council members are ineligible

Following this, I reviewed a list of clinical competency evaluators during the audit period and selected 3 names. I compared their resumes to the criteria listed above to see if the evaluators met the criteria.

Result of the test Instruction

Based on the review of the three clinical evaluators' resumes, their qualifications have met the criteria for those who are interested in applying for consideration as a clinical evaluator.

Conclusion Instruction

The CDHO ensures its assessors have the necessary skills to assess applicants' competency.

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

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

Describe your document review procedure.

I reviewed documents provided to the CCEs by the College to be used by CCEs (to assist in their role as evaluators at the exam).

Result of the test Instruction

The documents provided to the CCEs provide helpful information to assist in assessing competency and making registration decisions. For example, one document suggests what to look for (eg. Lateral pressure, time management, positioning). Another document ("C.D.H.O. Procedures for Clinical Evaluators") outlines the procedures for clinical evaluators to follow at the exam.

Conclusion Instruction

The CDHO ensures its assessors have the necessary skills to assess applicants' competency.

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

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

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe how the College ensures that persons assessing qualifications and making registration decisions are trained.

Result of the test **Instruction**

The CDHO ensures that persons assessing qualifications and making registration decisions are trained, as described in the process above.

Conclusion **Instruction**

The CDHO ensures that persons assessing qualifications and making registration decisions are trained.

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.

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 emailed a letter to members of the Registration Committee asking them to confirm that they are in agreement with the following points:

As a Registration Committee member, they:

1. Received a general orientation to the Registration Committee
2. Understand the contents of the Registration Committee Resource Manual provided at the orientation, in particular:
 - the Regulated Health Professions Act, 1991, the Health Professions Procedural Code, which defines the roles and responsibilities of the Registration Committee
 - the Ontario Regulation 218/94, made under the Dental Hygiene Act, 1991, regarding registration
3. Received training on the assessment methods and criteria used by the Registration Committee in determining whether an applicant meets the requirements for registration

Result of the test Instruction

Nine of the nine members (during the audit period) of the Registration Committee have confirmed that they are in agreement with points #1-3 as listed in the process above.

Conclusion Instruction

The CDHO ensures that persons assessing qualifications and making registration decisions are trained.

Recommendation Instruction

No recommendation required.

Add another testing procedure

For the College of Dental Hygienists of Ontario

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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
hearings are not necessary at CDHO (matters are referred to the Registration Committee).

Conclusion

Instruction

N/A - did not perform a test.

Recommendation

Instruction

No recommendation required.

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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 through:

- a) sending the Registration Committee to specific training sessions
- b) inviting legal counsel to attend a Registration Committee meeting where a special consideration may apply
- c) appointing one or two educators on the Registration Committee

Testing procedures

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

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

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

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 Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe how the College ensures that training in any special consideration that may apply in the assessment of applications is provided, and how the process for applying those considerations is taught.

Result of the test

The College ensures that training in any special consideration that may apply in the assessment of applications is provided, and the process for applying those considerations is taught as described in the process above.

Conclusion

The College ensures that training in any special consideration that may apply in the assessment of applications is provided, and the process for applying those considerations is taught.

Recommendation

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.

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?

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

Ongoing training is provided when there is an opportunity or as required. In particular:

- a) training workshops from third party organizations are utilized, where appropriate
- b) in-house training regarding registration processes are provided
- c) staff attend the annual Registration Committee orientation
- d) registration staff meetings are held 4-6 times per year

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 an invoice paid to a third party that provided a training session called "Fair Registration Practices & Procedures: A Training Session for Staff and Committee Members".

Result of the test

Instruction

Staff and Registration Committee members of the CDHO were listed as being paid for to attend the training session.

Conclusion

Instruction

Although there is no regularly scheduled training provided by CDHO, CDHO provides training to staff.

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?

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters if the CDHO provides regularly scheduled training to staff.

Result of the test Instruction

The CDHO provides training to staff when the opportunity arises (eg. if courses that are relevant to the registration process is offered).

Conclusion Instruction

Although there is no regularly scheduled training provided by CDHO, CDHO provides training to staff.

Recommendation Instruction

No recommendation required.

Add another question

Add another interview 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.

The following is CDHO's process for giving applicants access to records related to their application, upon written request:

- If an applicant calls in to request access to records related to their application, a written request (via email or fax) would be required. The applicant then submits a request in writing to CDHO to obtain copies of documents and information that are relevant to the application.
- Whoever is dealing with the request will pull the file from the file room.
- If the records requested were originally provided by the applicant, a photocopy is taken and sent to the applicant. If the records were not originally provided by the applicant, the records would be discussed with the Registrar or Deputy Registrar before photocopying and sending to the applicant. This is to ensure that documents or information that may jeopardize the safety of any person is not released to the applicant.
- CDHO staff sends the information via the applicant's preferred method of receiving 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

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

Interviews of Evelyn Waters, Heather Boucher, Margaret Stevenson

(e.g., registration committee members)

Describe your interview procedure.

I interviewed all employees involved in the registration process. In particular, I asked each employee to describe the process for giving applicants access to records related to their application.

Result of the test Instruction

Answers individually provided by the staff were consistent. The CDHO gives applicants access to records related to their application, upon written request.

Conclusion Instruction

The CDHO 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.

The following is CDHO's process for limiting access:

Beyond the limitations permitted in the legislation (documents or information that may jeopardize the safety of any person), CDHO does not limit access because the majority of the applicant's records related to their application was provided by them. In cases where the CDHO receives information from the applicant's college of graduation, this information is forwarded 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

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

Interviews of Evelyn Waters, Heather Boucher, Margaret Stevenson

(e.g., registration committee members)

Describe your interview procedure.

I interviewed all employees involved in the registration process. In particular, I asked each employee to indicate what documents or information related to an applicant's application they were not allowed to provide.

Result of the test

Answers individually provided by the staff were consistent. Each employee interviewed indicated that CDHO did not limit access beyond the limitations permitted in the legislation (information that the registrar feels may jeopardize the safety of any person). The regulated profession does not limit access beyond the limitations permitted in the legislation (Regulated Health Professions Act, 1991, Paragraph 16(2) and Fair Access to Regulated Professions Act, 2006, Paragraph 12).

Conclusion

The CDHO does not limit access beyond the limitations permitted in the legislation.

Recommendation

No recommendation required.



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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.

The following is CDHO's process for giving applicants partial access when records can reasonably be severed:

- a) Providing applicants with partial access to records would be considered on an individual basis.
- b) The Registrar or Deputy Registrar reviews the applicant's file to determine if there are any documents or information that may jeopardize the safety of any person.
- c) If the file contains documents or information that may jeopardize the safety of any person, the Deputy Registrar may refuse to provide the applicant with documents or information that may jeopardize the safety of any person.
- d) The parts of the documents or information requested by the applicant that the Deputy Registrar does not think may jeopardize the safety of any person can be severed (from the part to which CDHO limited the applicant access to) and provided to the applicant.
- e) Information provided to the applicant is documented by the registration staff.

Testing procedures

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

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

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

C8 Access to Records

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

Interviews of Evelyn Waters, Heather Boucher, Margaret Stevenson

(e.g., registration committee members)

Describe your interview procedure.

I interviewed all employees involved in the registration process. In particular, I asked each employee to indicate what documents or information related to an applicant's application they were not allowed to provide.

Result of the test

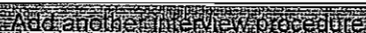
Answers individually provided by the staff were consistent. Each employee interviewed indicated that information that the Registrar feels may jeopardize the safety of any person would not be provided.

Conclusion

The CDHO gives applicants partial access when records can reasonably be severed.

Recommendation

No recommendation required.



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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 following is CDHO's process for considering requests for access to records:

- a) Considering requests for access to records is performed on an individual basis.
- b) Upon written request for access to records from the applicant has been received, CDHO ascertains whether the document or information requested is physically in CDHO's possession, and if the document or information may or may not jeopardize the safety of any person.
- c) If the request is not complicated, registration staff will proceed and fulfil the request. If the request is complicated, registration staff will seek direction from either the deputy registrar or the registrar, before proceeding and fulfilling the request.

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.

C8: Access to Records

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

Interviews of Evelyn Waters, Heather Boucher, Margaret Stevenson

(e.g., registration committee members)

Describe your interview procedure.

I interviewed all employees involved in the registration process. In particular, I asked each employee to describe the process for considering requests for access to records.

Result of the test

Answers individually provided by the staff were consistent. Each employee interviewed indicated that the process for considering a request begins when they receive a written request from the applicant.

Conclusion

The CDHO has a process for considering requests for access to records.

Recommendation

No recommendation required.



For the College of Dental Hygienists of Ontario

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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.

CDHO does not charge a fee to applicants for access to records.

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

For the College of Dental Hygienists 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.

C8 Access to Records

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

I did not use any testing procedures because
CDHO does not charge a fee to applicants for access to records.

Conclusion

Institution

N/A - did not perform a test.

Recommendation

Institution

No recommendation required.

For the College of Dental Hygienists of Ontario

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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.

CDHO does not charge a fee to applicants for access to records.

Testing procedures

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

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

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

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?

I did not use any testing procedures because
CDHO does not charge a fee to applicants for access to records.

Conclusion 
N/A - did not perform a test.

Recommendation 
No recommendation required.

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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.

CDHO does not charge a fee to applicants for access to records.

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.

C8: Access to Records

C8g. Does the health regulatory college waive access fees?

I did not use any testing procedures because
CDHO does not charge a fee to applicants for access to records.

Conclusion

Instruction

N/A - did not perform a test.

Recommendation

Instruction

No recommendation required.

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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 have a process to inform applicants pro-actively of their right to access their records?

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

CDHO does not have a process to inform applicants pro-actively of their right to access their records, because the College usually receives all the documents and evidence contained in the applicant's records directly from the applicant.

In cases where an applicant has requested an assessment of his/her course of study, the College receives documentation submitted directly from their College of graduation. A copy of the documentation is provided to them automatically.

Testing procedures

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

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

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

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

C8: Access to Records

C8h. Does the regulated profession have a process to inform applicants pro-actively of their right to access their records?

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe the College's process for informing applicants pro-actively of their right to access their records.

Result of the test

Instruction

The CDHO does not have a process to inform applicants pro-actively of their right to access their records, because the College usually receives all the documents and evidence contained in the applicant's records directly from the applicant, as described in the above process.

Conclusion

Instruction

The CDHO does not have a process to inform applicants pro-actively of their right to access their records.

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?

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

The registration department are the primary users of applicant records. CDHO does not restrict certain employees from having access to applicant records. However, registrant records kept in a file room and applicant records kept in a filing cabinet are both locked at night.

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

C8h. Does the regulated profession restrict certain employees from having access to applicant records?

Interviews of Evelyn Waters, Heather Boucher, Margaret Stevenson

(e.g., registration committee members)

Describe your interview procedure.

I interviewed all employees involved in the registration process. In particular, I asked each employee who has access to applicant information.

Result of the test

Instruction

The same documentation and information would be received by the applicant, no matter which registration employee the applicant requested the information from (ie. One employee does not have more or less access to an applicants file than another employee).

Conclusion

Instruction

The CDHO does not restrict certain employees from having access to applicant records.

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 return original documents submitted by the applicant upon written request?

C8: Access to Records

C8h. Type your additional question here.

C8h. Does the regulated profession return original documents submitted by the applicant upon written request?

C8: Access to Records

C8h. Type your additional question here.

C8h. Does the regulated profession return original documents submitted by the applicant upon written request?

C8: Access to Records

C8h. Type your additional question here.

C8h. Does the regulated profession return original documents submitted by the applicant upon written request?

C8: Access to Records

C8h. Type your additional question here.

C8h. Does the regulated profession return original documents submitted by the applicant upon written request?

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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 return original documents submitted by the applicant upon written request?

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

The following is CDHO's process for returning original documents submitted by the applicant, if requested:

- a) Requests for returning original documents submitted by the applicant are considered on an individual basis.
- b) If an applicant calls in to request the return of original documents submitted by them, a written request (via email or fax) would be required. The applicant then submits a request in writing to CDHO to obtain original documents submitted by them.
- c) This request is documented in their file.
- d) Whomever is dealing with the request will pull the file from the file room.
- e) The original documents submitted by the applicant would be photocopied and stamped/indicated that the original was viewed.
- f) CDHO staff sends the information via the applicant's preferred method of receiving 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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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.

C8: Access to Records

C8h. Does the regulated profession return original documents submitted by the applicant upon written request?

Interviews of Evelyn Waters, Heather Boucher, Margaret Stevenson

(e.g., registration committee members)

Describe your interview procedure.

I interviewed all employees involved in the registration process. In particular, I asked each employee to describe the process for returning original documents submitted by the applicants.

Result of the test

Instruction

Answers individually provided by the staff were consistent. Each employee interviewed indicated that original documents submitted by the applicant can be returned if requested.

Conclusion

Instruction

The CDHO returns original documents submitted by the applicant, if requested.

Recommendation

Instruction

No recommendation required.

Add another question

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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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  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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SECTION D: Evaluation of Registration Practices, General Duty

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

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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.

Practice: Part of the registration process includes attendance at a jurisprudence presentation or complete an approved jurisprudence course of study.

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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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 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 Practice: Part of the registration process includes attendance at a jurisprudence presentation or complete an approved jurisprudence course of study.

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe a practice that relates to the Colleges' registration function but is not listed in the Code. In particular, I asked if there are any additional educational knowledge requirements of the applicant within the registration process.

Result of the test



The CDHO requires that an applicant attend a half day jurisprudence presentation put on the by the College or complete an approved jurisprudence course of study.

Conclusion



The CDHO requires applicants to either attend a jurisprudence presentation or complete an approved jurisprudence course of study. This is to ensure the applicants are provided with an overview of the rules and regulations which govern dental hygiene in Ontario prior to registering with the CDHO.

Recommendation



No recommendation required.

Add another interview procedure

For the College of Dental Hygienists of Ontario

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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.

No other practices of the health regulatory college that are related to the registration function but are not listed in the Code.

Testing procedures

Click one or more boxes in the checklist below to list all the evaluation methods you used to assess this 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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At any time, you may click a letter in the range above to go to a different section, or click [Back to the Table of Questions](#) at the top of the page to go to a different question in this section.

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

☐ Yes ☒ No

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

Number	Requirement
1.	

[Delete last requirement](#)

[Add another requirement](#)

Testing procedures

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

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

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

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

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

Describe your document review procedure.

I reviewed application forms to determine what information must be filled out, but may not necessarily be used in the registration process to make registration decisions.

Result of the test 

I did not note any requirements for applicants that are not used in the registration process to make registration decisions.

Conclusion 

The CDHO does not have requirements for applicants that are not used in the registration process to make registration decisions.

Recommendation 

No recommendation required.



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

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

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe any requirements the College has for applicants that are not used in the registration process to make registration decisions.

Result of the test instructor

There are no requirements of the College for applicants that are not used in the registration process to make registration decisions.

Conclusion instructor

The CDHO does not have requirements for applicants that are not used in the registration process to make registration decisions.

Recommendation instructor

No recommendation required.

Add another interview procedure

For the College of Dental Hygienists of Ontario

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

D3. Can the health regulatory college's registration process be streamlined?

☐ Yes ☒ No

Describe how the registration process could be more efficient.

No recommendations noted.

Note that the typical length of the registration process from initial application through to registration is:

Accredited = 5 - 10 business days

Non-accredited & International (Stream 1) = 8 - 92 business days

Non-accredited & International (Stream 2) = 97 - 153 business days

Therefore, the typical length of the registration process from initial application through to registration is 37 - 85 business days. This was calculated by taking $[(5+8+97)/3] - [(10+92+153)/3]$

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

37 day(s) to 85 day(s)

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

5 day(s) to 10 day(s)

Describe each stage of the registration process, including typical length.

Stage	Typical length			
Write NDHCB's written examination, prior to graduation (Accredited)	0	day(s)	to	0 day(s)
Attend Jurisprudence presentation of complete an approved Jurisprudence course of study (typically, an applicant attends the Jurisprudence presentation) prior to graduation. Note that it may take up to 6 weeks (42 days) after the NDHCB's exam to receive exam results, and therefore is within the same timeframe as the attendance of a Jurisprudence presentation or	0	day(s)	to	0 day(s)

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SECTION D: Evaluation of Registration Practices, General Duty

D3. Can the health regulatory college's registration process be streamlined?

completion of an approved
Jurisprudence course of study
(Accredited)

Receipt of a completed application and registration (Accredited)	5	day(s)	to	10	day(s)
Write NDHCB's written examination (Non-Accredited & International - eligible to write NDHCE)	1	day(s)	to	1	day(s)
Write Clinical Competency Assessment exam. Attend Jurisprudence presentation of complete an approved Jurisprudence course of study (typically, an applicant attends the Jurisprudence presentation). Note that it may take up to 6 weeks (42 days) after the NDHCB's exam to receive exam results, and note that it may take up to 54 days to attend a Jurisprudence presentation and therefore is within the same timeframe as writing of the Clinical Competency Assessment exam (Non-Accredited & International - eligible to write NDHCE)	1	day(s)	to	60	day(s)
Receive Clinical Competency Assessment exam results (Non-Accredited & International - eligible to write NDHCE)	1	day(s)	to	21	day(s)
Receipt of a completed application and registration (Non-Accredited & International - eligible to write NDHCE)	5	day(s)	to	10	day(s)
Registration Committee assessment of Course of Study and receipt of assessment results. Attend Jurisprudence presentation of complete an approved Jurisprudence course of study (typically, an applicant attends the Jurisprudence presentation). Note that it may take up to 54 days to attend a Jurisprudence presentation and therefore is within the	90	day(s)	to	90	day(s)

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SECTION D: Evaluation of Registration Practices, General Duty

D3. Can the health regulatory college's registration process be streamlined?

same timeframe as Registration
Committee assessment of Course of
Study (Non-Accredited & International -
ineligible to write NDHCE)

Write Clinical Competency Assessment exam. (Non-Accredited & International - ineligible to write NDHCE)	1	day(s)	to	32	day(s)
Receive Clinical Competency Assessment exam results (Non- Accredited & International - ineligible to write NDHCE)	1	day(s)	to	21	day(s)
Receipt of a completed application and registration (Non-Accredited & International - ineligible to write NDHCE)	5	day(s)	to	10	day(s)

[Delete last stage](#)

[Add another stage](#)

Testing procedures

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

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

Go to Section:



SECTION D: Evaluation of Registration Practices, General Duty

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

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

D3. Can the health regulatory college's registration process be streamlined?

Describe your document review procedure.

I reviewed the College's registration process by:

- a) reading flowcharts of various streams of registration
- b) reading published documentation regarding registration, including the Dental Hygiene Act, 1991, Ontario Regulation 218/94, etc.
- c) reading electronically published material regarding registration on the college's web site and on the National Dental Hygiene Certification Board web site (www.ndhcb.ca)
- d) performing testing procedures such as sampling, interviews, document review, other, etc.

Result of the test

After having performed the above procedures, I noted that the College's registration process is streamlined.

Conclusion

The CDHO registration process is streamlined.

Recommendation

No recommendation required.



For the College of Dental Hygienists of Ontario

Go to Section:



[Back to the Table of Questions](#)

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.

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

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

D4. Does the health regulatory college have a clear rationale for all exemptible registration requirements?

☒ Yes ☐ No

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

The determination for which registration requirements are exemptible was made when the Ontario Regulation 218/94 - Registration was drafted, in consultation with the Ministry of Health and Long Term Care.

The rationale for exemptibility to applicants regarding exemptible registration requirements:

a) exemptible requirements are those that allow for alternatives. For example, an applicant must be able to speak and write either English OR French with reasonable fluency.

b) exemptible requirements are those that allow for flexibility. For example, if an applicant completed a program more than three years before the date of application for registration, the applicant must have been practicing dental hygiene in a jurisdiction outside Ontario within the three years before the issuance of the certificate of registration; if the applicant practiced a short time beyond the three years, he or she may make a case before the Registration Committee.

Testing procedures

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

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

Go to Section:



SECTION D: Evaluation of Registration Practices, General Duty

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

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

D4. Does the health regulatory college have a clear rationale for all exemptible registration requirements?

Describe your document review procedure.

I reviewed the Dental Hygiene Act, 1991, Ontario Regulation 218/94 - Registration.

Within the Ontario Regulation 218/94 - Registration, I read which requirements were exemptible and determined if the health regulatory college has a clear rationale for the requirements being exemptible.

Result of the test

There is a rationale for making certain registration requirements exemptible.

Conclusion

The CDHO have clear rationale for all exemptible registration requirements because it provides for fair and equitable treatment of individuals with different and extenuating circumstances.

Recommendation

No recommendation required.



Go to Section:



SECTION D: Evaluation of Registration Practices, General Duty

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

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

D4. Does the health regulatory college have a clear rationale for all exemptible registration requirements?

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe the College's rationale for all exemptible registration requirements.

Result of the test

Ms. Waters indicated that exemptible requirements are those that allow for alternatives. For example, documents that may be satisfied by alternative means.

Conclusion

The CDHO have clear rationale for all exemptible registration requirements because it provides for fair and equitable treatment of individuals with different and extenuating circumstances.

Recommendation

No recommendation required.



For the College of Dental Hygienists of Ontario

Go to Section:



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.

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

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

D5. Does the health regulatory college have a clear rationale for all non-exemptible registration requirements?

☒ Yes ☐ No

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

The determination for which registration requirements are non-exemptible was made when the Ontario Regulation 218/94 - Registration was drafted in consultation with the Ministry of Health and Long-Term Care.

The rationale for non-exemptibility to applicants regarding non-exemptible registration requirements:

- a) non-exemptible requirements are those that do not allow for alternatives
- b) non-exemptible requirements are those that ensure competency and protect the public

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

Go to Section:



SECTION D: Evaluation of Registration Practices, General Duty

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

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

D5. Does the health regulatory college have a clear rationale for all non-exemptible registration requirements?

Describe your document review procedure.

I reviewed the Dental Hygiene Act, 1991, Ontario Regulation 218/94 - Registration.

Within the Ontario Regulation 218/94 - Registration, I read which requirements were non-exemptible and determined if the health regulatory college has a clear rationale for the requirements being non-exemptible.

Result of the test

Instruction

There is a rationale for making certain registration requirements non-exemptible.

Conclusion

Instruction

The CDHO have clear rationale for all non-exemptible registration requirements.

Recommendation

Instruction

No recommendation required.

Add another document review procedure

Go to Section:



SECTION D: Evaluation of Registration Practices, General Duty

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

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

D5. Does the health regulatory college have a clear rationale for all non-exemptible registration requirements?

Interviews of Evelyn Waters, Deputy Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Waters to describe the College's rationale for all non-exemptible registration requirements.

Result of the test



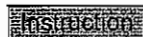
Ms. Waters indicated that non-exemptible requirements are those that are required for the public's best interest (ie. it's in the public interest's that these requirements are met by the applicant). Therefore, there are no alternatives for these requirements.

Conclusion



The CDHO has a clear rationale for all non-exemptible registration requirements.

Recommendation



No recommendation required.

[Add another interview procedure](#)

For the College of Dental Hygienists of Ontario

Go to Section:



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SECTION D: Evaluation of Registration Practices, General Duty

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

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

D6. Type your additional question here.

Does the regulated profession have a process to monitor the length of time necessary to complete the whole application process? Does it make reasonable efforts to ensure this length of time is as short as possible?

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

The College does not have a formal process for monitoring the length of time necessary to complete the whole application process, however, the College makes reasonable efforts to ensure this length of time is as short as possible. Examples include:

- a) the CDHO is pro-active in maintaining correspondence with the applicant to assist them in the registration process
- b) the CDHO is only obliged to hold the assessment once a year. Since most delays in registration are caused by applicants' failure to pass the examinations/assessments, the CDHO has accommodated this situation by holding clinical competency assessments/evaluations at least three times a year.
- c) the CDHO is pro-active in providing applicants with application forms: accredited graduates receive the application forms when they are students; non-accredited graduates receive the application forms when they attend the jurisprudence presentation

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

Go to Section:



SECTION D: Evaluation of Registration Practices, General Duty

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

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

D6. Does the regulated profession have a process to monitor the length of time necessary to complete the whole application process? Does it make reasonable efforts to ensure this length of time is as short as possible?

Interviews of Fran Richardson, Registrar

(e.g., registration committee members)

Describe your interview procedure.

I asked Ms. Richardson to describe what steps the College takes to reduce the length of the application time.

Result of the test **Instruction**

Per our discussion, the College has reduced the length of the application time by increasing the number of clinical competency exams held during the year.

Conclusion **Instruction**

The CDHO makes reasonable efforts to ensure the application length time is reduced.

Recommendation **Instruction**

No recommendation required.

Add another question

Add another interview procedure

For the College of Dental Hygienists of Ontario

Go to Section:

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I

J

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Questions

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.

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

D7. Additional comments on section D, General Duty

No additional comments on section D7.

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SECTION E: Reports

This section should be completed by the auditor.

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

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

E1. Reports under Section 22.6 of the Code

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

☐ Yes ☒ No

Explain your verification method:

Per telephone discussion with Janelle Benjamin, Policy Advisor of the Office of the Fairness Commissioner on Thursday, October 15, 2009 at roughly 4:00pm, the College of Dental Hygienists of Ontario was not required by the OFC to undertake a review of its registration practices.

Per discussion with Evelyn Waters, Deputy Registrar of the CDHO, certain components of the College's registration practices were reviewed: By-law No. 4 was last reviewed in June 2009 and Part VII of Ontario Regulation 218/94 was reviewed in October 2008 and in August 2009.

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

☐ Yes ☒ No ☐ N/A, no review was undertaken

Explain your verification method:

The review of registration practices was not required by the OFC.

Therefore, the review was not undertaken at a time specified by the Fairness Commissioner.

The review of By-law No. 4 and Part VII of Ontario Regulation 218/94 was not required by the OFC.

Therefore, the review was not undertaken at a time specified by the Fairness Commissioner.

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

☒ Yes ☐ No ☐ N/A, no review was undertaken

Explain your verification method:

Reviewed the CDHO's "Proposed Amendments to the Registration Regulations" of October 2008 and August 2009. Current regulation, proposed amendments and rationale for change were documented in an organized fashion.

Go to Section:



SECTION E: Reports

This section should be completed by the auditor.

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

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

E2: Reports under Section 22.7 of the Code

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

☒ Yes ☐ No

Explain your verification method:

Per telephone discussion with Janelle Benjamin, Policy Advisor of the Office of the Fairness Commissioner on Thursday, October 15, 2009 at roughly 4:00pm, the College of Dental Hygienists of Ontario prepared and filed its Fair Registration Practices Report this year.

Go to Section:



SECTION E: Reports

This section should be completed by the auditor.

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

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

E3: Filing of Reports under Section 22.9 of the Code

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

☒ Yes ☐ No ☐ N/A, no reports were required

Explain your verification method:

Per telephone discussion with Janelle Benjamin, Policy Advisor of the Office of the Fairness Commissioner on Thursday, October 15, 2009 at roughly 4:00pm, the College of Dental Hygienists of Ontario submitted its Fair Registration Practices Report by the date the Fairness Commissioner specified. In particular, the deadline was March 1, 2009. Ms. Benjamin confirmed that the College submitted the report on February 27, 2009 at 5:02pm. Our firm confirmed that the College submitted the report on February 27, 2009 per review of the final page of the report.

E4: Form of Reports under Section 22.10 of the Code

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

☒ Yes ☐ No ☐ N/A, no reports were required

Explain your verification method:

I read through the college's Fair Registration Practices Report and determined that all questions asked by the Fairness Commission were answered.

E5: Certification of Reports under Section 22.11 of the Code

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

☒ Yes ☐ No ☐ N/A, no reports were required

Explain your verification method:

Our firm reviewed the last page of the Fair Registration Practices Report prepared by the College. The Deputy Registrar, Evelyn Waters, signed off on the statements certifying that all information required to be provided in the report was provided and is accurate.

Go to Section:



SECTION F: Assessment of Compliance

This section should be completed by the auditor.

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

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

Findings	Number of instances of non-compliance	Number of instances of material error	Number of control deficiencies identified
Information for applicants	0	0	0
Timely decisions, responses and reasons	1	0	0
Internal review or appeal	0	0	0
Information on appeal rights	0	0	0
<u>Documentation of qualifications</u>	0	0	0
<u>Assessment of qualifications</u>	0	0	0
<u>Training</u>	0	0	0
Access to records	0	0	0
<u>General duty:</u> Transparent, objective, impartial and fair registration practices	0	0	0

Go to Section:



SECTION F: Assessment of Compliance

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

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

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

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

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

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

Principal elements	Rating	Justification
Information for applicants	Good	No instances of non-compliance.
Timely decisions, responses and reasons	Good	One instance of non-compliance.
Internal review or appeal	Good	No instances of non-compliance.
Information on appeal rights	Good	No instances of non-compliance.
Documentation of qualifications	Good	No instances of non-compliance.
Assessment of qualifications	Good	No instances of non-compliance.
Training	Good	No instances of non-compliance.
Access to records	Good	No instances of non-compliance.
General duty: Transparent, objective, impartial and fair registration practices	Good	No instances of non-compliance.

Go to Section:



Section G: Health Regulatory College's Certificate

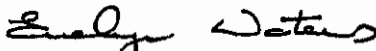
This section should be completed by the regulatory body. The registrar or the CEO of the regulatory body should sign the certificate in the hard copy of the audit report. No signature is required in the digital report.

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

The health regulatory college certifies that it:

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

I am authorized to sign on behalf of the organization.

Name (Last name, First name)	Title
WATERS, EVELYN	DEPUTY REGISTRAR
Signature	Date
	DEC. 23, 2009

Go to Section:



Section H: Auditor's Certificate

This section should be completed by the auditor. The hard copy of the audit report must be signed by the lead practitioner responsible for conducting the audit. The name of the audit firm on the signature line is unacceptable in the hard copy. No signature is required in the digital report.

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

I I.B.MacKenzie _____ certify that:
(name)

- I am a licensed public accountant in good standing with a governing body that meets the standards of the Public Accountants Council for the Province of Ontario;
- I do not have any actual or potential conflict of interest that would prevent me from conducting an audit of registration practices of
- I conducted the audit in accordance with the Regulated Health Professions Act, 1991 and the regulations (if any);
- a draft report on the audit was prepared and a copy of it provided to the health regulatory college, together with a notice that the body had 30 days to make submissions on the draft;
- copies of any written submissions made by the health regulatory college on the draft audit report are being submitted to the OFC together with this form;
- the information contained in this audit report is accurate;
- all information required to be provided in the audit report is included;
- a copy of this audit report has been provided to the health regulatory college;
- no personal information is included in the audit report; and
- I have not retained any personal information I collected directly or indirectly for the purpose of this audit.

Signature



Date

December 23, 2009

Go to Section:



Section I: Log of Communications

This section should be completed by the auditor. Use the table below to document any correspondence between the auditor and the health regulatory college as it pertains to the draft report.

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.

[illegible]

Go to Section:



Section J: Auditor's Opinion

This section should be completed by the auditor.

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

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

To the Fairness Commissioner for the Province of Ontario:

We have audited the College of Dental Hygienists of Ontario's compliance for the year ended April 1, 2009 with the criteria established by Section 22.8 of Schedule 2 - Health Professions Procedural Code ("the Code"), of the Regulated Health Professions Act, 1991, described in Sections 15 to 22, 22.2 to 22.4, 22.6, 22.7 and 22.9 to 22.11, inclusive, of the Code. Compliance with the criteria established by the provisions of the statute is the responsibility of the management of the College of Dental Hygienists of Ontario. Our responsibility is to express an opinion on this compliance based on our audit.

We conducted our audit in accordance with Canadian generally accepted auditing standards. Those standards require that we plan and perform and audit to obtain reasonable assurance whether the College of Dental Hygienists of Ontario complied with the criteria established by the provisions of the statute referred to above. Such an audit includes examining, on a test basis, evidence supporting compliance, evaluating the overall compliance with these criteria, and where applicable, assessing the accounting principles used and significant estimates made by management.

In our opinion, for the year ended April 1, 2009, the College of Dental Hygienists of Ontario was in compliance, in all material respects, with the criteria established by Section 22.8 of Schedule 2 - Health Professions Procedural Code ("the Code"), of the Regulated Health Professions Act, 1991, described in Sections 15 to 22, 22.2 to 22.4, 22.6, 22.7 and 22.9 to 22.11, inclusive, of the Code.

Name of Auditor	Title	Designation of Auditor (CA, CGA, CMA)
I.B.MacKenzie	Partner	CA
Name of Audit Firm	<i>Hilborn Ellis Grant LLP</i>	
Hilborn Ellis Grant, LLP		
City	Province	Date
Toronto	Ontario	December 23, 2009

Go to Section:



Section K: Health Regulatory College's Response

This section should be completed by the regulatory body.

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

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

C1c. We recommend that a link to the Dental Hygiene Act, 1991 (Part VII, Registration) be included under the Registration tab in the web site.

The CDHO agrees with this recommendation and has already implemented it.

C2a., C2b., C2c., We recommend that once every six months, files are reviewed at random to ensure timelines are met by the College. Monitoring compliance with timelines will assist the College in ensuring that registration decisions are made within a reasonable time.

The CDHO agrees with this recommendation and plans to implement it beginning in January 2010. Every six months, the Registrar, Deputy Registrar, or delegate will randomly pull 10 files relating to applicants who were registered within those six months. These files will be reviewed to determine if the published timelines were met. A record will be maintained of the files pulled indicating what the published timelines are, the actual timelines for the particular application, whether it met the timelines and if not, why not.

C5a. We recommend that a link under "forms" include an Application Checklist for non-accredited graduates.

The CDHO agrees with this recommendation and has already implemented it.

APPENDIX A: Testing Procedures

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

Question: _____

Sample of _____

(e.g., international applications)

Population size	Sample size	% of Population

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

Describe the rationale for your sample.

Result of the test 

Conclusion 

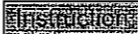
Recommendation 

APPENDIX A: Testing Procedures

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

Question:

Describe your document review procedure.

Result of the test 

Conclusion 

Recommendation 

APPENDIX A: Testing Procedures

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

Question: _____

Interviews of _____

(e.g., registration committee members)

Describe your interview procedure.

Result of the test 

Conclusion 

Recommendation 

APPENDIX A: Testing Procedures

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

Question:

Describe your other testing procedure.

Result of the test 

Conclusion 


Recommendation 

APPENDIX A: Testing Procedures

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

Question:

I did not use any testing procedures because

Conclusion 

Recommendation 



APPENDIX B: Hyperlinked Terms

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