

Systematic Practice Review Phase 3 Framework Document

Alberta Land Surveyors' Association Systematic Practice Review Program

A. *AUTHORITY*

*The following Systematic Practice Review program, based on the Systematic Practice Review Phase 3 Proposal and amendments thereto approved by Council on August 28, 2003, was adopted by the Council of the Alberta Land Surveyors' Association on **August 28, 2003**.*

B. *PROGRAM*

The Systematic Practice Review (SPR) program originally adopted by the Council of the Alberta Land Surveyors' Association on March 24, 1993, (Phase 1), and again adopted by the Council of the Alberta Land Surveyors' Association on August 27, 1998 (Phase 2) shall be continued as follows:

- a) The SPR program shall be administered by the Practice Review Board (PRB) according to policies established by Council from time to time.
- b) The SPR program shall be managed by the Director of Practice Review (DPR), who shall report to the PRB on professional and technical matters and to the ALSA Executive Director on administrative matters.
- c) Phase 3 of the SPR program shall be for a term of five (5) years to initiate all Phase 3 reviews, towards the end of which an evaluation of the program shall be conducted.
- d) Each practice employing one or more active Alberta Land Surveyors shall be reviewed on a cost-effective basis during the Phase 3 practice review process. Non-Practicing members and individual Alberta Land Surveyors employed by government agencies or educational institutions may be granted a review exemption by the PRB. It is anticipated that exemption would only be granted upon satisfactory proof that these individuals have not authored any products (since the Phase 2 review process) pursuant to applicable legislation and/or standards of practice which fall under an Alberta Land Surveyors exclusive area of practice.

1. SPR Review Process

- 1.1 Prior reports for each practice shall be utilized to assess whether a practitioner has adhered to prior undertakings, and whether prior deficiencies identified within the practice have been addressed, where applicable.

- 1.2 Practice reviews will utilize formal checklists, including but not limited to: external checklists (such as product, field note and field survey checklists); and internal checklists (inventory forms).
- 1.3 An appointment confirmation letter and list of items that will be discussed shall be provided to the practitioner prior to the office visitation. The DPR may request a listing of recent products prior to the office visit.
- 1.4 Practice reviews will utilize representative file and plan selection and examination. It is anticipated that any file selected for examination will receive a field inspection.
- 1.5 Practice reviews will utilize formal office visits and field visits to gather data.
- 1.6 Statistical data from practice reviews will be collected and reported in a format similar to the product and practice ratings developed in Phase 2.

2. SPR Reporting Process

- 2.1 The DPR shall have the discretion in reporting to the PRB to emphasize common deficiencies found in a practice without requiring each occurrence of said deficiency to be individually addressed by the practitioner, and to emphasize the most significant deficiencies found in a practice, but not to ignore any deficiencies.
- 2.2 The DPR shall continue the reporting process used in Phase 2, and to emphasize the educational aspects of the process, without compromising the integrity of the data being reported to the PRB.
- 2.3 During Phase 3 of the SPR program, the DPR shall use the formal weighting system, for each component of the SPR checklists, that was developed for Phase 2.
- 2.4 The SPR report shall be reviewed by the practitioner prior to being submitted to the PRB.
- 2.5 Each SPR report shall be submitted to the PRB together with the practitioner's response.
- 2.6 The PRB may request a practitioner to attend a formal hearing with respect to any review, where such attendance in the opinion of the PRB might benefit the practitioner.
- 2.7 The PRB may direct a practitioner to bear any costs associated with remedial action or any other actions which may result from the findings, conclusions and recommendations in a report adopted by the Board under the SPR program.
- 2.8 The DPR shall report to the PRB on each review in a manner that protects the identity of the practitioner, unless the practitioner either attends the meeting where their review is considered, or requests that their identity be revealed to the PRB.

3. Practitioner's Response

- 3.1 Practitioners shall continue in Phase 3 of the SPR program to have the same rights and responsibilities in responding to SPR reports as were specified for Phases 1 and 2 [i.e. if the practitioner disagrees with any findings or recommendations contained in the report, in addition to providing a written response, he/she has the right to make supplementary submissions or appear before the PRB when it deals with the report].
- 3.2 Practitioners shall respond in writing within six weeks of receiving an SPR report. The response period may be increased at the discretion of the PRB.
- 3.3 Where applicable, practitioners shall explain why the findings of the SPR review identify non-compliance with Acts, Regulations and/or standards of practice and, where such actions are not defensible, shall indicate what corrective measures they shall take to remedy such shortfalls.

4. Program Obligations

- 4.1 The PRB shall encourage SPR staff to attempt to identify root causes of deficiencies revealed during SPR reviews. The PRB shall also support SPR staff in the development and implementation of educational measures that may address any of the deficiencies discovered. Informal advice but of an educational nature provided to practitioners upon their request should also be provided by SPR staff. Although the results may not be measurable, the PRB considers this process to be of significant educational value.
- 4.2 The PRB shall report to Council on industry-wide trends with respect to non-compliance with Acts, Regulations and/or standards of practice. The PRB shall also make recommendations to Council suggesting corrective actions with respect to the above. Excerpts of all PRB minutes confined to files closed and any discussions not related to matters that could be appealed to council shall be provided to council, and such reports shall fulfill the Board's obligation under Section 13(7) of the *Land Surveyors Act* for Systematic Practice Reviews.
- 4.3 The PRB shall present a recommendation to the Chairman of the Professional Development Committee regarding general SPR findings and potential seminar topics.
- 4.4 The PRB shall report annually to the membership on trends in practice performance as identified by the statistical data collected during the Phase 3 practice review process.