



2018 ANNUAL REPORT



College of
Opticians
of Ontario



OUR VISION

We ensure the highest standard of vision care for all Ontarians.

OUR MISSION

We protect the public by regulating Ontario opticians to ensure they maintain a high standard of practice and professionalism.

OUR VALUES

TRANSPARENCY

Access to information that is not confidential.

ACCOUNTABILITY

Accepting responsibility for decisions and actions.

INTEGRITY

Acting with conscience, putting aside self-interests and making clear decisions that are aligned with our mandate.

EFFICIENCY

Performing properly without wasting resources.

TABLE OF CONTENTS

About the College	5
Council Members	6
Highlights of 2018	8
President's Message	9
Registration Fee	10
Executive Committee	12
Inquiries, Complaints and Reports Committee	14
Patient Relations Committee	17
Quality Assurance Committee	18
Registrations Committee	22
Discipline Committee	26
Governance Committee	27
Auditors Reports	28

ABOUT THE COLLEGE

The College of Opticians of Ontario (COO) regulates the profession of Opticianry in Ontario. The COO is dedicated to supporting Opticians in their delivery of high quality, safe and ethical care to the public of Ontario. One of the ways the COO ensures high standards of care is by establishing standards and guidelines for opticians. It monitors and maintains standards of practice through peer assessment and remediation, investigates complaints against opticians on behalf of the public, and disciplines opticians who may have committed an act of professional misconduct or may be incompetent.

ABOUT OPTICIANS

Scope of Practice

The Opticianry Act, 1991 is a distinct statute that deals specifically with issues pertaining to the regulation of Opticians. The practice of opticianry is the provision, fitting and adjustment of subnormal vision devices, contact lenses or eyeglasses. Members are not permitted to dispense subnormal vision devices, contact lenses or eye glasses except upon the prescription of an Optometrist or a Physician.

PROFESSIONAL MEMBERSHIP

In 2018 we issued 355 Certificates of Registration, a 12.7% increase from the previous year.

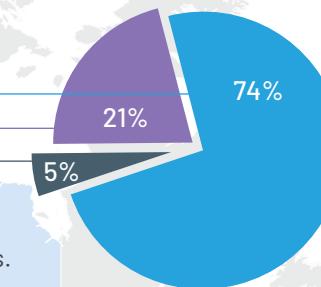


Total Registration



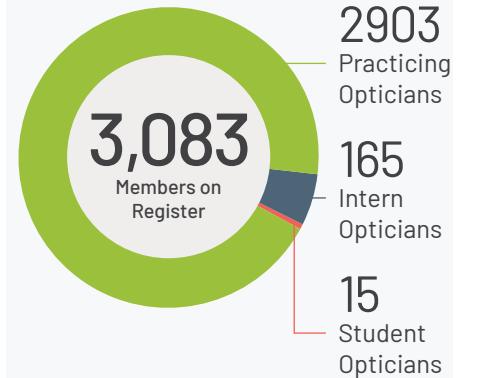
Total registration by source of diploma

264// Ontario
73// Canada - other Provinces
18// International



The majority of applications received were from graduates of accredited Ontario colleges.

REGISTRANTS

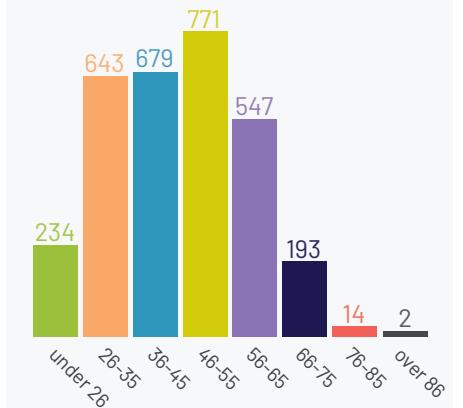


1756
Female



1327
Male

REGISTRANTS AGE



**COLLEGE OF OPTICIANS OF ONTARIO
COUNCIL MEMBERS 2018**



David Milne
President
Public Member



Bryan Todd
RO Vice President
Elected Member



Jacalyn Cop-Rasmussen
Public Member



Balbir Dhillon
RO
Elected Member



Peggy Dreyer
RO
Elected Member



Omar Farouk
Public Member



Ingrid Koenig
RO
Elected Member



Dorina Reiz
RO
Elected Member



Trudy Mauth
Public Member



Neda Mohammadzadeh
RO
Elected Member



Joseph Richards
Public Member



Robert Vezina
RO
Elected Member



Ed Viveiros
RO
Elected Member



Gordon White
Public Member

Administration

Fazal Khan
Registrar, CEO

Melanie Woodbeck
Deputy Registrar

Appointed Members



John Battaglia
RO



Daniela Celi
RO



Margaret Osborne
RO



Robert Quinn
RO



Behzad Safati
RO



Dennis Tse
RO



Derick Summers
RO



2018 HIGHLIGHTS

- Council approved new chapters of the Jurisprudence Module. Expanding this module increases the usefulness of the handbook for registrants as it now covers communications and sexual abuse prevention.
- The College developed a registrant facing, self-service registration portal which includes an optician profile and online renewal. These were successfully launched and utilized in 2018.
- The College held its first online election in 2018.
- The public register was updated to reflect new information required by legislative changes.
- The Governance Committee continued working on the implementation of the Policy Governance approach and overhaul of the Governance Manual.
- The College actively participated in the Citizen's Advisory Group (CAG), attending partners meetings and submitting agenda items to the CAG members meetings.
- Council struck an ad-hoc committee to update the Standards of Practice
- All Chairs, Vice Chair and Committee Managers engaged in continuing education by attending a governance training session and a meeting facilitation skills session.

COUNCIL OF THE COLLEGE OF OPTICIANS OF ONTARIO 2018

President's Message

I would like to take the opportunity to let the public and registered opticians know how much I have enjoyed my experience as President of the College, having occupied the role of president six times since 2010.

2018 was a great year for innovation for the College. This year, the College held its first online election process for opticians to contribute to public protection by serving on Council. Opticians are now able to vote electronically at any time during the voting window. The new process yields fast, accurate results at a reduced cost.

The College also introduced a self-service registration portal for opticians to access their registrant profile and to renew their registration online. These two features were successfully launched in 2018, and have made the renewal process simpler to navigate and more efficient.

I am happy to report that the College has updated the type of information posted on the public register in compliance with legislative changes. These changes will allow members of the public to make informed decisions about their health care. The Governance Committee continued the implementation of the "policy governance" approach and modernization of the College's Governance Manual. In addition, governance training and facilitation training was held for all Committee chairs, vice chairs, and committee managers.

The College struck an ad-hoc committee to update the Standards of Practice to ensure they continue to reflect patient needs and opticianry practice environments. This process is now well underway.

September of 2018 marked the retirement of Ms. Bev Sloan as Deputy Registrar. Ms. Sloan was the Deputy Registrar for 18 years, and we wish her well. We welcomed Ms. Melanie Woodbeck, formerly Manager of Professional Programs, to succeed Ms. Sloan in the role of Deputy Registrar.

As always, the College welcomes inquiries from opticians and the public regarding issues relating to the regulation of opticianry.

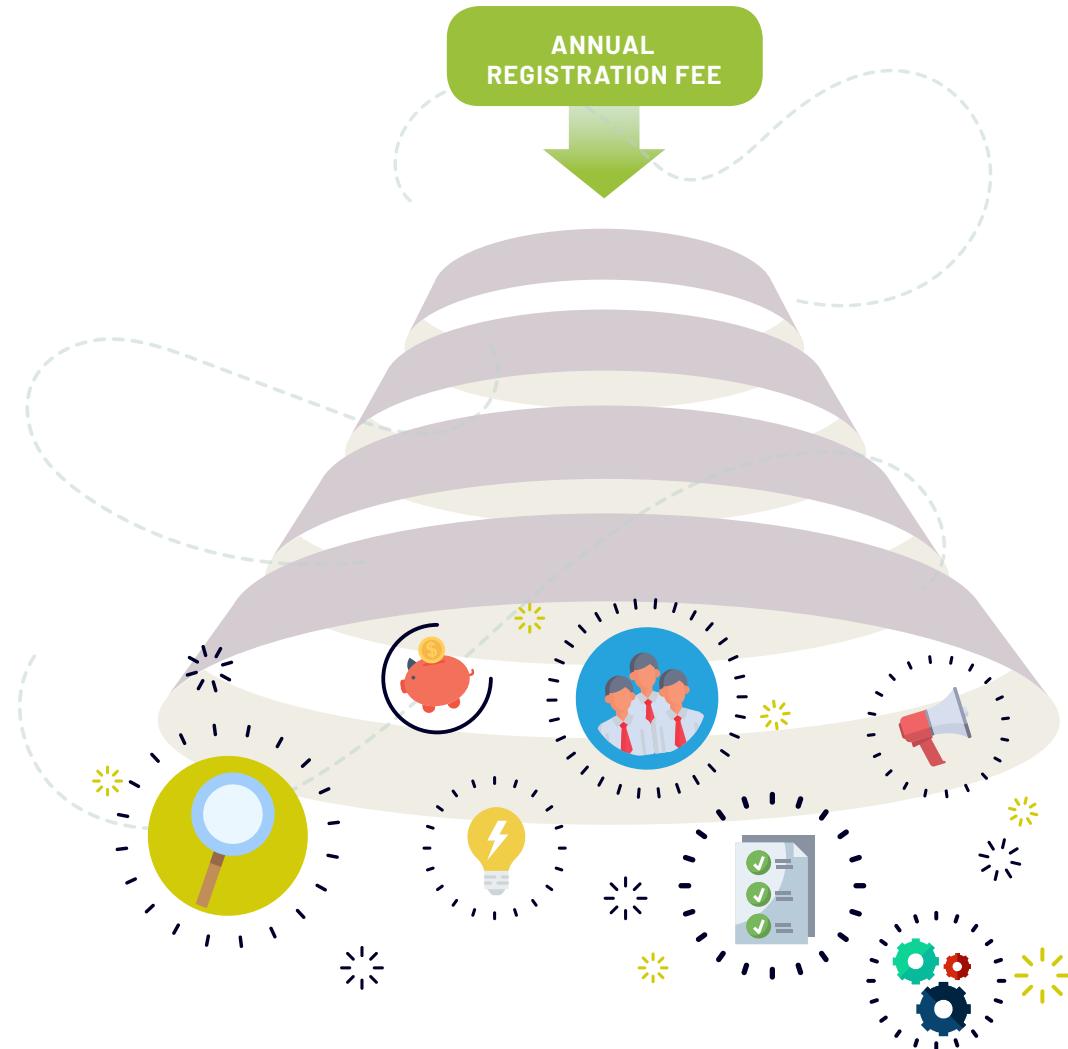
It has been a privilege to act as President of the College of Opticians of Ontario.

David T.J. Milne, Public Member
President



HOW WAS THE REGISTRATION FEE OF \$921 PER REGISTRANT SPENT?

We consistently work to ensure that the College's resources are used efficiently and effectively to administer programs and initiatives that protect the public. Here's a breakdown of how your annual registration fee of \$921 helped the College in furthering its mandate of public protection in 2018.



\$66.75

Projects and Initiatives



- IT and Database improvements
- Strategic initiatives projects that further the College's mandate, including revision of the College's governance policy manual

\$138.33

College Programs



- Registering and renewing opticians
- Assessing international and unaccredited applicants through the Prior Learning and Recognition (PLAR) program
- Ensuring the continuing competence of opticians through the Quality Assurance Program
- Administering the National Examinations for opticianry graduates

\$149.57

Investigations and Legal



- Investigating complaints made against opticians
- Investigating and pursuing unauthorized practice matters
- Conducting discipline hearings
- General legal support

\$30.35

Communications and Public Awareness



- Initiatives that increase the public's awareness of the College's mandate, including our support of the work of the citizen's advisory group (CAG), which provides regulatory health profession Colleges with critical public feedback on our policies and processes
- Initiatives that improve communications with Registered Opticians and new applicants, such as www.becomeanoptician.com
- Ongoing communication with the public and opticians and other stakeholders through social media engagement and stakeholder consultation initiatives

\$91.52

Reserve Replenishment



- Planning for the unexpected to ensure continuity of operations and programs and no sudden fee increases

\$60.82

Council and Committees



- Council and Committees working towards the College's mandate

\$383.66

Administration and Operations



- Services that support the administration and operation of the College, including IT, finance, rent, leases, staffing and office services

EXECUTIVE COMMITTEE

2018 Committee Members

David Milne
Chair, Public Member

Bryan Todd
Vice Chair, RO, Elected Member

Peggy Dreyer
RO, Elected Member

Trudy Mauth
Public Member

Ingrid Koenig
RO, Elected Member

The Executive Committee meets between Council meetings to discuss any urgent matters that arise. The Executive also functions as the Finance Committee and is responsible for reviewing and approving all financial matters. The Executive Committee reports on its actions to Council, including an annual report. The Executive Committee is also responsible for determining the Council agenda and conducting an annual performance review of the Registrar.

The Committee had three in-person meetings and three teleconference meetings in 2018.

By-law Changes Recommended

The Committee considered Council election voter eligibility under the existing by-laws. The Committee recommended an amendment to this section of the by-law to improve its clarity. This recommendation was presented to Council and approved at the October 1, 2018 meeting.

The Committee also considered changes to by-law articles 15.6, 15.7 and 15.8 in light of changes made to the Regulated Health Professions Act (RHPA) in May 2018. These by-laws relate to the College's public register and set out the type of information about opticians that is

published on the public register, the type of information that opticians are required to provide to the College upon request, and the type of information opticians must inform the College about should there be a change.

The Executive Committee recommended a number of by-law amendments on this subject to Council, which the Council considered and approved for public circulation at the December 3, 2018 Council meeting.

Recommendations on Committee Composition

The Executive Committee considered the current complement of appointed non-Council committee members and recommended to Council that it expand the current roster of appointed members. The Committee also asked that Council approve a new special category of appointed members who sit solely on the Discipline Committee. The recommendation was approved by Council at the October 1, 2018 meeting.

The Executive Committee conducted appointed member interviews for two available appointed member positions, and two discipline-only appointed member positions for 2019. The Executive Committee's recommendations were



presented to Council for approval.

The Executive Committee also proposed a Standards of Practice Ad Hoc Committee to update the Standards of Practice for Registered Opticians in Ontario and made a recommendation to the Council on the committee's composition.

Policy Amendments

The Executive Committee approved amendments to the Quality Assurance Committee (QAC)'s Accreditation Policy for Continuing Education (CE) Providers Policy. This policy outlines for CE providers the process and criteria by which the QAC will recognize CE as "accredited" activities. The QAC accredits CE solely for the purpose of ensuring that high quality CE is available in order to facilitate optician engagement in the Quality Assurance Program.

While policy amendments would be submitted to Council for consideration and approval, the Executive Committee took action regarding a policy that the QAC identified as urgent. The amended policy changes include guidelines on professional and anti-discriminatory expectations, which includes CE materials as well as the content delivered by the speaker. Changes were also made with respect to accreditation monitoring and a formalized process for addressing serious concerns with CE providers was added to the policy. Under the Health Professions Procedural Code under the RHPA, the Executive Committee has the authority, in between Council meetings, to approve policies that require an immediate decision. When the Executive Committee acts on this authority, it is required to report this information to Council.

The Executive Committee also considered the Council and Committee honoraria policy and recommended a number of changes to the existing policy, including an increase to honoraria rates, which have not been adjusted since 2006. The policy was approved by Council at the October 1, 2018 meeting.

Strategic Planning

The Executive Committee reviewed the process to be used for the upcoming environmental scan and Council strategic planning session to take place in early 2019.

INQUIRIES, COMPLAINTS AND REPORTS COMMITTEE

Panel 1

Omar Farouk
Chair, Public Member

Ingrid Koenig
RO, Elected Member

Ed Viveiros
RO, Elected Member

Gord White
Public Member

Margaret Osborne
RO, Appointed Member

Daniela Celi
RO, Appointed Member

Panel 2

Bryan Todd
RO, Elected Member

John Battaglia
RO, Appointed Member

Neda Mohammadzadeh
RO, Elected Member

Robert Quinn
RO, Appointed Member

Jacalyn Cop-Rasmussen
Public Member

The role of the Inquiries, Complaints and Reports Committee (ICRC) is to review concerns about the conduct and actions of opticians. These concerns come to the ICRC's attention in a number of ways, including complaints, reports from the Registrar, or referrals from the College's Quality Assurance Committee. The ICRC investigates all complaints, and considers all reports that are put before it, and determines whether it is appropriate to refer a matter to the Discipline Committee or Fitness to Practice Committee for a hearing, require some form of remedial or educational activity, or take no action. The ICRC also reviews information received by the College about unregistered individuals who may be practising opticianry or referring to themselves as opticians.

2018 Committee Highlights

In 2018, the ICRC focused on updating its policies and practices to ensure that they were in line with the significant legislative amendments made to the Regulated Health Professions Act in 2017 and 2018. This included updating the ICRC Reference Manual, which provides panels with information about the role and legislative mandate, and risk assessment tool, which is used to assist panels of the ICRC in reviewing and making determinations on cases.

Committee Work



Reasons for Complaints and Reports to ICRC*

Matters Disposed of in 2018

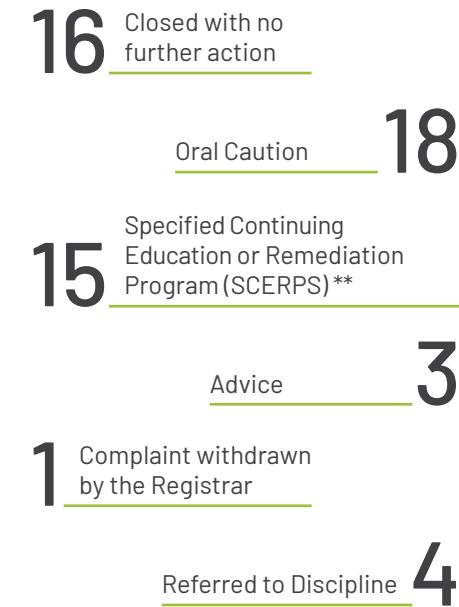


*Note that matters may raise more than one issue.

**a SCERP is a Specified Continuing Education and Remediation Program that a member may be required by a panel of the Inquiries, Complaints and Reports Committee to complete following the investigation of a complaint or consideration of a report. SCERPs are educational in nature and are meant to assist opticians address a particular concern or practice issue that was identified by the panel.

2018 ICRC Dispositions

(note that matters may have more than 1 disposition)



Unauthorized Practice

On occasion, the College receives information about individuals who are not registered with the College but who refer to themselves as Opticians and who behave as though they are entitled to practise as registered opticians. The College takes steps to investigate these matters, and takes appropriate action, including initiating court proceedings. In 2018, the College investigated 5 cases of unauthorized practice. These cases remain ongoing.

The Health Professions Appeal and Review Board (HPARB)

The Health Professions Appeal and Review Board (HPARB) is an agency of the government, independent of the College, that is responsible for reviewing the decisions of the ICRC regarding complaints that are not referred to the Discipline Committee or the Fitness to Practice Committee. In 2018, reviews were requested of 5 ICRC decisions. HPARB confirmed the decision of the ICRC in 4 matters, and returned one matter to the ICRC for further investigation and consideration.



PATIENT RELATIONS COMMITTEE

2018 Committee Members

David Milne
Chair, Public Member

Dennis Tse
RO, Vice Chair, Appointed Member

Dorina Reiz
RO, Elected Member

Daniela Celi
RO, Appointed Member

Joseph Richards
Public Member

Behzad Safati
RO, Appointed Member

The Patient Relations Committee's mandate is to develop a program that includes measures for preventing and dealing with the sexual abuse of patients. To that end, the Committee is tasked with developing policies and guidelines on sexual abuse prevention and administering the College's program to provide funding for therapy and counselling for patients who have alleged that they were sexually abused by a registrant of the College. The Committee also develops programs and engages in activities assigned by the Council to enhance the relationship between opticians and patients.

Sexual Abuse Prevention Guidelines and Funding for Therapy and Counselling Program

The Committee reviewed updates to the College's Sexual Abuse Prevention Guidelines and Funding for Therapy and Counselling Program that took into account legislative changes arising out of Bill 87, the Protecting Patients Act. The updated guidelines and funding application package were approved by Council in May 2018.

Advanced Training for Discipline Committee

The Committee made recommendations to Council for two speakers to provide advanced training the Discipline Committee on addressing allegations of sexual abuse in discipline proceedings. The training was approved by Council for early 2019.

Jurisprudence Handbook Updates

The Jurisprudence Handbook and Assessment Test is designed to help opticians acquire knowledge about the laws, standards, and guidelines that affect opticianry in Ontario, and must be completed by opticians every three years as part of their continuing education requirements. The Patient Relations Committee updated the Jurisprudence Handbook in light of legislative changes arising out of Bill 87.

Bill 87, the Protecting Patients Act, resulted in significant amendments to the Regulated Health Professions Act. The legislation was largely aimed at protecting patients from sexual abuse by health professionals.

Patient Bill of Rights Consultation

In 2018, the Patient Relations Committee engaged the Citizens Advisory Group (CAG) to share its perspectives about what the public expects and needs from opticians.

The role of the CAG is to help bring the patient voice and perspective to healthcare regulation in Ontario. The College of Opticians of Ontario is one of fifteen regulatory health Colleges in partnership to support the mandate of the CAG.

The feedback received from the CAG has informed a draft Patient Bill of Rights document which is intended to educate patients as to what they can expect from opticians when receiving service. The Committee will discuss the feedback received from the CAG and finalize the document in 2019.

QUALITY ASSURANCE COMMITTEE

2018 Committee Members

Peggy Dreyer
RO, Chair, Elected Member

Joseph Richards
Vice Chair, Public Member
(until October 20, 2018)

Dorina Reiz
RO, Elected Member

David Milne
Public Member

Derick Summers
RO, Appointed Member

Dennis Tse
RO, Appointed Member

The Quality Assurance (QA) Committee is responsible for developing and maintaining a QA program to ensure the quality of practice of the profession and to promote continuing evaluation, competence and improvement among opticians. The QA Committee has developed a QA program that requires opticians to engage in self-assessment and professional development each year through the completion of a Professional Portfolio.

On an annual basis, the QA Committee randomly selects a percentage of opticians to participate in the Competency Review and Evaluation (CRE) process. The CRE process is a mechanism for the Committee to monitor an optician's participation and compliance with the QA program, and provides opticians with feedback in order to encourage practice improvements. If selected to participate in the process, an optician must submit their Professional Portfolio to the College. In addition, some opticians are also required to participate in the Multi-Source Feedback (MSF) process. The MSF process requires that an optician's patients and colleagues complete surveys about the optician's performance.

Following the submission of the Professional Portfolio and/or the

completion of the MSF process, the QA Committee may require an optician to complete a more in-depth peer and practice assessment.

2018 Competency Review and Evaluation Process

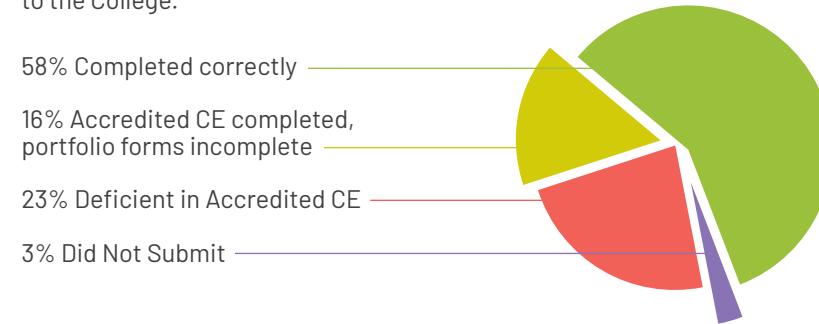
In February 2018, 546 opticians received notice that they had been randomly selected to participate in the Competency Review and Evaluation (CRE) process. Half of these opticians were selected to participate in Stream One and half of these opticians were selected to participate in Stream Two:

- Stream One – 273 opticians were required to submit their 2017 Professional Portfolio to the College by April 5, 2018.
- Stream Two – 273 opticians were required to submit their 2017 Professional Portfolio to the College by April 5, 2018 and participate in the Multi-Source Feedback (MSF) process by April 25, 2018.

In addition, 72 opticians were re-selected to participate in this year's CRE process. These opticians participated in last year's CRE process and were re-selected to participate in this year's CRE process due to a deficiency in their original portfolio submission.

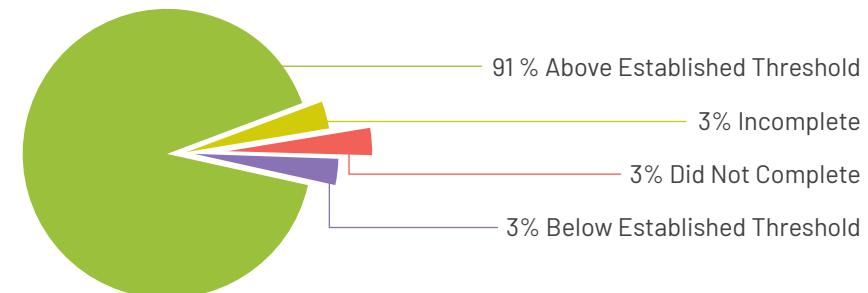
Professional Portfolio Assessment Results

Of the 618 opticians who participated in the 2018 Competency Review and Evaluation process and were required to submit their 2017 Professional Portfolio to the College, 351 opticians successfully completed the portfolio requirements. 94 opticians completed the majority of their portfolio but submitted incomplete portfolio forms and required staff assistance. 141 opticians submitted portfolios which were deficient in accredited continuing education activities. 21 opticians did not submit a portfolio to the College.



Multi-Source Feedback Results

Of the 271 opticians who completed the Multi-Source Feedback (MSF) process, 247 opticians successfully completed the MSF requirements and received a score "above the established threshold". Seven opticians partially completed the MSF requirements. Eight opticians were found to be "below the established threshold". Nine opticians did not complete the MSF process. Opticians who do not meet the required MSF score are required to undergo a peer and practice assessment.



Quality Assurance Program Fees

New Quality Assurance Program Fees came into effect January 1, 2018, and were implemented for the first time during the 2018 Competency Review and Evaluation process.

Quality Assurance Program Review

In 2018, the Committee began reviewing the current QA program. The Committee noted that the current program was developed and implemented in 2014 and that by the end of 2019, a majority of opticians will have been selected to participate in the Competency Review and Evaluation (CRE) process at least once. In 2019, the Committee will seek feedback from opticians who have completed the CRE process and explore how the QA program and CRE process can be enhanced to improve overall optician engagement in the program.

Number of Meetings

In 2018, the QA Committee held three in-person meetings and four teleconferences.

Training

All members of the Quality Assurance Committee underwent orientation training at the first meeting of 2018. In addition, all professional members of the Quality Assurance Committee

underwent accreditation training at the first meeting of 2018.

Continuing Education Accreditation Policy

In 2018, the Committee reviewed its Continuing Education Accreditation Policy to ensure that:

- a. material that is unprofessional and/or discriminatory is not included in accredited activities;
- b. accredited activities are regularly audited to ensure that presenters are professional at all time during presentations; and
- c. where unprofessional and/or discriminatory content is identified, there is a clear mechanism in place to suspend accreditation until the offending content is removed.

A revised Accreditation Policy was approved by the College's Executive Committee on July 16, 2018.

Accredited Continuing Education Invigilation

In September 2018, the QA Committee began sending invigilators to continuing education events to ensure presentation content is consistent with the provider's

original submission and that presenters are professional at all times while presenting accredited activities. In total, three invigilators attended 20 accredited activities in 2018. Any concerns noted were highlighted and communicated to continuing education providers.

Quality Assurance Outreach

In 2018, the QA Committee Chair along with QA department staff, attended five continuing education events to answer questions from opticians about the QA program.

Accreditations

In 2018, the Committee accredited a total of 85 new continuing education activities.

Peer and Practice Assessments

In 2018, the College's Peer Assessors completed a total of 13 peer and practice assessments. The Committee reviewed a total of 22 peer and practice assessment reports.





REGISTRATION COMMITTEE

2018 Committee Members

Robert Vezina
RO, Chair, Elected Member

John Battaglia
RO, Vice Chair, Appointed Member

Bryan Todd
RO, Elected Member

Ed Viveiros
RO, Elected Member

Jacalyn Cop-Rasmussen
Public Member

Omar Farouk
Public Member

Behzad Safati
RO, Appointed Member

Derick Summers
RO, Appointed Member

Registration Appeal Panel

Balbir Dhillon
RO, Elected Member

David Milne
Public Member

Robert Quinn
RO, Appointed Member

The Registration Committee is responsible for reviewing and assessing all applications that do not meet the requirements for registration or that are referred to it by the Registrar. The Committee may require that applicants undergo additional

education, assessment or examination requirements, or it may impose terms, conditions and limitations on a certificate of registration. The Committee also recommends proposals to Council for changes to registration-related regulations, by-laws, policies and the programs that support the registration processes.

Number of Meetings

In 2018, the Registration Committee held three in-person meetings and three teleconferences. The Registration Appeal Panel (RAP) did not meet in 2018.

Training

All members of the Registration Committee underwent orientation training as well as training on avoiding bias and conflicts of interest at the first Registration Committee meeting of 2018. The Committee also underwent additional training on the Prior Learning Assessment and Recognition (PLAR) assessment process. The PLAR process is a route to registration for applicants who receive training from what are considered non-accredited opticianry education programs in Canada and Internationally.

Committee members completed training in the various components of the PLAR assessment to gain an understanding of what an actual PLAR candidate would experience. The optician members of the Committee completed a section of the Competency Gap Analysis (CGA), which is a tool to assess an applicant's

achieved learning outcomes against the National entry to-practice competencies. The Committee also participated in a mock in-person interview which assesses an applicant's practical knowledge.

New Bridging Modules and Integrated Candidate Scorecard for PLAR Process

The Registration Committee reviewed the development of thirteen new bridging modules designed to address any gaps in PLAR candidate knowledge, skill and judgment identified by the PLAR assessment. In light of the new modules, the Committee also reviewed updates to the integrated candidate scorecard, a tool which helps the Committee to determine the bridging modules a PLAR candidate must successfully complete.

The Committee acknowledges the efforts of the College of Opticians of British Columbia in developing the new bridging modules for national use, using a grant received from the Ministry of Jobs, Tourism and Skills Training. In 2019, a member of the British Columbia project team will present to the Committee on the development of the bridging modules prior to the Committee prior to formally adopting the tools.

NAIT Refracting Course Accreditation

The Registration Committee reviewed the National Association of Canadian Optician Regulators (NACOR)'s decision to accredit the Northern Alberta Institute of Technology (NAIT) refracting course.

After reviewing a recommendation from the Registration Committee, at the May Council meeting, the Council agreed that the NAIT refracting course meets the current refracting competencies.

Completing the NAIT refracting course does not entitle an optician to refract in Ontario.

Life Member By-Law Consultation Results

At its meeting in October 2017, Council approved draft life member by-law amendments and a draft life member policy to be circulated for stakeholder feedback. The draft by-law amendments and policy were circulated via email to members and links to the proposed amendments, policy, background information and survey questions were posted to the College's website. Stakeholders were invited to answer survey questions and provide comments. The Registration Committee considered all the stakeholder feedback received.

The Committee noted from reviewing the feedback that there appeared to be some confusion from survey respondents on the life member designation. The Committee discussed the purpose of the life member designation and decided to gather more detailed information on the benefits and necessity of the life member designation. An environmental scan will be considered by the Committee in 2019.

Registration Regulation

The College's Registration Regulation sets out requirements for obtaining and maintaining a certificate of registration for all classes of licensure with the College of Opticians of Ontario. The College submitted a draft updated Registration Regulation to the Ministry of Health and Long-Term Care on June 12, 2017.

In November 2018, the College received initial feedback from the Ministry on the draft Registration Regulation. At its meeting in December 2018, the Committee reviewed and responded to the Ministry comments and will be corresponding with the Ministry to determine next steps.

To support one of the changes the College has proposed in the draft regulation, in 2019, the Committee will begin development of a currency policy which will set out the requirements for opticians who wish to return to practice after a prolonged absence.

In-Person Interviews

In 2018, six in-person interview days were conducted for PLAR and reinstatement applicants. One public member of the Registration Committee attended each of these interview days as an observer.

2018 STATISTICAL REPORT

PLAR Applicants

Received in 2018



38 // Internationally educated applicants

10 // Internationally educated applicants

1 // Applicants from non-accredited Canadian programs

12 // Applicants from non-accredited Canadian programs

0 // No formal education

0 // Applicants that completed international training & non-accredited Canadian education

0 // No formal education

What is PLAR?

The PLAR process is a route to registration for applicants who receive training from what are considered non-accredited opticianry education programs in Canada and Internationally.

10 Applications Completed in 2018



12 Active Applications in Process

5 Awaiting further information from applicant

0 Initial Registration Committee review pending

4 Applicants currently scheduled for the CGA/eligible to write CGA

3 CGA completed, interview pending

0 Final Registration Committee review pending

Other Applications for Registration

9 New Applications for Reinstatement (3+ yrs.) Received in 2018

3 Applications Completed in 2018 (Final Decision Letter Issued)

Two applications approved to reinstate, with/without continuing education

One competency assessments required, then approved to reinstate with/without continuing education

6 Active Applications in Process

Three Initial Registration Committee review pending

Three applications considered by Registration Committee, competency assessment required

Internal Registration Appeals 0

HPARB Appeals 0

Upgrading Programs Considered by Committee in 2018 5

Previously Approved Upgrading Programs Completed in 2018 1

Requests for Extension of Registration Committee Decision Considered in 2018 4

DISCIPLINE COMMITTEE MEMBERS

Elected Members

Balbir Dhillon, RO
Peggy Dreyer, RO
Ingrid Koenig, RO
Neda Mohammadzadeh, RO
Dorina Reiz, RO
Bryan Todd, RO
Rob Vezina, RO
Ed Viveiros, RO

Public Members

Trudy Mauth, Chair
Jacalyn Cop-Rasmussen
Omar Farouk
David Milne
Gord White

Appointed Non-Council Members

Derick Summers, RO, Vice Chair
John Battaglia, RO
Daniela Celi, RO
Margaret Osborne, RO
Robert Quinn, RO
Behzad Safati, RO
Dennis Tse, RO

The Discipline Committee holds hearings into specified allegations of professional misconduct or incompetence that are referred by the Inquiries, Complaints and Reports Committee. The Committee can order a range of penalties, including fines, a reprimand, suspension or revocation of a member's certificate.

Committee Highlights

The Chair and Vice-Chair of the Discipline Committee attended a refresher training course. In addition, six Discipline Committee members attended a basic and advanced training workshops.

Hearings

The Discipline Committee has held five discipline hearings in 2018. One matter was contested and held over the course of four days. Four matters proceeded on an uncontested basis.

Copies of the following 2018 Discipline Committee decisions in which findings of professional misconduct were made are available on the College's website:

- College of Opticians v. Teclé
- College of Opticians v. Garnhum
- College of Opticians v. Atyeo
- College of Opticians v. Wallner

The following matters were referred to discipline in 2018, with hearings to be held in 2019:

- College of Opticians v. Chow
- College of Opticians v. Mohammed

GOVERNANCE COMMITTEE REPORT

2018 Committee Members

Gordon White
Chair, Public Member

Ingrid Koenig
Vice Chair, RO, Elected Member

Neda Mohammadzadeh
RO, Elected Member

Omar Farouk
Public Member

Margaret Osborne
RO, Appointed Member

Peggy Dryer
RO, Appointed Member

The Governance Committee assists the Council in governing the College effectively. The Committee ensures that Council fulfills its legal, ethical and functional responsibilities through adequate policy development, Council development strategies, training programs, the monitoring of Council activities and evaluation of Council and Committee performance.

Governance Policies

Over the course of the year, the Committee continued to revise the governance process and manual as part of the strategic plan. Governance policies that are approved affect all areas of the organization from Council decision making, finance and operations, and human resources. There were fourteen policy additions to the manual which were approved by Council in 2018, including the following:

1. Human Resources and Operational Boundaries Policy
2. Reserve Fund Policy
3. Council Effectiveness / Self-Evaluation Process Policy
4. Council Terms of Reference Policy
5. Asset Protection Policy
6. The Vendor Relations and Procurement Management Policy
7. Investment Policy
8. Registrar, CEO Job Products Policy
9. Council Staff Relations Policy
10. The Registrar, CEO Position Description
11. Intellectual Property Policy
12. Emergency Registrar, CEO Succession Policy
13. The Statutory and Council Committee Principles Policy
14. Council Strategic Agenda and Work Plan Policy

The Committee proposed amendments to the College by-laws to Council to ensure consistency with the new governance policies and other College by-laws.

In addition, the Committee reviewed the results of the Council's annual self-evaluation surveys, which will be submitted to Council for discussion in 2019, along with any recommendations from the Governance Committee.

INDEPENDENT AUDITOR'S REPORT

To the Council of College of Opticians of Ontario

We have audited the accompanying financial statements of the College of Opticians of Ontario which comprise the statement of financial position as at December 31, 2018 and the statements of operations, changes in net assets and cash flows for the year then ended, and a summary of significant accounting policies and other explanatory information.

Executive Committee's Responsibility for the Financial Statements

Executive Committee is responsible for the preparation and fair presentation of these financial statements in accordance with Canadian accounting standards for not for profit organizations, and for such internal control as council determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with Canadian generally accepted auditing standards. Those standards require that we comply with ethical requirements and plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the

circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements present fairly, in all material respects, the financial position of College of Opticians of Ontario as at December 31, 2018, and the results of its operations and its cash flows for the year then ended in accordance with Canadian accounting standards for Not-for-Profit Organizations.

Sevitt & Associates

Toronto, Ontario
May 13, 2019

Chartered Accountants
Licensed Public Accountants

STATEMENT OF FINANCIAL POSITION

As at December 31, 2018

ASSETS	2018 IN \$	2017 IN \$
CURRENT		
Cash	2,939,505	1,375,290
Short-term investments (Note 3)	3,561,847	4,102,902
Interest receivable	9,334	15,148
Prepays	25,282	28,613
	<u>6,535,968</u>	<u>5,521,953</u>
CAPITAL ASSETS (NOTE 4)	354,715	413,474
	6,890,683	5,935,427
LIABILITIES		
CURRENT		
Payables and accrued liabilities	327,259	134,070
Harmonized sales tax payable	279,687	203,248
Deferred registration fees	2,489,024	2,104,289
	<u>3,095,970</u>	<u>2,441,607</u>
NET ASSETS (Note 2)		
Restricted		
Reserve for Funding of Therapy or Counselling	96,360	96,360
Unrestricted		
Invested in capital assets	354,715	413,474
Operating contingency	1,300,000	1,100,000
Unauthorized Practice contingency	500,000	700,000
Premises contingency	650,000	650,000
Strategic initiatives contingency	200,000	-
General reserve	693,638	533,986
	<u>3,794,713</u>	<u>3,493,820</u>
	6,890,683	5,935,427

STATEMENT OF OPERATIONS

For the Year Ended December 31, 2018

REVENUE	2018 IN \$	2017 IN \$
Opticians registration fees	2,724,425	2,565,980
Intern and student registration fees	44,145	48,389
Examination fees	143,850	160,650
Miscellaneous income	60,824	43,975
Interest income	54,818	39,079
	<u>3,028,062</u>	<u>2,858,073</u>
EXPENDITURES		
Amortization	92,451	52,298
Audit	13,250	12,924
Committee expenses	3,345	8,467
Communications	36,339	29,817
Computer maintenance, website and database hosting	66,141	75,739
Consulting	63,582	70,656
Council and committee - See schedule	199,971	120,664
Database development	130,524	289,831
Education and development	6,136	2,277
Equipment rental and maintenance	9,396	17,428
External personnel	77,453	71,151
External relations	32,157	28,870
Extraneous discipline expenditures	10,664	510
General office	260,170	206,580
Insurance	8,967	5,730
Investigator	15,247	13,044
Legal	248,952	165,530
Premises rent	224,401	195,700

Printing and postage	33,562	32,864
Quality assurance portfolio	57,434	58,973
Salaries and benefits	1,094,678	960,663
Seat fees and advertising	32,528	20,220
Telephone and fax	9,821	18,910
	<u>2,727,169</u>	<u>2,458,846</u>
EXCESS OF REVENUE OVER EXPENDITURES	300,893	399,227

STATEMENT OF CHANGES IN NET ASSETS

For the Year Ended December 31, 2018

	INTERNALLY RESTRICTED FUNDS (\$)	INVESTED IN CAPITAL ASSETS (\$)	UNRESTRICTED FUNDS (\$)	2018 TOTAL (\$)	2017 TOTAL (\$)
Beginning of year	96,360	413,474	2,983,986	3,493,820	3,094,593
Excess of revenue over expenditures	-	(92,451)	393,344	300,893	399,227
Investments in capital assets	-	33,692	(33,692)	-	-
End of year	96,360	354,715	3,343,638	3,794,713	3,493,820

STATEMENT OF CASH FLOWS

For the Year Ended December 31, 2018

NET INFLOW (OUTFLOW) OF CASH RELATED TO THE FOLLOWING ACTIVITIES	2018 IN \$	2017 IN \$
OPERATING		
Excess of revenue over expenditures	300,893	399,227
ITEM NOT AFFECTING CASH		
Amortization of capital assets	92,451	52,298
	<u>393,344</u>	<u>451,525</u>
CHANGES IN NON-CASH WORKING CAPITAL		
Interest receivable	5,814	17,148
Prepays	3,331	(12,965)
Payables and accrued liabilities	193,189	18,024
Ontario Bridge funding payable	-	(13,216)
Harmonized sales tax payable	76,439	(40,015)
Deferred registration fees	384,735	(8,361)
	<u>1,056,852</u>	<u>412,140</u>
INVESTING		
Purchase of capital assets	(33,692)	(427,320)
Purchase of short-term investments	541,055	(962,509)
	<u>507,363</u>	<u>(1,389,829)</u>
NET INCREASE (DECREASE) IN CASH	1,564,215	(977,689)
CASH, BEGINNING OF YEAR	1,375,290	2,352,979
CASH, END OF YEAR	2,939,505	1,375,290

NOTES TO FINANCIAL STATEMENTS

December 31, 2018

ORGANIZATION

The College of Opticians of Ontario (the "College") was incorporated without share capital as a not-for-profit organization under the laws of Ontario for the purpose of assuring public protection in the practice of opticianry and is responsible for administering and enforcing the Regulated Health Professions Act and the Opticianry Act. Accordingly, it is not required to pay income taxes.

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

These financial statements have been prepared in accordance with Canadian accounting standards for not-for profit organizations and include the following significant accounting policies:

Revenue Recognition

The College follows the deferral method of accounting for registration fees. The College primarily receives revenue from annual registration fees from its members and is recognized as revenue in the calendar year. Deferred registration fees are represented by amounts received before year end for licensing in the next year. In addition revenue from examination fees are recognized in the year they are earned. Interest income is recorded on an accrual basis as earned.

Financial Instruments

The College initially measures its financial assets and financial liabilities at fair value adjusted by, in the case of a financial instrument that will not be measured subsequently at fair value, the amount of transaction costs directly attributable to the instrument.

The College subsequently measures all its financial assets and financial liabilities at amortized cost. Financial assets measured at amortized cost include cash, interest receivable and short-term investments. Financial liabilities measured at amortized cost include payables and accrued liabilities.

The College has not designated any financial asset or financial liability to be measured at fair value.

Impairment

Financial assets measured at cost are tested for impairment when there are indicators of impairment. The amount of the write-down is recognized in net income. The previously recognized impairment loss may be reversed to the extent of the improvement, directly or by adjusting the allowance account provided it is no greater than the amount that would have been reported at the date of the reversal had the impairment not been recognized previously.

The amount of the reversal is recognized in statement of operations.

Transaction costs

The College's transactions costs related to financial instruments that will be subsequently measured at fair value are recognized in net income in the period incurred. The carrying amount of the financial instruments that will not be subsequently measured at fair value is adjusted for transaction costs directly attributable to the origination, issuance or assumption of these instruments.

Capital Assets

The costs of capital assets are capitalized upon meeting criteria as a long term asset for recognition as a capital asset, otherwise costs are expensed as incurred. The cost of a capital asset comprises its purchase price and any directly attributable cost of preparing the asset for its intended use.

Capital assets are stated at cost less accumulated amortization. Capital assets are amortized over their estimated useful lives at the following rates:

- Furniture and fixtures 20% declining balance
- Computer equipment 30% declining balance
- Leasehold improvements 5 years straight line

Measurement Uncertainty

The preparation of the financial statements is in conformity with Canadian generally accepted accounting principles. This requires management to make estimates and assumptions that effect the reported amount of assets and liabilities and contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses during the reported year. These estimates include the useful life of capital assets and accrued liabilities. Actual results could differ from these estimates.

Impairment of Long Lived Assets

Long-lived assets are tested for impairment whenever events or changes in circumstances indicate that the carry amount of the assets may not be recoverable. An impairment loss is recognized when the carrying amount of the long-lived asset exceeds the sum of the undiscounted future cash flows resulting from its use and eventual disposition. The impairment loss is measured as the amount by which the carrying amount of the long-lived asset exceeds its fair value.

2. NET ASSETS

The financial statements have been prepared in a manner which segregates net assets balances and have been allocated by Executive Council as follows:

RESTRICTED	2018 IN \$	2017 IN \$
Reserve for Funding of Therapy or Counselling	96,360	96,360

As per legislative requirements, funds have been put aside for the funding of sexual abuse therapy. Council has set aside an amount equal to six (6) times the maximum amount which can be granted to a patient seeking therapy for sexual abuse.

UNRESTRICTED	2018 IN \$	2017 IN \$
Invested in capital assets	354,715	413,474
Operating contingency	1,300,000	1,100,000
Unauthorized Practice contingency	500,000	700,000
Premises contingency	650,000	650,000
Strategic initiatives contingency	200,000	-
General reserve	693,638	533,986
	3,698,353	3,397,460

Capital assets: Are reflected on the statement of financial position and include leaseholds, computers, furniture and fixtures that are utilized in the day-to-day operations of the College.

Operating contingency: Represents six (6) months' projected operating expenses.

Unauthorized practice contingency: As part of it's Strategic Plan, the College is committed to prosecuting unauthorized practice. It is important to note that the College is engaged in a large internet based unauthorized practice case with an injunction sought before the courts. The case is at the appeals stage and poses significant legal costs to transact.

The fund has been reduced by \$200,000 to reflect legal expenses already incurred during 2018 that are specifically attributed to an ongoing unauthorized practice matter.

Premises contingency: With the completion of the office move it is recommended that funds be accumulated in a premises contingency fund to address requirements at the end of the current lease ranging from a lease extension with premises refurbishment, moving to a new premise and associated leasehold improvements or the possible purchase of a premise.

Strategic initiatives contingency: Council has set aside this amount to support the College's new Strategic Plan 2020-2022. While funds will be allocated in the budget for activities that support initiatives such as council governance reform, the contingency fund will be directed to any unforeseen directives issued by the government.

General reserve: This fund represents the general reserve and is the remainder of the surplus funds after the other restricted and unrestricted amounts are taken into consideration. These funds can be used for any unexpected or unbudgeted items including the implementation of new legislative changes.

All allocations for above specified contingencies were approved by the Executive Council.

3. INVESTMENTS

The investments are held in an investment account with BMO Nesbitt Burns and comprise of five separate Guaranteed Investment Certificates, each with maturity dates of one year from date of acquisition, which when combined total \$500,000 (2017 - \$1,500,900) plus the remaining balance in a high interest savings account with interest which fluctuates with prime rate. The financial statements include all accrued interest earned to December 31, 2018.

4. CAPITAL ASSETS

	COST (\$)	ACCUMULATED DEPRECIATION (\$)	2018 IN \$	2017 IN \$
Furniture and fixtures	438,582	277,307	161,275	196,411
Computer equipment	234,248	216,337	17,911	13,930
Leasehold improvements	245,189	69,660	175,529	203,133
	918,019	563,304	354,715	413,474

5. BANK INDEBTEDNESS

As at December 31, 2018 the College has an unused unsecured credit facility of a \$100,000 Operating Line of Credit at prime rate plus 1%.

6. FINANCIAL INSTRUMENTS

The College is exposed to various financial risks through transactions in financial instruments.

There is exposure to the following risks:

Credit Risk

Credit risk arises from the possibility that third parties may experience financial difficulty and be unable to fulfill their commitments. The College's maximum exposure to credit risk is represented by the carrying value of short-term investments, bank and receivable.

All of the College's cash and investments are held with reputable Canadian financial institutions from which management believes loss through risk exposure to be minimal.

Liquidity Risk

Liquidity risk is the risk that the College may not be able to fund its obligations as they come due.

The College manages its liquidity risk by monitoring its operational requirements to ensure financial resources are available.

Interest Rate Risk

Interest rate risk is the risk that the future cash flows of financial instruments will fluctuate because of changes in market interest rates. The College is exposed to interest rate risk on its high interest savings account.

7. COMMITMENTS

The College has entered into agreements to lease its premises and office equipment for various periods. The existing premises lease commence on July 1, 2017 for a ten year period.

The annual rent of premises consists of a minimum base rent plus operating expenses, realty taxes and hydro charges for that period. Minimum base rent payable for premises and equipment in aggregate is as follows:

	PREMISES IN \$	EQUIPMENT \$	TOTAL \$
2019	105,710	9,920	115,630
2020	105,710	9,920	115,630
2021	105,710	9,920	115,630
2022	112,918	7,440	120,358
2023	120,125	-	120,125
2024	120,125	-	120,125
2025	120,125	-	120,125
2026	120,125	-	120,125
2027	60,062	-	60,062
	970,610	37,200	1,007,810

8. CONTINGENT LIABILITY

The College is listed as a co-defendant in a Statement of Claim against it in the sum of \$1,500,000.

This is being vigorously defended by the College and in the opinion of Management even should there be any potential liability that might be awarded at the resolution of the claim, there is sufficient insurance coverage to fully cover it.

9. SUBSEQUENT EVENT

Subsequent to year end, resulting from a court decision, the College will be required to pay a total of \$99,015 in legal costs, unless the decision is successfully appealed.

	HONORARIA	EXPENSES	2018 TOTAL \$	2017 TOTAL \$
STATUTORY / BY-LAW COMMITTEES				
Council	39,025	29,405	68,430	40,351
Discipline	15,600	13,245	28,845	21,793
Executive	7,494	6,579	14,073	8,933
Governance	7,481	2,516	9,997	5,897
ICRC / Complaints	16,588	11,839	28,427	16,884
Patient Relations	5,181	1,633	6,814	-
Quality Assurance	16,844	5,231	22,075	12,753
Registration	12,128	7,219	19,347	13,074
AD-HOC COMMITTEES				
Miscellaneous Ad hoc	919	1,044	1,963	979
	121,260	78,711	199,971	120,664





College of
Opticians
of Ontario

90 Adelaide Street West | Suite 300
Toronto | Ontario | M5H 3V9

Tel: (416) 368-3616

Toll-Free (Ont): (800) 990-9793

Fax: (416) 368-2713

Toll-Free (Ont): (800) 990-9698

www.coptont.org