BRIEFING REPORT

REPORT TOPIC: Concept of the Council Annual Strategic Agenda/Work Plan
Policy (GP 4-40) and the Connection to the Council Effectiveness Self-
Evaluation

REPORT TO: COO Council

REPORT FROM: COO Governance Committee

DATE: December 3rd, 2018

REPORT PURPOSE:

- ☒ **Decision-Making - Policy Development/ Enhancement/Regular Review/Approval**
  - ☐ Ends Policy
  - ☐ Operational Boundaries Policy
  - ☐ Council-Staff Relationship Policy
  - ☒ **Governance Process Policy**
- ☒ Council Implementation of Policy
  - ☐ Council-Staff Relationship Policy
  - ☒ **Governance Process Policy**

- ☐ **Monitoring of Registrar, CEO Report**
  - ☐ Ends (critical outcomes) Achievement
  - ☐ Operational Boundaries Compliance
- ☐ **Council Linkage Report**
- ☐ **Incidental Report**
- ☐ ☐ Registrar, CEO
  - ☐ Council President
  - ☐ Other: Briefing Report

BACKGROUND

The policy topic "Council Strategic Agenda/Work Plan" (IV-40) falls under the Governance Process policy quadrant. This policy is designed to provide an agreed upon framework and process for the Council to set its own Strategic Agenda and Work Plan for each year as well as to track its progress against that plan.
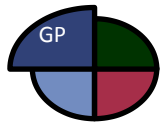
The Council does not have a current policy on this topic. The Governance Committee first discussed this concept and received a draft of this policy in October and November 2017. In early 2018, the Governance Committee decided to use this tool on a trial basis throughout 2018 to determine if Governance Committee found it will be useful for the COO Council. The Governance Committee decided to assess this question in November 2018 after it had seen the 2018 Strategic Agenda and Work Plan in action.

The Council Strategic Agenda is a key Council effectiveness tool that ensures the Council is held accountable for the focus of its own work plan, its progress toward achieving its work plan, and Council's overall results in any one Council cycle. Outlined in Figure 1 below is the proposed governance process policy regarding the Council's Strategic Agenda/Work Plan for the Council's discussion and approval.

In preparation for the December Council meeting, please review Figure 1, the proposed draft policy. Please also see the proposed template for the Council Strategic Agenda/Work Plan in Appendix 1. At the December Council meeting, we will also review again the 2018 COO Council Strategic Agenda/Work Plan example (Appendix 2) to assist Council with developing a full understanding and discussion regarding how the Strategic Agenda/Work Plan can be used effectively by the COO Council.

It is important to remember any action plan coming from the annual Council Effectiveness Self-Evaluation would be embedded in the overall annual Council Strategic Agenda/Work Plan. This plan is prepared to be a guide to Council's work and is intended to be a very flexible tool.

FIGURE 1
PROPOSED NEW POLICY

POLICY TITLE: COUNCIL STRATEGIC AGENDA AND WORK PLAN	POLICY SECTION: GOVERNANCE PROCESS	POLICY NO: 4-40	
APPROVED BY: COUNCIL	REGULAR COUNCIL POLICY REVIEW FREQUENCY: EVERY 3 YEARS	MONITORING OF BOARD COMPLIANCE WITH POLICY CRITERIA FREQUENCY: EVERY 2 YEARS	
DATE APPROVED: • Ready for Governance Committee – Oct/Nov 2017 • Discussed with Governance Committee (April, June, & Nov 2018) • For COO Council review in Dec 2018	PRESIDENT'S SIGNATURE:		
DATE REVIEWED / REVISED:			

To accomplish its mandate and responsibilities with a governance style consistent with Council's governance philosophy, the Council will prepare and follow an Annual Integrated Council Strategic Agenda/Work Plan.

The Council is responsible for leading its own strategic governance goals and agenda as well as the agenda for regular Council meetings. Council will discuss this plan at its January/February regular Council meeting for approval for the year. In September/October Council would again briefly revisit the plan to determine if any course corrections are needed.

The cycle will conclude each year on the last day of December so that administrative planning and budgeting and governance cycle are aligned.

The cycle will start with the Council's development of its agenda for the next year and will include the following elements:
1. Ongoing environmental scanning topics in order to inform Council's strategic policy direction to COO.
2. Re-exploration of Ends (Critical Outcomes) policies as needed and as the environment changes.
3. Continuous improvement of Council performance through Council education and enriched input and deliberation.
4. Council's regular review of all of its governing policies over a specified number of years outlined in a review schedule.
5. Conducting an Annual Registrar, CEO, Performance Appraisal.

6.   Reviewing the External Financial Audit Report.
7.   Discussing Council succession planning.
8.   Attending to consent agenda items as expeditiously as possible throughout the year.

The Annual Council Strategic Agenda/Work Plan will be recorded such that each Council Member can transparently see at a glance the Council work plan for the year. Specific Council meeting agendas will be prepared in the context of the annual Council Strategic Agenda/Work Plan.

Council Committees can submit policy developments or monitoring report items to the agenda by submission to the President or to the President via the Registrar, CEO. The President, with the Executive Committee, will carefully consider these items and schedule them according to priority themes, time availability, and appropriateness with the governance approach. The President will consult with the Registrar, CEO regarding the operational aspects of such items and the time requirements for the preparation of suitable documents and background information for Council.

Council Members can submit potential policy agenda topics to the President or through the Registrar, CEO to the President. The President will apply the same criteria noted above when determining scheduling of the agenda topic.

Appendix 1 – Annual Council Strategic Agenda/Work Plan Template

Appendix 2 – COO 2018 Annual Council Strategic Agenda/Work Plan Template – Completed Example. (This is to assist Council in further understanding how this Council planning and tracking tool works).

COO GOVERNANCE OF STRATEGIC DIRECTION AND RISK STRATEGIC AGENDA/WORK PLAN

ENVIRONMENTAL SCANNING	STRATEGIC AND POLICY DEVELOPMENT, DIRECTION, APPROVAL, REVISION				COUNCIL MONITORING OF THE REGISTRAR, CEO AND OPERATING ORGANIZATION RESULTS		COUNCIL DEVELOPMENT
INCLUDING LINKAGE WITH THE PUBLIC AND MEMBERS	ENDS (Critical Outcomes) POLICIES	OPERATIONAL BOUNDARIES POLICIES	GOVERNANCE PROCESS POLICIES	COUNCIL/STAFF RELATIONSHIP POLICIES	ENDS (Critical Outcomes) ACHIEVEMENT MONITORING	OPERATIONAL BOUNDARIES COMPLIANCE MONITORING	INCLUDING COUNCIL SELF-EVALUATION

PARKING LOT / TOPICS ON THE HORIZON

Policy Direction Topics	Environmental Scanning/Linkage
• • •	• • •

COMPLETED	IN PROGRESS	NOT COMPLETED/TO DO

2018 COO GOVERNANCE OF STRATEGIC DIRECTION AND RISK STRATEGIC AGENDA/WORK PLAN

College of Opticians of Ontario

JANUARY 2018

ENVIRONMENTAL SCANNING	STRATEGIC AND POLICY DEVELOPMENT, DIRECTION, APPROVAL, REVISION				COUNCIL MONITORING OF THE REGISTRAR, CEO AND OPERATING ORGANIZATION RESULTS		COUNCIL DEVELOPMENT
INCLUDING LINKAGE WITH THE PUBLIC AND MEMBERS	ENDS (Critical Outcomes) POLICIES	OPERATIONAL BOUNDARIES POLICIES	GOVERNANCE PROCESS POLICIES	COUNCIL/STAFF RELATIONSHIP POLICIES	ENDS (Critical Outcomes) ACHIEVEMENT MONITORING	OPERATIONAL BOUNDARIES COMPLIANCE MONITORING	INCLUDING COUNCIL SELF-EVALUATION
	STATUS REPORT ON STRATEGIC PLAN 2017-2019		POLICY DEVELOPMENT • STATUTORY AND COUNCIL COMMITTEE (STANDING/AD HOC WORKING GROUPS) PRINCIPLES (4-25) – DEFERRED TO DECE 2018 • EXECUTIVE COMMITTEE TERMS OF REFERENCE AND MANDATE POLICY (4-25.05) –DEFERRED TO 2019 • COUNCIL STRATEGIC AGENDA/WORK PLAN (4-40) – DEFERRED TO DEC 2018 COUNCIL IMPLEMENTATION • COMMITTEE SLATE RECOMMENDATIONS STATUTORY COMMITTEE ANNUAL REPORTS • DISCIPLINE COMMITTEE • REGISTRATION COMMITTEE • FITNESS TO PRACTICE COMMITTEE • INQUIRIES, COMPLAINTS, AND REPORTS COMMITTEE • QUALITY ASSURANCE COMMITTEE • PATIENT RELATIONS COMMITTEE • GOVERNANCE COMMITTEE • EXECUTIVE COMMITTEE STATUTORY COMMITTEE REPORTS • INQUIRIES, COMPLAINTS, AND REPORTS COMMITTEE • PATIENT RELATIONS COMMITTEE	POLICY DEVELOPMENT • REGISTRAR, CEO JOB PRODUCTS (3-05) • REGISTRAR, CEO POSITION DESCRIPTION (3-06) – DEFERRED TO 2019		MONITORING REPORT • DRAFT 2018 BUDGET	POLICY IMPLEMENTATION • 2017 COUNCIL EFFECTIVENESS SELF-EVALUATION REPORT AND ACTION PLAN • COUNCIL STRATEGIC AGENDA/WORK PLAN • 2018 COUNCIL MEETING DATES COUNCIL DEVELOPMENT - COUNCIL ORIENTATION / CONTINUING EDUCATION • THE OVERVIEW ON THE PRINCIPLES OF POLICY DRIVEN GOVERNANCE (AS PER COO'S GOVERNANCE APPROACH/PHILOSOPHY POLICY) • CASE SCENARIOS ON BOARD/COUNCIL DECISION-MAKING AND ON CONFLICT OF INTEREST

COMPLETED	IN PROGRESS	NOT COMPLETED/TO DO

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FOR LEARNING PURPOSES

MAY 2018

ENVIRONMENTAL SCANNING	STRATEGIC AND POLICY DEVELOPMENT, DIRECTION, APPROVAL, REVISION				COUNCIL MONITORING OF THE REGISTRAR, CEO AND OPERATING ORGANIZATION RESULTS		COUNCIL DEVELOPMENT
INCLUDING LINKAGE WITH THE PUBLIC AND MEMBERS	ENDS (Critical Outcomes) POLICIES	OPERATIONAL BOUNDARIES POLICIES	GOVERNANCE PROCESS POLICIES	COUNCIL/STAFF RELATIONSHIP POLICIES	ENDS (Critical Outcomes) ACHIEVEMENT MONITORING	OPERATIONAL BOUNDARIES COMPLIANCE MONITORING	INCLUDING COUNCIL SELF-EVALUATION
	STATUS REPORT ON STRATEGIC PLAN 2017-2019	POLICY APPROVAL • HUMAN RESOURCES AND RELATIONS (2-20) • RESERVES FUND POLICY (2-15)	POLICY DEVELOPMENT • COUNCIL STRATEGIC AGENDA/WORK PLAN – POLICY AND THE 2018 PLAN DEVELOPMENT (2-40) -DEFERRED TO DEC 2018 POLICY APPROVAL • COUNCIL TERMS OF REFERENCE POLICY (4-05) • COUNCIL EFFECTIVENESS SELF-EVALUATION POLICY (4-100) POLICY IMPLEMENTATION GOVERNANCE COMMITTEE TO REPORT BACK TO COUNCIL WITH PROPOSED ACTION PLAN IN RESPONSE TO THE EVALUATION AND UPDATES ON THE EVALUATION TOOL BYLAW AMENDMENTS • PROPOSED ELECTION PROCESS BY-LAW AMENDMENTS APPROVED • PROPOSED CHANGE REQUIRING A PUBLIC MEMBER BE CHAIR OF COUNCIL, ICRC, AND DISCIPLINE [TABLED. TO COME FORWARD AT FALL COUNCIL MEETING] • PROPOSED AMENDED LANGUAGE FOR THE CCLF SEAT APPROVED • PROPOSED AMENDMENT TO CHANGE TIME FOR ELECTING AND APPOINTING MEMBERS TO COO COMMITTEE TO LAST ANNUAL COUNCIL MEETING (DECEMBER) APPROVED STATUTORY COMMITTEE REPORTS • EXECUTIVE COMMITTEE • PATIENT RELATIONS COMMITTEE	COUNCIL ADVISED OF BEV SLOAN, DEPUTY REGISTRAR'S RETIREMENT		DRAFT 2017 AUDITED FINANCIAL STATEMENTS APPROVED ALLOCATION OF 2017 ACCUMULATED SURPLUS AND RESERVE FUNDS APPROVED 2018 YEAR-TO-DATE FINANCIAL REPORT PROVIDED (INFORMATION ONLY)	COUNCIL DEVELOPMENT - COUNCIL ORIENTATION / CONTINUING EDUCATION CONTINUED LEARNING REGARDING STRATEGIC OUTCOMES (ENDS POLICY) DEVELOPMENT – BRIEF UPDATE COUNCIL DEVELOPMENT - REGISTRAR, CEO INCIDENTAL REPORT PROVIDED AN OVERVIEW ON COUNCIL TRAINING AND THE CHANGES THE COLLEGE IS MAKING AS PART OF THE FACILITATION TRAINING

COMPLETED	IN PROGRESS	NOT COMPLETED/TO DO

APPENDIX 2
2018 COO GOVERNANCE OF STRATEGIC DIRECTION AND RISK STRATEGIC AGENDA/WORK PLAN

College of Opticians of Ontario

V1– MARCH 16, 2018
V2 – JUNE 18, 2018
V3 – OCTOBER 18, 2018
V4 – NOVEMBER 14, 2018

OCTOBER 2018

ENVIRONMENTAL SCANNING	STRATEGIC AND POLICY DEVELOPMENT, DIRECTION, APPROVAL, REVISION				COUNCIL MONITORING OF THE REGISTRAR, CEO AND OPERATING ORGANIZATION RESULTS		COUNCIL DEVELOPMENT
INCLUDING LINKAGE WITH THE PUBLIC AND MEMBERS	ENDS (Critical Outcomes) POLICIES	OPERATIONAL BOUNDARIES POLICIES	GOVERNANCE PROCESS POLICIES	COUNCIL/STAFF RELATIONSHIP POLICIES	ENDS (Critical Outcomes) ACHIEVEMENT	OPERATIONAL BOUNDARIES COMPLIANCE	INCLUDING COUNCIL SELF-EVALUATION

PRESENTATION BY THE COLLEGE OF NURSES (ANNE COGLAN, EXECUTIVE DIRECTOR & CEO AND KEVIN MCCARTHY, DIRECTOR OF STRATEGY) REGARDING CHANGES PROPOSED IN VISION 20/20
 	
LINKAGE WITH THE PUBLIC AND MEMBERS
REVIEW ANNUAL REPORT
	POLICY DEVELOPMENT DISCUSS PROCESS FOR ENDS/STRATEGIC OUTCOMES POLICY DIRECTION (deferred to Dec 2018)	POLICY APPROVAL
		• ASSET PROTECTION (2-07)
		• VENDOR RELATIONS (2-08)
		• INVESTMENT POLICY (2-09)
		• INTELLECTUAL PROPERTY (2-70)
			POLICY DEVELOPMENT AND APPROVAL
			• APPOINTED MEMBER POLICY
			
			POLICY IMPLEMENTATION
			DISCUSSION FOR PROPOSED TIMING CHANGES FOR ACTIVITIES ON COUNCIL FALL 2018 AND WINTER 2019 MEETINGS (RESULTING FROM BYLAW CHANGES)
			
			BYLAW AMENDMENTS
			• BYLAW 6 ELECTIONS AND ARTICLE 6.6 PROPOSED WORDING CHANGES – AMENDMENTS APPROVED BY MOTION
			
			STATUTORY COMMITTEE REPORTS
			• EXECUTIVE COMMITTEE
			• PATIENT RELATIONS COMMITTEE
			   ○ JURISPRUDENCE MODULE
			   ○ APPOINTED MEMBER POLICY
				POLICY APPROVAL
				• COUNCIL-STAFF RELATIONSHIP POLICY (3-04)
				• REGISTRAR, CEO JOB PRODUCTS POLICY (3-05)
				• REGISTRAR, CEO POSITION DESCRIPTION POLICY (3-06)
				• REGISTRAR, CEO PERFORMANCE APPRAISAL POLICY (3-07) - DEFERRED TO 2019
						REVIEW YEAR-TO-DATE FINANCIAL STATEMENTS	COUNCIL DEVELOPMENT - COUNCIL ORIENTATION / CONTINUING EDUCATION
							• COUNCIL MONITORING OF THE REGISTRAR, CEO/ORGANIZATION – A TUTORIAL ON WHAT, WHY, HOW, AND WHEN – WITH CASE EXAMPLES – DEFERRED TO DEC 2018
							
							COUNCIL SELF-EVALUATION - POLICY IMPLEMENTATION
							• APPROVAL OF COUNCIL SELF EVALUATION TOOLS
							   ○ FOR ELECTED COUNCIL
							   ○ FOR APPOINTED

College of Opticians of Ontario

DECEMBER 2018

ENVIRONMENTAL SCANNING	STRATEGIC AND POLICY DEVELOPMENT, DIRECTION, APPROVAL, REVISION				COUNCIL MONITORING OF THE REGISTRAR, CEO AND OPERATING ORGANIZATION RESULTS		COUNCIL DEVELOPMENT
INCLUDING LINKAGE WITH THE PUBLIC AND MEMBERS	ENDS (Critical Outcomes) POLICIES	OPERATIONAL BOUNDARIES POLICIES	GOVERNANCE PROCESS POLICIES	COUNCIL/STAFF RELATIONSHIP POLICIES	ENDS (Critical Outcomes) ACHIEVEMENT	OPERATIONAL BOUNDARIES COMPLIANCE	INCLUDING COUNCIL SELF-EVALUATION
	POLICY DEVELOPMENT DISCUSS PROCESS FOR ENDS/STRATEGIC DIRECTIONS OUTCOMES POLICY PROCESS – PREPARE FOR JAN 2019	POLICY APPROVAL • RELATIONSHIPS WITH THE PUBLIC AND COO BENEFICIARIES (2-35) • MEMBER RELATIONS (2-40) • EMERGENCY EXECUTIVE SUCCESSION POLICY (2-80)	POLICY APPROVAL • STATUTORY AND COUNCIL COMMITTEE PRINCIPLES POLICY (4-25) • COUNCIL ANNUAL STRATEGIC AGENDA/WORK PLAN (4-40) • COUNCIL DECISION-MAKING POLICY (4-45)				COUNCIL DEVELOPMENT COUNCIL MONITORING OF THE REGISTRAR, CEO/ORGANIZATION – A TUTORIAL ON WHAT, WHY, HOW, AND WHEN – WITH CASE EXAMPLES COUNCIL SELF-EVALUATION NOTICE TO COUNCIL 2018 EFFECTIVENESS SELF-EVALUATION INCLUDING APPOINTED AND NON-COUNCIL COMMITTEE MEMBERS TOOL

COMPLETED	IN PROGRESS	NOT COMPLETED/TO DO