

ANNUAL REPORT 2017



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.

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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 maybe incompetent.

About Opticians

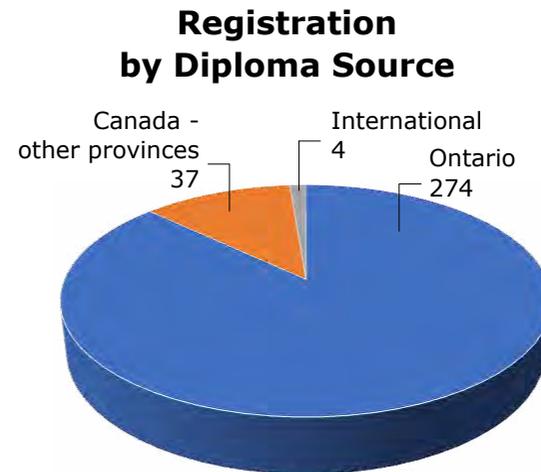
Scope of Practice

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 2017 we issued 315 Certificates of Registration, a 12.5% increase from the previous year.



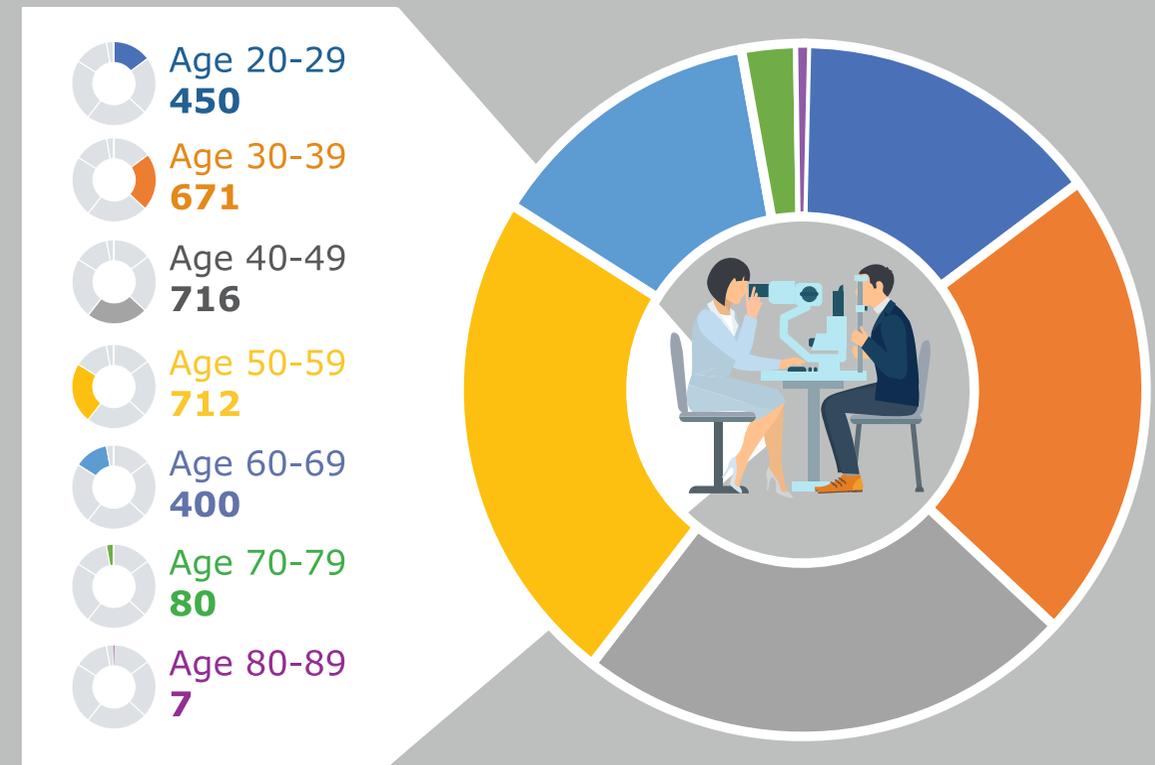
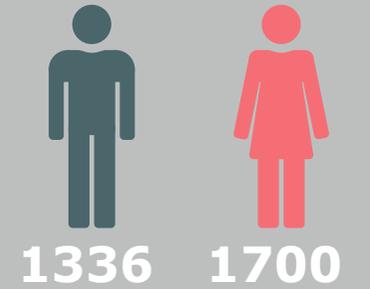
Registrants

3036

2835 Practicing Opticians

188 Intern Opticians

13 Student Opticians*



*note: Student Registration is not mandatory

2017 HIGHLIGHTS

- The COO joined the **Citizen’s Advisory Group**, a strategic initiative which will increase targeted feedback from the public and broaden our engagement with the community we serve.
- In January of 2017, the College **revitalized** the **strategic plan** with a full day planning session. The plan was finalized in May 2017. The original strategic plan began in 2015 and spanned two years. The updated plan commencing in 2017 will end in 2019.
- During 2017, the College **moved** from its former office at 85 Richmond Street to a new location in the same neighbourhood at **90 Adelaide Street West**.
- During 2017, the College invested in a new database system.
- The College developed a new, more robust **public register** to reflect transparency legislation requirements and best practices.
- The COO has renewed our **commitment to transparency**, with all Council materials available on our website in advance of any Council meetings. As always, our meetings are open to the public via webinar and the College welcomes guests to sit in the gallery.
- In 2017 Council approved new **fees** for the **Quality Assurance Program**. The fees are charged to members who do not comply with the QA program requirements as a cost recovery measure when additional staff and committee resources are required due to QA deficiencies.
- As part the **evolution of the COO’s governance approach**, the COO began an overhaul of the existing governance manual.
- In a continued effort to go paperless, annual renewals were entirely online in 2017.

COLLEGE OF OPTICIANS OF ONTARIO COUNCIL MEMBERS 2017



David Milne
President
Public Member



Ingrid Koenig, RO
Vice President
Elected Member



Balbir Dhillon, RO
Elected Member



Peggy Dreyer, RO
Elected Member



Omar Farouk
Public Member



Jeff Fernandes, RO
Elected Member



Eve Hoch
Public Member



Trudy Mauth
Public Member



Neda Mohammadzadeh, RO
Elected Member



Joseph Richards
Public Member



Bryan Todd
Elected Member



Robert Vezina, RO
Elected Member



Ed Viveiros, RO
Elected Member



Gordon White
Public Member

Administration

Fazal Khan, Registrar, CEO
Bev Sloan, Deputy Registrar

Appointed Members

John Battaglia, RO Dorina Reiz, RO
Alain Chow, RO Derick Summers, RO
Natalie Dalcourt, RO

COUNCIL OF THE COLLEGE OF OPTICIANS OF ONTARIO 2017



David Milne,
Public member, President

President's Message

2017 brought many changes for the College, the members of the profession and Ontarians. In keeping with changes to legislation, the College modified the public register to comply with changes which came into effect on January 1, 2017. Criminal charges, known licensure in other jurisdictions and oral cautions as well as any Specified Continuing Education or Remediation Programs (SCERPs) can now be found on the public register.

Self-regulation in Ontario continued to evolve with the passing of Bill 87, the *Protecting Patients Act*, on May 30, 2017. The new bill amended the *Regulated Health Professionals Act, 1991*.

In keeping with the new laws, the College has renewed its commitment to transparency with all council meeting materials available on our website in advance of any council meetings. As always, meetings are

open to the public and we welcome guests to sit in the gallery.

Fazal Khan (College Registrar) and Ingrid Koenig (Vice President) and I attended the national meetings of NACOR in Kelowna, British Columbia, where for the first time we happily welcomed regulators from the province of Quebec making this meeting a truly national meeting of Canadian optician regulators.

In 2017 the College of Opticians joined the Citizen's Advisory Group, a strategic initiative which will increase targeted feedback from the public and broaden our engagement with the community we serve.

Over the course of 2017 the College of Opticians of Ontario, along with the College of Optometrists, continued legal efforts to stop those who fail to follow the government regulations and continue the practise of illegally dispensing eyewear to Ontarians.

The College is currently on track with our 5-year Strategic Plan and have commenced discussions to add new issues to a furtherance of a new Strategic Plan.

The College experienced a successful 2017 member renewal season marking the second year the College has moved to a fully paperless renewal process. Benefits included members receiving receipts immediately and most members received their identification badge and wall decals within one week of completion of their renewal.

Finally, in 2017, the College moved from its home of over ten years at 85 Richmond Street West to a new location at 90 Adelaide Street West in Toronto. Among other things, the new office space incorporates technology that will assist us in allowing stakeholders to attend our council meetings remotely, furthering our commitment to collaboration and transparency.

EXECUTIVE COMMITTEE



David Milne,
Public Member, President

Ingrid Koenig, RO
Elected Member
Vice-President

Bryan Todd, RO
Elected Member

Robert Vezina
Elected Member

Omar Farouk
Public 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 Executive Committee met a total of four times in 2017. The Committee oversaw a number of issues, including a review of committee composition which was adjusted mid-year with resignation of two Council members and an appointed member.

The Executive Committee oversaw the progress of the office relocation. When complete, the office move was under budget. In addition, the Executive Committee was responsible for the review of several proposals for council training including mandatory Sexual

Abuse Prevention Training. These proposals were brought forward to Council.

Strategic Plan

In 2017, the College of Opticians of Ontario renewed its commitment to organizational transformation through a renewed strategic plan. The initial Strategic Plan began in 2015 and was updated in 2017 with a planned end date of 2019. The Strategic Plan outlines strategies in the following areas: transparency and Effective communication, public engagement, member relations, collaboration and operations. Each section includes a set of deliverables to ensure that overall key performance indicators are coupled with measures of success. Currently multiple initiatives are ongoing in each of five core strategic plan areas.



INQUIRIES, COMPLAINTS AND REPORTS COMMITTEE



Omar Farouk
Public Member, Chair

Bryan Todd, RO
Elected Member, Vice Chair

Ingrid Koenig, RO
Elected Member

Neda Mohammadzadeh, RO
Elected Member

Ed Viveiros, RO
Elected Member

Gordon White
Public Member

John Battaglia, RO
Appointed Member

Dorina Reiz, RO
Appointed Member

Eve Hoch
Public Member

Joseph Richards
Public Member

Committee Mandate

The Inquiries, Complaints and Reports Committee (ICRC) reviews concerns made to the College regarding its members. This includes formal complaints, Registrar investigations arising from information brought to the attention of the College or referrals from the Quality Assurance Committee. Every complaint and report is thoroughly and objectively investigated. The Committee considers concerns relating to a member's conduct, competency and capacity to determine if a referral to the Discipline Committee is needed, or if other recommendations are more suitable. The ICRC also investigates and, where appropriate, refers matters to the Executive Committee to commence prosecution in matters involving unauthorized practice.

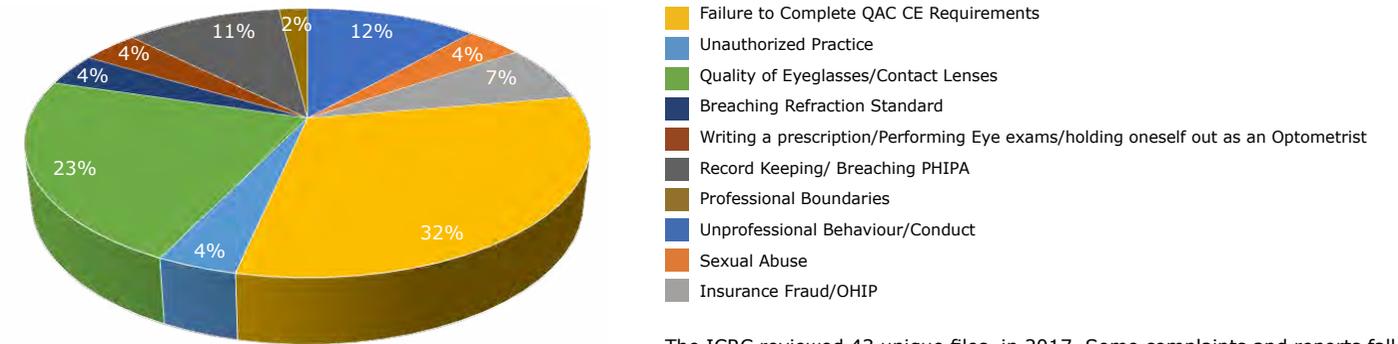
Committee Highlights

As part of the College's ongoing commitment to transparency, proposed changes to the College by-laws were brought forward by the ICRC to Council and were approved. As of January 1, 2017, all ICRC outcomes that require a member to receive an oral caution and/or SCERP (Specified Continuing Education or Remediation Program) will have a summary of the disposition posted to the College's public register.

The ICRC strives to be transparent, consistent and objective in its decisions. For that reason, in 2016, a Risk Assessment Tool was developed as a resource to assist panels of the ICRC in the decision making process. The outcomes of these decisions are detailed on the following page.



Complaint and Report Issues



The ICRC reviewed 43 unique files in 2017. Some complaints and reports fall under multiple categories.

Referrals from the Quality Assurance Committee (QAC)

In 2017 the ICRC received 18 referrals from the QAC. The referrals related to members who failed to respond or comply with a direction of the QAC and/or complete their professional portfolios. The ICRC ordered 6 SCERPs and oral cautions and sent two matters to discipline.

INQUIRIES, COMPLAINTS AND REPORTS COMMITTEE (CONT'D)

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 behave as if they are entitled to practice in Ontario.

The College will continue to prosecute individuals and corporations that permit or encourage unauthorized practice. In 2017, the College investigated 2 cases of unauthorized practice. These cases are still ongoing.

Nature of Formal Complaints Filed in 2017

10	Quality of eyeglasses and/or contact lenses
5	Unprofessional behavior /conduct
3	Insurance Fraud/Ohip Fraud
1	Holding out as an optometrist and performing eye exams
2	Sexual Abuse
1	Breaching the Refraction Standard of Practice
18	Failing to complete Quality Assurance Requirements
1	Patient Abandonment
5	Record Keeping/Breaching PHIPA
1	Professional Boundaries
3	Using the doctor title, performing eye examinations and dispensing prescription eyewear based upon the results of those examinations, and contravening the College's Standards of Practice

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 Inquiries, Complaints and Reports Committee regarding complaints. Both the person who made the complaint and the registered optician who is the subject of the complaint may request a review by HPARB. In 2017, HPARB received one request for review by a complainant.

2017 ICRC Case Dispositions Resolved Complaints and Reports

9	Take No Action
1	Advice Recommendation
9	Oral Caution & SCERP
3	Oral Caution
2	Referred to Discipline

DISCIPLINE COMMITTEE

The Discipline Committee receives specified allegations of professional misconduct or incompetence from the Inquiries, Complaints and Reports Committee (ICRC). A panel appointed by the Chair hears evidence with respect to each case and makes a determination as to whether a member has committed professional misconduct or is incompetent. If the member is found guilty, the panel orders an appropriate penalty. The Committee can order a range of penalties, including fines, a reprimand, suspension or revocation of a member's certificate.

Discipline Hearings

In 2017, the Discipline Committee held one discipline hearing into allegations of professional misconduct. To read the full decision, please see the College's website.

Discipline Referrals

The Discipline Committee received two referrals of specified allegations of professional misconduct. The Committee heard those matters in 2018. Copies of the Discipline Committee's Decision and Reasons are posted on the College website.

Further Activities

Ten Discipline Committee members attended refresher training on conducting discipline hearings provided by the Federated Health Regulatory Colleges of Ontario (FHRCO).



Robert Vezina
Elected Member, Chair

Trudy Mauth Public Member, Vice Chair	Eve Hoch Public Member
Balbir Dhillon, RO Elected Member	David Milne Public Member
Peggy Dreyer, RO Elected Member	Joseph Richards Public Member
Jeff Fernandes, RO Elected Member	Gordon White Public Member
Ingrid Koeing, RO Elected Member	John Battaglia, RO Appointed Member
Neda Mohammadzadeh, RO Elected Member	Alain Chow, RO Appointed Member
Bryan Todd, RO Elected Member	Natalie Dalcourt, RO Appointed Member
Ed Viveiros, RO Elected Member	Dorina Reiz, RO Elected Member
Omar Farouk Public Member	Derick Summers, RO Appointed Member

QUALITY ASSURANCE COMMITTEE



Peggy Dreyer, RO
Elected Member, Chair

David Milne
Public Member, Vice Chair

Robert Vezina, RO
Elected Member

Trudy Mauth
Public Member

Derick Summers, RO
Appointed Member

Alain Chow, RO
Appointed Member

The Quality Assurance (QA) Committee is responsible for developing and maintaining a Quality Assurance Program to ensure the provision of optimal care to the public, and to promote continuing education and quality improvement among its members. The *Regulated Health Professions Act, 1991*, requires that the QA program include self, peer and practice assessments. The Act further requires that the College monitor member participation and compliance with the QA program.

Under the College's QA Program, all members are required to maintain a Professional Portfolio each year to document and reflect on their ongoing learning and professional development.

2017 Competency Review and Evaluation (CRE) Process

The Competency Review and Evaluation (CRE) is one component of the College's QA Program. The CRE is designed to assess member knowledge, skill and judgement, and to provide feedback to opticians in order to encourage practice improvements. The CRE involves submission of a Professional Portfolio, and participation in the Multi-Source

Feedback (MSF) process. The MSF requires that members' patients and colleagues complete practice surveys about the member's performance. Following submission of the Professional Portfolio and MSF, some opticians may require a more in-depth, focused, practice assessment.

In February, 555 members received notice that they had been randomly selected to participate in this year's Competency Review and Evaluation (CRE) process. Of these, 277 members were selected to participate in Stream One and 278 members were selected to participate in Stream Two.

Stream One

Members were required to submit their 2016 Professional Portfolio to the College by March 31, 2017.

Stream Two

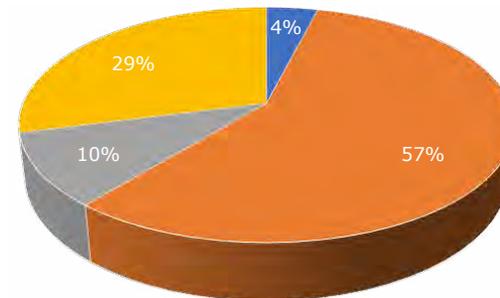
Members were required to submit their 2016 Professional Portfolio to the College by March 31, 2017 and participate in the Multi-Source Feedback (MSF) process by April 25, 2017.

Re-selection

In addition, 47 members were re-selected to participate in the 2017 CRE process. These members originally participated in the 2016 CRE process, and were re-selected by the QA Committee due to a deficiency in the number of accredited hours in their 2015 Professional Portfolio.

Professional Portfolio Assessment Results

Of the 593 members who participated in the CRE process, 339 members successfully completed the portfolio requirements. 59 members completed the majority of their portfolio but submitted incomplete portfolio forms. 170 members submitted portfolios which were deficient in terms of completion of accredited continuing education activities. 25 members did not submit a portfolio by the deadline.

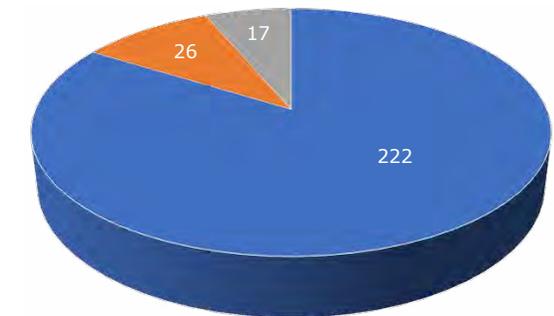


- No portfolio submitted
- Successful completed
- Deficient unaccredited hours
- Deficient accredited hours

Multi-Source Feedback Results

Of the 265 members who participated in the MSF process, 222 members successfully completed the MSF requirements and received a score "above the established threshold". 26 members failed to fully complete the MSF requirements but received a score "above the established threshold" and 17 members were found to be "below the established threshold".

*Members who's MSF Results were below the established threshold were required to complete a peer and practice assessment.



- Members successfully completed MSF requirements
- Members failed to fully complete MSF requirements
- Members below the established threshold

QUALITY ASSURANCE COMMITTEE (CONT'D)

Number of Meetings

In 2017, the Quality Assurance Committee held three in-person meetings and five webinar meetings.

By-Law Recommendation - Proposed QA Fee for Peer and Practice Assessment and Proposed QA Fee for Deficient and Late Submitted Portfolios

In light of the costs involved with addressing portfolio submissions that are deficient and the current level of QA compliance, the QA Committee considered whether a fee was appropriate for 1) members who were non-compliant with the QA program, and 2) members who are directed to undergo a peer and practice assessment due to their non-compliance. The Committee also considered fees for members who submit their portfolio past the due date when selected by the QA Committee to demonstrate compliance.

Quality Assurance Program Fees

At its meeting on May 29, 2017, Council approved the QA Committee's recommendation regarding three new QA program fees. Effective January 1, 2018, the following QA program fees were added to the College's by-laws:

1. Peer and Practice Assessment fee of \$850

(plus HST): This fee will be applied when the QA Committee requires an optician to complete a peer assessment because they have not completed their professional portfolio requirements or have not fully engaged in the CRE process. Opticians who are required to complete a peer assessment because of their MSF results will not be required to pay the assessment fee.

2. Late fee of \$50 (plus HST): This fee will be applied to opticians who are asked to submit their professional portfolio and do so past the due date set by the QA Committee.

3. Deficient Portfolio fee of \$100 (plus HST): This fee will be applied to opticians whose professional portfolio requires review by the QA Committee because they have not completed the accredited continuing education requirements of the professional portfolio.

Quality Assurance Policies

In the beginning of 2017, the QA Committee reviewed and updated its internal policy manual to ensure that its current policies are reflected in the manual. The Committee noted the QA policies were originally approved by Council on October 1, 2012. At its meeting on May 29, 2017, Council approved the QA Committee's changes to its internal policy manual.

Quality Assurance Outreach

In 2017, QA department staff, along with the QA Committee Chair, attended four continuing education events to answer questions from members about the QA program.

Accreditations

In 2017, the QA Committee accredited 94 continuing education courses.

Peer Assessor Recruitment

In March 2017, a call was extended to all registered opticians with at least five years of practice experience for the role of peer assessor. The College was fortunate to receive a great response to the posting, with many members expressing interest. A number of members were selected for the assessor role, and have received formal training from an external consultant.

Peer and Practice Assessments

The peer and practice assessment is a tool used by the QA Committee when other steps in the QA program have not adequately demonstrated the competence of a member. The onsite assessment includes a behavior-based interview, a chart review, and an inspection of the dispensary. In 2017, 12 peer and practice assessments were completed.

GOVERNANCE COMMITTEE



Gordon White
Public Member, Chair

Neda Mohammadzadeh,
RO, Elected Member,
Vice Chair

Ingrid Koeing, RO
Elected Member

Eve Hoch
Public Member

Alain Chow, RO
Appointed Member

Natalie Dalcourt, 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.

Committee Work

In 2017 the Committee had three in-person meetings, one conference call and one webinar. Over the course of the year the Committee worked on redeveloping the governance process and manual as part of the strategic plan. With the assistance of a governance consultant, the Committee developed twelve new polices which were approved by Council in 2017.

Broadly, the governance policies approved affect all areas of the organization from Finance to Operations and Human Resources. The COO's governing style encourages diversity of viewpoints and collective decisions, is strategic and visionary, and has clear distinction of Council and Registrar, CEO roles. The College's Governance Strategy employs the four "E's" of effective governance: explanation, education, evaluation and enforcement.

As part of Council's continued evolution, Council self-assessment surveys were relaunched in December of 2017. The Committee will continue to address amendments to the by-laws and other governance related matters in the upcoming year.



PATIENT RELATIONS COMMITTEE



David Milne, Public member, President, Chair

Peggy Dreyer, RO Elected Member, Vice Chair

Eve Hoch Public Member

Joseph Richards Public Member

Derick Summers, RO Appointed Member

Dorina Reiz, RO Appointed Member

The Patient Relations committee develops programs and engages in other activities assigned by the Council to enhance the relationship between members and patients. The Committee advises Council on measures for preventing and dealing with sexual abuse of patients in accordance with applicable legislation and established rules and procedures. Under the *Health Professions Procedural Code*, the Committee is also tasked with administering the College's program to provide funding for therapy and counselling for patients who were sexually abused by members of the College.

The Committee was directed to address changes to the Jurisprudence module on Sexual Abuse to reflect the changes to the *Regulated Health Professions Act* resulting from *Bill 87*. In addition, the committee worked on developing additional chapters for the Jurisprudence module. There are several initiatives from the strategic plan which the committee was focused on in 2017.



REGISTRATION COMMITTEE



Robert Vezina, RO
Elected Member, Chair

Bryan Todd, RO
Elected Member
Vice-Chair

John Battaglia, RO
Appointed Member

Trudy Mauth
Public Member

Jeffrey Fernandes, RO
Elected Member

Eve Hoch
Public Member

Joseph Richards
Public 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

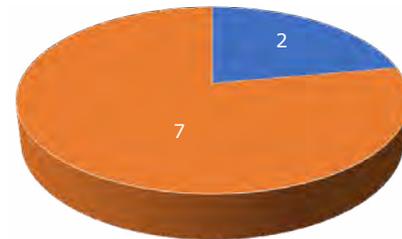
In 2017, the Registration Committee had two in-person meetings and three teleconferences.

Non-Accredited Education Applications Received

Applicants who receive training from what are considered non-accredited programs must complete the Prior Learning Assessment and Recognition (PLAR) process. In 2017, the College received 49 inquiries about the PLAR process.

In 2017, the College received a total of 9 PLAR applications.

PLAR Applications Received



■ Internationally educated applicants
■ Applicants from non-accredited Canadian programs
■ No formal education

Registration Regulation

The College's Registration Regulation sets out all the requirements for obtaining and maintaining a certificate of registration for all classes of licensure with the College of Opticians of Ontario. The Registration Committee worked diligently over the past several years on significant updates to the Registration Regulation. On January 30, 2017, Council approved the Registration Committee's final draft regulation. The College submitted its proposed amendments to the Registration Regulation (O. Reg. 869/93) to the Ministry of Health and Long-Term Care on June 12, 2017. The College awaits the Ministry's response.

Prior Learning Assessment and Recognition (PLAR) Process Review

All applicants from non-accredited programs (Canadian or internationally educated applicants) must undergo the prior learning assessment and recognition (PLAR) process as a route to registration. The PLAR process includes completion of a Competency Gap Analysis (CGA), which is an online tool designed to assess the applicant's achieved learning outcomes against the National entry to-practice competencies, and an in-person, Behaviour-Based Interview (BBI) which assesses an applicant's practical knowledge.

With the assistance of NACOR and a psychometric consultant, the College completed work on a scorecard designed to assist Committees in understanding the relative weight of interview scores and CGA scores and how these assessment components should be taken together and interpreted for the purpose of the Registration Committee assigning educational bridging programs.

In 2017, the College completed work on the last phase of the project which involved developing, pilot testing and validating a second test CGA form to increase the bank of questions. Pilot testing of the questions took place in January 2017 and validation by the National Exams Committee (NEC) occurred in February 2017. The project was completed in March 2017. Applicants are now randomly provided with one of the two test forms.

Contact Lens Fitting Policy

It is a regulatory requirement that applicants complete a number of contact lens fits prior to registration as a registered optician. Following a consultation with accredited educator stakeholders, the Registration Committee approved a policy at its December 13, 2016, meeting to clarify how contact lens fittings are completed by students as they work towards the requirements of becoming registered as

REGISTRATION COMMITTEE, (cont'd)

Registered Opticians (RO) with the College of Opticians. At its meeting on January 30, 2017, Council approved the *Contact Lens Fitting Policy*, to come into effect on September 1, 2017. The Registration Committee worked to notify all educational institutions and students of the new policy prior to the implementation date by sending an explanatory article to educational institutions and providing an opportunity for educational institutions and students to contact the College for clarification.

Contact Lens Mentor Policy

The *Contact Lens Mentor Policy* sets out the criteria for acceptable supervisors for student and intern contact lens fits. The policy requires that Registered Opticians (ROs) who wish to supervise contact lens fits register with the College as mentors and verify that they have completed a specific number of hard or soft contact lens fits within a three year period. The Registration Committee considered that any RO holding the Certified Contact Lens Fitter (CCLF) designation could supervise contact lens fits (soft and rigid) and sign the student logbook, but were not required to declare their currency in contact lens fitting. The Registration Committee proposed amendments to the Contact Lens Mentor Policy to require that any RO who wishes to supervise contact lens fits must declare their currency and register with the College as a Contact Lens Mentor. At its meeting on January 30, 2017, Council approved the proposed amendments to the Contact Lens Mentor Policy, to come into effect on September 1, 2017.

At its meeting on September 11, 2017, the Registration Committee considered the criteria for a Contact Lens Mentor outlined in the revised Contact Lens Mentor Policy. The Committee approved an amendment to the Contact Lens Mentor policy to allow individuals who have experienced a break in their practice to be eligible for Contact Lens Mentor status. The Committee also approved an addition to the Contact Lens Mentor policy to include a statement regarding accommodation requests. At its meeting on October 2, 2017, Council approved the revised Contact Lens Mentor Policy, to come into effect immediately.

By-Law Recommendation: Life Members

In 2017, the Registration Committee considered the Life-Member by-law criteria. The Committee considered whether life members should be able to:

1. Resign from the College and become life members and/or remain life members; and
2. Cease to pay their annual membership fees without facing suspension.

Upon consideration of the above, the Committee proposed several by-law recommendations and a draft policy setting out Council criteria for life membership. At its meeting on October 2, 2017, Council approved the proposed changes to the by-laws and the proposed Life Members Policy to be publicly circulated for feedback.

2017 Statistical Report

PLAR Applications

Initial Inquiries Received in 2017	49
• Internationally educated applicants	41
• Applicants from non-accredited Canadian programs	8
• No formal education	0
Applications Received in 2017	9
• Internationally educated applicants	2
• Applicants from non-accredited Canadian programs	7
• Applicants that completed international training & non-accredited Canadian education	0
• No formal education	0
Applications Refused	0
Applications Completed in 2017 (Decision and Reasons Issued)	5
• Applicants required to complete bridging	2
• Applicants permitted to write the National Examinations	3
Active Applications in Process	4
• Incomplete applications – awaiting documentation from applicant	1
• Initial Registration Committee Review pending	0
• Applicants currently scheduled for the CGA/eligible to write CGA	3
• CGA completed, Interviews pending	0
• Final Registration Committee review pending	0
Other Applications for Registration	0
Applications for Reinstatement (3+ yrs.) Received in 2017	7
• Incomplete applications – awaiting documentation from applicant	1
• Registration Committee review pending	0
• Applications Approved to Reinstatement, with/without continuing education	4
• Competency Assessments Required	2
Internal Registration Appeals	0
HPARB Appeals	0
Upgrading Programs Considered by Committee in 2017	4
Previously Approved Upgrading Program Completed in 2017	0
Requests for Extension of Registration Committee Decision Considered by Committee in 2017	3

INDEPENDENT AUDITOR'S REPORT

To the Council of the 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, 2017 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, 2017, 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.

Toronto, Ontario
May 28, 2018

Sevitt & Associates

Chartered Accountants
Licensed Public Accountants

STATEMENT OF FINANCIAL POSITION

As at December 31, 2017

	2017 \$	2016 \$
A S S E T S		
CURRENT	1,375,290	2,352,979
Short-term investments (Note 3)	4,102,902	3,140,393
Interest receivable	15,148	32,296
Prepays	28,613	15,648
	5,521,953	5,541,316
CAPITAL ASSETS (Note 4)	413,474	38,452
	5,935,427	5,579,768
L I A B I L I T I E S		
CURRENT		
Payables and accrued liabilities	134,070	116,046
Ontario Bridge funding payable	-	13,216
Harmonized sales tax payable	203,248	243,263
Deferred registration fees	2,104,289	2,112,650
	2,441,607	2,485,175
NET ASSETS (Note 2)		
Restricted		
Reserve for Funding of Therapy or Counselling	96,360	45,000
Unrestricted		
Invested in capital assets	413,474	38,452
Operating contingency	1,100,000	942,000
Unauthorized Practice contingency	700,000	700,000
Relocation contingency	-	650,000
Premises contingency	650,000	-
General reserve	533,986	719,141
	3,493,820	3,094,593
	5,935,427	5,579,768

STATEMENT OF OPERATIONS

For the Year Ended December 31, 2017

	2017 \$	2016 \$
REVENUE		
Opticians registration fees	2,565,980	2,436,231
Intern and student registration fees	48,389	35,516
Examination fees	160,650	132,311
Miscellaneous income	43,975	35,775
Interest income	39,079	45,573
	2,858,073	2,685,406
EXPENDITURES		
Amortization	52,298	18,068
Audit	12,924	12,500
Committee expenses	8,467	4,930
Communications	29,817	26,684
Computer maintenance, website and database hosting	75,739	66,792
Consulting	70,656	78,703
Council and committee - See schedule	120,664	120,064
Database development	289,831	123,476
Education and development	2,277	3,605
Equipment rental and maintenance	17,428	16,411
External personnel	71,151	58,817
External relations	28,870	44,612
Extraneous legal expenditures	510	1,517
General office	206,580	150,139
Insurance	5,730	5,099
Investigator	13,044	14,553
Legal	165,530	112,054
Premises rent	195,700	158,263
Printing and postage	32,864	45,035
Quality assurance portfolio	58,973	36,905
Salaries and benefits	960,663	868,362
Seat fees and advertising	20,220	22,713
Telephone and fax	18,910	15,847
	2,458,846	2,005,149
EXCESS OF REVENUE OVER EXPENDITURES	399,227	680,257

The accompanying notes form an integral part of these financial statements

STATEMENT OF CHANGES IN NET ASSETS

For the Year Ended December 31, 2017

				2017	2016
	Internally Restricted Funds \$	Invested in capital assets \$	Unrestricted Funds \$	Total \$	Total \$
Beginning of year	45,000	38,452	3,011,141	3,094,593	2,414,336
Excess of revenue over expenditure	51,360	(52,298)	400,165	399,227	680,257
Investments in capital assets	-	427,320	(427,320)	-	-
End of year	96,360	413,474	2,983,986	3,493,820	3,094,593

STATEMENT OF CASH FLOWS

For the Year Ended December 31, 2017

NET INFLOW (OUTFLOW) OF CASH RELATED TO THE FOLLOWING ACTIVITIES	2017 \$	2016 \$
Operating		
Excess of revenue over expenditures	399,227	680,257
Item not affecting cash		
Amortization of capital assets	52,298	18,068
	451,525	698,325
Changes in non-cash operating working capital		
Interest receivable	17,148	(16,113)
Prepays	(12,965)	541
Payables and accrued liabilities	18,024	60,415
Ontario Bridge funding payable	(13,216)	(36,011)
Harmonized sales tax payable	(40,015)	(1,740)
Deferred registration fees	(8,361)	41,240
	412,140	746,657
Investing		
Purchase of capital assets	(427,320)	(4,979)
Purchase of short-term investments	(962,509)	(629,111)
	(1,389,829)	(634,090)
NET (DECREASE) INCREASE IN CASH	(977,689)	112,567
CASH, beginning of year	2,352,979	2,240,412
CASH, end of year	1,375,290	2,352,979

The accompanying notes form an integral part of these financial statements

NOTES TO FINANCIAL STATEMENTS

December 31, 2017

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. SIGNIFICANT ACCOUNTING PRINCIPLES

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 of Long Lived Assets

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.

NOTES TO FINANCIAL STATEMENTS (CONT'D)

December 31, 2017

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

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.

NOTES TO FINANCIAL STATEMENTS (CONT'D)

December 31, 2017

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	2017 \$	2016 \$
Reserve for Funding of Therapy or Counselling	96,360	45,000

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	2017 \$	2016 \$
Invested in capital assets	413,474	38,452
Operating contingency	1,100,000	942,000
Unauthorized Practice contingency	700,000	700,000
Relocation contingency	-	650,000
Premises contingency	650,000	-
General reserve	533,986	719,141
	3,397,460	3,049,593

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' operating expenses based on a five-year average.

Unauthorized practice contingency: As part of its 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.

Relocation contingency: The College successfully completed an office move to its new location in 2017. As such, this contingency fund is no longer required.

NOTES TO FINANCIAL STATEMENTS (CONT'D)

December 31, 2017

2. NET ASSETS (CONTINUED)

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.

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 committee.

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 \$1,500,900 (2016 - \$2,622,585) 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, 2017.

4. CAPITAL ASSETS

	Cost \$	Accumulated Depreciation \$	Net Book Value	
			2017 \$	2016 \$
Furniture and fixtures	433,975	237,564	196,411	20,500
Computer equipment	224,648	210,718	13,930	17,952
Leasehold improvements	225,703	22,570	203,133	-
	884,326	470,852	413,474	38,452

NOTES TO FINANCIAL STATEMENTS (CONT'D)

December 31, 2017

5. BANK INDEBTEDNESS

As at December 31, 2017 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.

NOTES TO FINANCIAL STATEMENTS (CONT'D)

December 31, 2017

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 \$	Equipment \$	Total \$
2017*	52,855	15,840	67,895
2018	105,710	11,280	116,990
2019	105,710	-	105,710
2020	105,710	-	105,710
2021	105,710		105,710
2022	112,918		112,918
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
	1,129,175	26,320	1,155,495

*This was for a six month period.

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.

SCHEDULE OF COUNCIL AND COMMITTEE EXPENDITURES

For the Year Ended December 31, 2017

	Honoraria	Expenses	2017 Total	2016 Total
Statutory / By-Law Committees				
Council	24,431	15,920	40,351	40,431
Discipline	5,763	16,030	21,793	13,350
Executive	4,663	4,270	8,933	6,104
Governance	4,725	1,172	5,897	3,306
ICRC / Complaints	11,856	5,028	16,884	16,817
Patient Relations	-	-	-	1,788
Quality Assurance	9,250	3,503	12,753	12,871
Registration	6,700	6,374	13,074	24,423
Ad-Hoc Committees				
Miscellaneous Ad hoc	311	668	979	974
	67,699	52,965	120,664	120,064



The College of Opticians of Ontario
90 Adelaide Street West, Suite 300
Toronto, ON Canada M5H 3V9

 416-368-3616
 1-800-990-9793
 416-368-2713
www.coptont.org
mail@coptont.org