

TO: Board of Directors

FROM: Fazal Khan, Registrar

DATE: March 1, 2022

SUBJECT: Emergency Registrar, CEO Succession Policy (2-80)

For Decision

For Information

Monitoring Report

Purpose:

To provide the board with a monitoring report on the Emergency Registrar, CEO Succession Policy, in accordance with the monitoring report schedule approved by the board.

CEO Interpretation and Evidence:

The Emergency Registrar Succession Policy (**Attached**) was passed by the board in December 2018. The information contained in this monitoring report represents compliance with a reasonable interpretation of the policy. The monitoring report covers from January 2021 to January 2022.

The table below sets out the policy requirements, how it has been interpreted by the Registrar as well as supporting evidence.

Policy	Interpretation	Evidence
1. Ensuring one or more senior staff are familiar with board and Registrar processes and are capable of assuming Registrar responsibilities until an interim successor or permanent Registrar is hired by the board.	<p>The Deputy Registrar (DR)/In-House Legal Counsel is in a position to assume responsibilities in the event of an emergency.</p> <p>The DR is tasked with carrying out the Registrar's duties when they are absent or unable to act. The DR is responsible for providing strategic advice to the Registrar, Board and Committees, identifying and monitoring risks to the College, monitoring and reporting on risk-based regulation of the profession and assisting the Registrar in</p>	<p>Recently, Acting Deputy Reg, Amy Stein, Legal Counsel, took on the permanent role of Deputy Registrar in the Fall of 2021. As Legal Counsel, she assists the Registrar with identifying and mitigating risks to the College.</p> <p>Our DR/Legal Counsel has been a key member of the College executive administration team for several years now and is apprised of all major strategic initiatives. Previous HR and Finance responsibilities have been split into a separate portfolio.</p> <p>The DR has already interfaced</p>

	<p>supporting Board and Committees with appropriate resources and information.</p> <p>In the event of a sustained absence of the Registrar, The Deputy Registrar (DR) can make the decision to outsource some or all of her responsibilities as Legal Counsel in order to fully focus on administering the College until a replacement is established.</p> <p>While the DR can assume administrative duties and Board support normally provided by the Registrar, the COO now has a RO practice advisor on staff, which senior staff can rely on for opticianry related information in the event of the Registrar’s sustained absence.</p>	<p>with major stakeholders including the registrants (co-presented the Return to Practice Guidelines webinar), the Association (co-hosted several feedback sessions including Standards of Practice) and the teaching institutions (participating in COVID19 exam planning sessions and PAC meetings). The DR has also attended national stakeholder meetings. The DR is copied on all Registrar correspondence.</p> <p>The Registrar and DR meet on a weekly (and as needed) basis to discuss organizational matters. The DR has participated in all training sessions. The DR has a strong understanding of the program and policy work being undertaken by each committee and attends each Governance Committee meeting.</p> <p>The DR will continue to attend opticianry events and conferences in 2022.</p> <p>The DR actively assists each Committee in policy and regulatory interpretation, aids all committees and screens all briefing notes.</p> <p>The Practice Advisor and Registrar share the duties of providing practice advice and work closely with the DR/Legal Counsel in developing bulletins and FAQs.</p>
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<p>2. Keeping the Board Chair informed (on behalf of board) of any major organizational problems and issues.</p>	<p>The Board Chair and Vice Chair are kept abreast of major organizational issues as they arise and are well versed in regulatory and opticianry practice issues and trends on a provincial and national level.</p>	<p>In 2021, The Board Chair, in his capacity of Vice Chair, attended national meeting.</p> <p>As we have a new Board Chair for 2022, media training is being scheduled to assist in carrying out the role as official Board spokesperson.</p> <p>The Registrar and Board Chair speak regularly, on an as required basis to confer on various matters as they arise.</p>
<p>3. Maintain COO records in an organized and accessible manner.</p>	<p>COO records are organized and accessible to all staff and as appropriate, board and committees.</p>	<p>A file retention policy, developed by external Legal Counsel, was implemented in 2019, and the College's internal computer folder structure was reorganized according to the schedule. The result is a more streamlined structure, with a guide that staff can refer to in order to ensure that the organization of the structure is maintained regardless of staff turnover.</p> <p>In 2020 the College's files were migrated to a new cloud-based server with multiple layers of back up and security to address concerns of cyber threats.</p> <p>An updated virtual boardroom was launched in 2020 and has undergone a refresh in order to allow the appropriate staff to directly update records more efficiently. The updated VB has a streamlined interface for board members to navigate and additional resources have been added. The board had a live walk through and training of the VB in January of 2022 at the Orientation Session.</p> <p>The College has implemented Multi-Factor Authentication at the</p>

		<p>administration and board level to add an additional layer of security when accessing the server for files and emails.</p> <p>Single Sign-On functionality was launched in 2021 to harmonize user credentials for the Virtual Boardroom and Registrant Portal.</p> <p>Further enhancements have been made to the Virtual Boardroom in 2021 to create a secure portal for all COO Examiners to access information and online expense billing features.</p>
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Recommendations/Action Required:

- 1) Does the Board agree that the Registrar, CEO's interpretation of the Emergency Registrar, CEO Succession Policy was reasonable?
- 2) Does the Board agree that the Registrar, CEO complied with this policy as reasonably interpreted?