

BRIEFING NOTE

TO: Board of Directors

FROM: Fazal Khan, Registrar, CEO

DATE: March 1, 2022

SUBJECT: Global General Operational Constraint Policy (2-01) Monitoring Report

☐ For Decision ☐ For Information ☒ Monitoring Report

Purpose:

To provide the Board with a monitoring report on the Global General Operational Constraint Policy (2-01), in accordance with the monitoring report schedule approved by the Board.

Registrar, CEO Interpretation and Evidence:

The Global General Operational Constraint Policy (2-01) was approved by the Board in October 2017.

The information contained in this monitoring report represents compliance with a reasonable interpretation of the policy. This monitoring report covers the period from **January 2020 to January 2022**.

The next Global General Operational Constraint Policy Monitoring Report is due in **February 2025**.

Policy Requirement	Interpretation and Evidence
Imprudent or unlawful conduct	<p>Throughout the reporting period the COO has met all legal and regulatory obligations in full and without delay, including:</p> <ul style="list-style-type: none"> - Annual audited financial statements - Corporate filings - Regulatory reporting obligations (Office of the Fairness Commissioner, College Performance Measurement Framework, Health Personnel Database, etc.) <p>Moreover, the COO has taken steps to safeguard confidential information from unauthorized access, including the introduction of multi-factor authentication and updates to the virtual boardroom.</p>
Violations of commonly accepted business or professional ethics	<p>During the reporting period, steps were taken to ensure that all organizational practices, decisions and circumstances were in line with commonly accepted business and professional ethics, including:</p>

	<ul style="list-style-type: none"> - Compliance with all policies related to asset protection, vendor relations, investments, financial planning, budgeting and financial reserves. <p>Monitoring reports relating to these policies were delivered on schedule and received board approval.</p>
Consistency with COO values	<p>The following steps were taken during the reporting period to ensure that all practices, decisions and organizational circumstances were consistent with the COO's values:</p> <ul style="list-style-type: none"> - In 2020 all staff, board and committee members participated in 4 half-day training sessions relating to diversity, equity and inclusion (DEI). - In December 2020, the Board approved updated core organizational values that incorporated principles of DEI. - In 2021, board and committee members participated in 4 30-minute learning session and 1 half-day training session relating to Indigenous cultural safety and humility - A DEI strategic plan was approved by the board in 2021 - A registrant-facing jurisprudence module focused on DEI was developed and approved in 2021 - All board and committee members participated in DEI training as part of the 2022 board orientation - A DEI training module is being developed for all COO contractors, including peer assessors and examiners
Unreasonable risk	<p>The following steps were taken during the reporting period to ensure the organization was not put at unreasonable risk:</p> <ul style="list-style-type: none"> - Introduction of multi-factor authentication to safeguard COO data. - Prudent investing in accordance with the Investment Policy and as reported in the Investment Policy Monitoring Reports delivered during the reporting period. - Prudent budgeting in light of the pandemic fee relief approved by the board for the 2021 and 2022 registration years - Maintaining all financial reserves at acceptably prudent levels to ensure no risk to COO operations - Prudent succession planning to ensure the organization would be protected in the event of a sudden loss of Registrar, CEO services (See Emergency Registrar, CEO Succession Policy Monitoring Report, delivered March 1, 2022)
Preparation for emergency situations	<p>The following steps were taken during the reporting period to ensure the COO is prepared for emergency situations:</p> <ul style="list-style-type: none"> - Transition to remote work in March of 2020 with no interruption in service

	<ul style="list-style-type: none"> - Investments in technology, such as headsets for all staff, board and committee members to ensure all COO operations could continue remotely during the pandemic - Prudent financial planning and budgeting that made it possible to draw on reserve funds in order to provide pandemic relief to registrants while ensuring the COO remained financial stable - Prudent succession planning to ensure the organization would be protected in the event of a sudden loss of Registrar, CEO services (See Emergency Registrar, CEO Succession Policy Monitoring Report, delivered March 1, 2022)
Conflicts of interest	<p>During the instant reporting period:</p> <ul style="list-style-type: none"> - All board and committee members were required to complete annual fiduciary acknowledgment forms and declare any and all conflicts of interest. - All board and committee members received training on their duty to identify, declare and prevent conflicts of interest as part of the annual board orientation (2020, 2021 and 2022). - Conflict checks are done at every committee and board meeting. - Updates were made to the annual fiduciary acknowledgment form and a new conflict of interest questionnaire were approved by the board in December 2021.

Recommendations/Action Required:

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