

TO: Board of Directors

FROM: Fazal Khan, Registrar

DATE: March 6, 2023

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 last reviewed and/or updated by the board in 2021. The information contained in this monitoring report represents compliance with a reasonable interpretation of the policy. The monitoring report covers the period 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</p>	<p>As Legal Counsel, the Deputy Registrar (DR) 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.</p> <p>The DR continues to regularly interface with major stakeholders including the registrants (webinars and in-person seminars), the Association (co-hosted several feedback sessions</p>

	<p>and assisting the Registrar in 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>Senior Staff are involved with external stakeholders as needed to develop relationships and ensure an understanding of strategic direction.</p>	<p>including Standards of Practice) and the teaching institution Advisory Meetings. The DR continues to attend 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 2023.</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> <p>Where appropriate, department managers are included in meetings with external stakeholders. This includes meetings with educational institutions, NACOR (exams related), continuing education providers and the Association.</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>The Registrar and Board Chair speak regularly, on an as required basis to confer on various matters as they arise.</p> <p>Chair and Vice Chair regularly attend pre-Board preparation meetings to apprise themselves of all items on the agenda.</p> <p>Chair and Vice Chair attend, virtually or in-person, all NACOR national meetings to keep apprised regulatory affairs at a national level including regulatory reform efforts across Canada.</p> <p>The Registrar further updates the entire Board, between board meetings with regards to items of interest or possible risk via email.</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>The College's files are hosted on a cloud-based server with multiple layers of back up and security to address concerns of cyber threats.</p> <p>IT projects are underway to facilitate credit card payments such as Quality Assurance CE accreditation fees without the need to store credit card information with the College.</p> <p>The virtual boardroom undergoes regular updates in order to allow the appropriate staff to directly</p>

		<p>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 2023 at the Orientation Session.</p> <p>A smaller workshop was provided by the Communications Manager and Finances Specialist to provide further hands-on training of the Virtual Boardroom and expense submissions.</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?

POLICY TYPE: OPERATIONAL BOUNDARIES

2-14 Emergency Registrar, CEO Succession Policy

BACKGROUND

It is important for the College of Opticians of Ontario (COO) to have sufficient organizational capacity for the continuous competent operation of the organization in the event of the sudden loss of the Registrar, CEO services.

PURPOSE

To outline the Board's expectations of and risk boundaries for the Registrar, CEO regarding emergency Registrar, CEO succession.

POLICY

In order to protect the Board and COO from such a sudden loss and to provide for robust business continuity, the Registrar, CEO shall not have less than one (or more) other senior staff member(s) familiar with Board and Registrar, CEO processes and issues.

Specifically, the Registrar, CEO shall not operate without:

1. Ensuring one or more senior staff member(s) are familiar with Board and Registrar, CEO processes and issues, and are capable of assuming Registrar, CEO responsibilities on an emergency basis until an interim successor or a permanent Registrar, CEO is hired by the Board.
2. Keeping the Chair (on behalf of the Board) informed of any major organizational problems and issues.
3. Maintain COO administrative policies, procedures, and business records in an organized and accessible manner.