

## TERMS OF REFERENCE MANUAL

### Governance Committees

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### Regulatory Committees

[Registration and Competence Committee](#)

Sub-Committee


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 <b>COLLEGE OF OPTICIANS OF ALBERTA</b> <b>TERMS OF REFERENCE</b>	Responsibility <b>COA Council</b>	
	Committee Group Governance	Effective Date September 2020
	<b>EXECUTIVE COMMITTEE</b>	

## REVIEW/REVISION HISTORY

Council Approval: September 27, 2020

Last Revised: September 2020

## PURPOSE

To address urgent matters arising between meetings of the Council of the College of Opticians of Alberta (COA).

## STRUCTURE

1. Chair
  - a) Eligibility – The Chair shall be the President of the COA.
  - b) Limitation – The Chair may not serve as Chair for any other committees.
  - c) Tenure – One-year term with the possibility of re-election by vote of the Council.
  
2. Vice Chair
  - a) Eligibility – The Vice Chair shall be the Vice President of the COA.
  - b) Role – The Vice Chair shall chair meetings in the event of the Chair’s absence.
  - c) Tenure - One-year term with the possibility of re-election by vote of the Council.
  
3. Committee Members
  - a) Eligibility – One Public Member shall serve on the committee. The CEO Registrar is an ex-officio member of the Committee. The Public Member will be invited to serve on the Committee by the Chair.
  - b) Tenure - One-year term with the possibility of re-election by vote of the Council.
  
4. Meetings
 

The Committee shall meet as needed via teleconference or videoconference to effectively carry out the work of the Committee. Meetings shall be called by the Chair.
  
5. Quorum
 

A quorum shall consist of a majority of the Committee’s members.

6. Accountability  
The Committee is accountable to the COA Council and will present any findings and recommendations to the Council for approval.

#### **DUTIES AND RESPONSIBILITIES**


1. Detail of Duties
  - a) Discuss important matters that may arise between regularly scheduled Council meetings.
  - b) Refer matters to the Council for decision as needed and in the event the Committee does not reach consensus in relation to the matter.
2. Financial  
Committee member expenses will be reimbursed in accordance with expense reimbursement policies and procedures.
3. Reporting  
The Chair shall serve as a liaison between the Committee and the COA Council.  
The Committee will report quarterly to the Council.

#### **EXTERNAL OR OTHER RESOURCES**

The CEO Registrar will assign administrative support to the Committee as required.

#### **REVISIONS TO TERMS OF REFERENCE**

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| <ul style="list-style-type: none"><li>• All future revisions to the terms of reference should be dated and noted here.</li></ul> |
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 <b>COLLEGE OF OPTICIANS OF ALBERTA</b> <b>TERMS OF REFERENCE</b>	Responsibility <b>COA Council</b>	
	Committee Group Governance	Effective Date January 2022
	<b>GOVERNANCE AND AUDIT COMMITTEE</b>	

## REVIEW/REVISION HISTORY

Council Approval: January 10, 2022

Last Revised: April 2022

## PURPOSE

To oversee governance-related activities, monitor the financial health of the College of Opticians of Alberta (COA) and supervise the annual audit of the organization.

## STRUCTURE

1. Chair
  - a) Eligibility – The Chair shall be selected from the COA Council.
  - b) Approval – COA Council at first meeting following Council appointments.
  - c) Tenure – One-year term with the possibility of re-appointment.
  
2. Audit Oversight
  - a) Eligibility – A COA or Public Member selected from the Committee members.
  - b) Role – The Committee member shall serve as a liaison between staff, the auditor, and the Committee during the annual audit and preparation of financial statements.
  - c) Tenure – One-year term with the possibility of re-appointment.
  
3. Committee Members
  - a) Eligibility
    - i. A minimum of one COA Registrant member of Council and one Public Member of Council invited to serve on the Committee by the Chair.
    - ii. Additional members of the COA may be recruited as needed:
      - Members must be in good standing and have no in-progress or outstanding disciplinary record.
      - In recruiting additional members for the Committee, preference will be given to members with strong financial literacy.
      - Additional members may be invited to serve on the Committee by the Chair.

- ii. The President and CEO Registrar serve as ex-officio members of the Committee.
  - b) Approval – Committee Chair.
  - c) Tenure – One-year term with the possibility of re-appointment.
4. Meetings
- The Committee shall meet as needed via teleconference or videoconference to effectively carry out the work of the Committee. Meetings shall be called by the Chair. Key meeting dates:
- a) January – Meet with accountant to prepare for audit
  - b) March – Meet with auditor to review draft financial statements
  - c) May – Review draft budget
5. Quorum
- A quorum shall consist of a majority of the Committee’s members.
6. Accountability
- The Committee is accountable to the COA Council and will present any findings and recommendations to the Council for approval.

#### **DUTIES AND RESPONSIBILITIES**

1. Detail of Finance and Audit Duties
- a) Review the draft annual budget for the COA and make a recommendation for ratification by the Council. This discussion may include, but is not limited to, the following:
    - i. Strategies for revenue generation and/or expense reduction.
    - ii. Funding of a long-term operating reserve.
    - iii. Economic conditions and forecasting.
  - b) Review quarterly financial reports and monitor adherence to the approved budget.
  - c) Oversee the annual audit, including meeting with the auditor and accountant, and monitoring the implementation of any recommendations to improve financial controls and strategies.
  - d) Consult with subject matter experts in relation to specific financial topics as needed.
  - e) Review and recommend updates to required financial policies. Identify financial literacy gaps to assist with updating the annual orientation for Council members.
2. Detail of Governance Duties
- a) Develop and maintain a competency matrix to assess the skill and knowledge needs of the COA Council to assist in the appointment process.


- b) Review and present the slate of appointees for ratification by the COA Council.
  - c) Ensure COA Registrant appointees are in good standing and have no in-progress or outstanding disciplinary record.
  - d) Oversee an annual self-assessment of the COA Council and monitor implementation of any actions arising from the assessment.
  - e) Review and develop governance policies for ratification by Council.
2. Financial  
Funding will be provided in accordance with the COA's operating budget. Committee member expenses will be reimbursed in accordance with expense reimbursement policies and procedures.
3. Reporting  
The Chair shall serve as a liaison between the Committee and the COA Council. The Committee will report quarterly and annually to the Council.

#### **EXTERNAL OR OTHER RESOURCES**

The CEO Registrar will assign administrative support to the Committee as required.

#### **REVISIONS TO TERMS OF REFERENCE**

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 <p><b>COLLEGE OF OPTICIANS OF ALBERTA</b></p> <p><b>TERMS OF REFERENCE</b></p>	Responsibility <b>COA Council</b>	
	Committee Group Governance	Effective Date January 2022
	<b>REGISTRATION AND COMPETENCE COMMITTEE</b>	

## REVIEW/REVISION HISTORY

Council Approval: January 2022  
 Last Revised: April 2022

## PURPOSE

To review applications for registration referred by the CEO Registrar, oversee the continuing competence of registrants, and recommend regulatory standards and policies for the College of Opticians of Alberta (COA). These terms of reference are aligned with requirements set out in the *Health Professions Act*, *Opticians Regulation*, and *COA Bylaws*.

## STRUCTURE

1. Chair
  - a) Eligibility – The Chair shall be selected from the COA Council.
  - b) Approval – COA Council at first meeting following council appointments.
  - c) Tenure – One-year term with the possibility of re-appointment.
  
2. Committee Members
  - a) Eligibility
    - ii. A minimum of one COA Registrant member of Council and one Public Member of Council invited to serve on the Committee by the Chair.
    - iii. Additional members of the COA may be recruited as needed:
      - Members must be in good standing and have no in-progress or outstanding disciplinary record.
      - In recruiting additional members for the Committee, preference will be given to members with a strong interest in registration and regulatory compliance.
      - Additional members will be invited to serve on the Committee by the Chair.
    - iv. The President and CEO Registrar serve as ex-officio members of the Committee.
  - b) Approval – Committee Chair.
  - c) Tenure – Three-year term with the possibility of re-appointment.

3. Meetings  
The Committee shall meet as needed via teleconference or videoconference to effectively carry out the work of the Committee. Meetings shall be called by the Chair.
4. Quorum  
A quorum shall consist of a majority of the Committee's members.
5. Accountability  
The Committee is accountable to the COA Council and will present any findings and recommendations to the Council for approval, with the exception of any decisions the Committee is authorized to make independently under the *Health Professions Act*, Opticians Regulation, and COA Bylaws and which the Committee will report on to the Council.

## **DUTIES AND RESPONSIBILITIES**

1. Detail of Registration Duties
  - a) Review applications for registration or permit renewal referred to the Committee by the CEO Registrar in accordance with the requirements for registration set out in the Opticians Regulation.
  - b) Review other matters referred to the Committee by the CEO Registrar in relation to the academic, experience, examination, or substantial equivalency requirements for registration.
  - c) Review requests for refunds referred to the Committee by the CEO Registrar in relation to registration and related fees.
  - d) Review and make recommendations to the Council on the code of ethics and standards of practice for the profession.
  - e) Develop and recommend updates to any regulatory-specific policies and procedures for ratification by the Council.
2. Detail of Continuing Competence Duties
  - a) Oversee the periodic audit of registrants to ensure adherence to continuing competence requirements and make recommendations regarding audit criteria.
  - b) Review and make recommendations to the Council on the requirements of the continuing competence program, including:
    - i. Eligibility of activities
    - ii. Relevant competencies for specific activities
    - iii. Number of activities
  - c) Carry out an assessment of a registrant's competence upon referral by the CEO Registrar.
  - d) Develop and recommend updates to any continuing competence-related



policies and procedures for ratification by the Council.


3. Financial  
Funding will be provided in accordance with the COA's operating budget.  
Committee member expenses will be reimbursed in accordance with expense reimbursement policies and procedures.
4. Reporting  
The Chair shall serve as a liaison between the Committee and the COA Council.  
The Committee will report quarterly and annually to the Council.

#### **EXTERNAL OR OTHER RESOURCES**

The CEO Registrar will assign administrative support to the Committee as required.

#### **REVISIONS TO TERMS OF REFERENCE**

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 <b>COLLEGE OF OPTICIANS OF ALBERTA</b>  <b>TERMS OF REFERENCE</b>	Responsibility <b>COA Council (Ad Hoc)</b>	
	Committee Group Governance	Effective Date January 2020
	<b>INSPECTIONS COMMITTEE</b>	

## REVIEW/REVISION HISTORY

Council Approval: September 27, 2020  
 Last Revised: April 2022

## PURPOSE

To carry out practice inspections as referred by the CEO Registrar of the College of Opticians of Alberta (COA). These terms of reference are aligned with requirements set out in the *Health Professions Act* and Opticians Regulation.

## STRUCTURE

1. CEO Registrar  
 The CEO Registrar shall select two or more members from a committee membership list approved by the COA Council, including the required number of public members.
2. Chair
  - a) Eligibility – The Chair shall be appointed from the Committee.
  - b) Approval – CEO Registrar.
  - c) Tenure – For the duration of the practice review.
3. Committee Members
  - a) Eligibility:
    - i. A minimum of two regulated members and one public member:
      - Public members as required by legislation.
      - Members must be in good standing and have no in-progress or outstanding disciplinary record.
  - b) Approval – CEO Registrar.
  - c) Tenure – For the duration of the practice review.

4. Meetings  
The Committee shall meet as needed via teleconference or videoconference during a practice review to effectively carry out the work of the Committee. Meetings shall be called by the Chair.
5. Quorum  
A quorum shall consist of a majority of the Committee’s members.
1. Accountability  
The Committee is accountable to the COA Council and will present any findings and recommendations to the Council for approval, with the exception of any decisions the Committee is authorized to make independently under the *Health Professions Act*, Opticians Regulation, and COA Bylaws and which the Committee will report on to the Council.

#### **DUTIES AND RESPONSIBILITIES**


1. Detail of Duties  
Carry out practice visits upon referral by the CEO Registrar for the purpose of ensuring the registrant is complying with the *Health Profession Act*, Opticians Regulation, and COA Bylaws, Standards of Practice, and Code of Ethics.
2. Financial  
Funding will be provided in accordance with the COA’s operating budget. Committee member expenses will be reimbursed in accordance with expense reimbursement policies and procedures.
3. Reporting  
Within 90 days of completing an inspection, the Chair will present a report of findings to the Council, CEO Registrar, and the registrant under inspection.

#### **EXTERNAL OR OTHER RESOURCES**

The CEO Registrar will assign administrative support to the Committee as required.

#### **REVISIONS TO TERMS OF REFERENCE**

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 <p><b>COLLEGE OF OPTICIANS OF ALBERTA</b></p> <p><b>TERMS OF REFERENCE</b></p>	Responsibility <b>COA Council (Ad Hoc)</b>	
	Committee Group Governance	Effective Date January 2020
	<b>COMPLAINT REVIEW COMMITTEE</b>	

## REVIEW/REVISION HISTORY

Council Approval: September 27, 2020  
 Last Revised: April 2022

## PURPOSE

To review complaint dismissals and proposed alternative resolution agreements/settlements on behalf of the College of Opticians of Alberta (COA). These terms of reference are aligned with requirements set out in the *Health Professions Act* and Opticians Regulation.

## STRUCTURE

1. Hearings Director  
 The Hearings Director shall select two or more members from a committee membership list approved by the COA Council, including the required number of public members.
2. Chair
  - a) Eligibility – The Chair shall be appointed from the Committee.
  - b) Approval – Hearings Director.
  - c) Tenure – For the duration of the complaint review.
3. Committee Members
  - a) Eligibility:
    - i. A minimum of two regulated members and one public member:
      - Public members as required by legislation.
      - Members must be in good standing and have no in-progress or outstanding disciplinary record.
      - In cases of alleged sexual abuse or sexual misconduct, at least one member must have the same gender identity as the complainant and all members must have completed training on trauma informed practice and sexual violence.
  - b) Approval – Hearings Director.
  - c) Tenure – For the duration of the complaint review.

4. Meetings  
The Committee shall meet as needed via teleconference or videoconference during a complaint review to effectively carry out the work of the Committee. Meetings shall be called by the Chair.
5. Quorum  
A quorum shall consist of a majority of the Committee's members.
6. Accountability  
The Committee is accountable to the COA Council and will present any findings and recommendations to the Council for approval, with the exception of any decisions the Committee is authorized to make independently under the *Health Professions Act*, Opticians Regulation, and COA Bylaws and which the Committee will report on to the Council.

#### **DUTIES AND RESPONSIBILITIES**


1. Detail of Duties
  - a) Review dismissed complaints upon written request of the complainant following a decision being issued by the Complaints Director and determine whether to uphold the dismissal, further investigate the complaint, or refer the complaint to hearing.
  - b) Review proposed alternative complaint resolutions and finalized settlements referred to the Committee by the Complaints Director for ratification.
2. Financial  
Funding will be provided in accordance with the COA's operating budget. Committee member expenses will be reimbursed in accordance with expense reimbursement policies and procedures.
3. Reporting
  - a) The Committee will report its decisions with respect to dismissal of complaints and alternative complaint resolutions to the Complaints Director, complainant, and the member under investigation.
  - b) The Hearings Director will submit a report on the activities of the Complaints Review Committee to the Council.

#### **EXTERNAL OR OTHER RESOURCES**

The Hearings Director will support the work of the Committee.

#### **REVISIONS TO TERMS OF REFERENCE**

- All future revisions to the terms of reference should be dated and noted here.

 <p><b>COLLEGE OF OPTICIANS OF ALBERTA</b></p> <p><b>TERMS OF REFERENCE</b></p>	Responsibility <b>COA Council (Ad Hoc)</b>	
	Committee Group Governance	Effective Date January 2020
	<b>HEARING TRIBUNAL COMMITTEE</b>	

## REVIEW/REVISION HISTORY

Council Approval: September 27, 2020  
 Last Revised: April 2022

## PURPOSE

To conduct hearings with respect to allegations of unprofessional conduct against members of the College of Opticians of Alberta (COA). These terms of reference are aligned with requirements set out in the *Health Professions Act* and Opticians Regulation.

## STRUCTURE

1. Hearings Director  
 The Hearings Director shall select two or more members from a committee membership list approved by the COA Council, including the required number of public members
2. Chair
  - a) Eligibility – The Chair shall be appointed from the Committee.
  - b) Approval – Hearings Director.
  - c) Tenure – For the duration of the hearing process.
3. Committee Members
  - a) Eligibility:
    - i. A minimum of two regulated members and one public:
      - Public members must comprise at least 50% of the committee structure or as required by legislation.
      - Members must be in good standing and have no in-progress or outstanding disciplinary record.
      - In cases of alleged sexual abuse or sexual misconduct, at least one member must have the same gender identity as the complainant and all members must have completed training on trauma informed practice and sexual violence.
    - b) Approval – Hearings Director.
    - c) Tenure – For the duration of the hearing process.

4. Meetings  
The Committee shall meet as needed via teleconference or videoconference during a hearing to effectively carry out the work of the Committee. Meetings shall be called by the Chair. The Committee shall also attend the in-person or virtual hearing (average 1-2 days).
5. Quorum  
A quorum shall consist of a majority of the Committee's members.
6. Accountability  
The Committee is accountable to the COA Council and will present any findings and recommendations to the Council for approval, with the exception of any decisions the Committee is authorized to make independently under the *Health Professions Act*, Opticians Regulation, and COA Bylaws and which the Committee will report on to the Council.

#### **DUTIES AND RESPONSIBILITIES**

1. Detail of Duties
  - a) Attend hearings regarding cases of alleged unprofessional conduct and assess the evidence presented in the hearing.
  - b) Issue a decision following the hearing, including assigning appropriate penalties in accordance with legislative guidelines.
2. Financial  
Funding will be provided in accordance with the COA's operating budget. Committee member expenses will be reimbursed in accordance with expense reimbursement policies and procedures.
3. Reporting
  - a) The Committee will report its decisions to the Hearing Director.
  - b) The Hearing director will issue the decision to the CEO Registrar and Complaints Director, the complainant, the member under investigation, and the Minister of Justice and Solicitor General if applicable.
  - c) The Hearings Director will submit a report on the activities of the Hearing Tribunal to the Council.


#### **EXTERNAL OR OTHER RESOURCES**

The Hearings Director will support the work of the Hearing Tribunal.

#### **REVISIONS TO TERMS OF REFERENCE**



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 <p><b>COLLEGE OF OPTICIANS OF ALBERTA</b></p> <p><b>TERMS OF REFERENCE</b></p>	Responsibility	
	<b>Registration and Competence Committee</b>	
	Committee Group Sub-Committee	Effective Date March 6, 2023
<b>STANDARDS OF PRACTICE AND CODE OF ETHICS FOCUS GROUP</b>		

## REVIEW/REVISION HISTORY

Committee Approval: March 6, 2023

Last Revised: March 6, 2023

## PURPOSE

To participate in a guided discussion about the current COA Standards of Practice and Code of Ethics. To provide feedback on the current COA Standards of Practice and Code of Ethics based on their application of these documents in practice as regulated opticians. To review and provide feedback on various Standards of Practice and Code of Ethics formats from the perspective of applicability and usefulness in practice for regulated opticians.

## STRUCTURE

6. Committee Members
  - d) Eligibility
    - v. A minimum of six COA Registrants, including a minimum of three registered contact lens practitioners.
    - vi. COA Registrants must be current registrants in good standing and have no in-progress or outstanding disciplinary record.
    - vii. Preference will be given to members with a strong interest in registration and regulatory compliance.
  - e) Approval – Registrar, in accordance with the eligibility requirements established by the Registration Committee
  - f) Tenure – until cessation of the focus group
  
7. Meetings
 

The focus group shall meet as needed via videoconference to effectively carry out the work of the focus group. Meetings shall be called by the COA Registrar and facilitated by COA staff.

## PROCESS

2. Focus group members may be required to complete a series of questions related to the current COA Standards of Practice and Code of Ethics, application of

standards and ethics in practice, and the practitioner experience prior to each meeting of the focus group.

3. The focus group will meet as needed to:
  - 1) Review and provide feedback on the current COA Standards of Practice and Code of Ethics based on their application of these documents in practice as regulated opticians.
  - 2) Review and provide feedback on various Standards of Practice and Code of Ethics formats from the perspective of applicability and usefulness in practice for regulated opticians.
  
4. Financial  
Funding will be provided in accordance with the COA's operating budget. Focus group member expenses will be reimbursed in accordance with expense reimbursement policies and procedures.
  
4. Reporting  
A report of each meeting will be prepared and added to the literature review, benchmarking, and legislative review of the current Standards of Practice and Code of Ethics as pre-work to inform the revision plan. This documentation will be available for review by the Registration and Competence Committee.

#### **EXTERNAL OR OTHER RESOURCES**

The CEO Registrar will assign administrative support to the focus group as required.

#### **REVISIONS TO TERMS OF REFERENCE**

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