

TERMS OF REFERENCE MANUAL

Governance Committees

[Executive Committee](#)

[Governance and Audit Committee](#)

Regulatory Committees


[Registration and Competence Committee](#)

Ad Hoc Committees

[Inspection Committee](#)

[Complaint Review Committee](#)

[Hearing Tribunal](#)

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

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

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

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

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:
 - o Members must be in good standing and have no in-progress or outstanding disciplinary record.
 - o In recruiting additional members for the Committee, preference will be given to members with strong financial literacy.
 - o 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 – Three-year term with the possibility of re-appointment, to a maximum of two terms.
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>COLLEGE OF OPTICIANS OF ALBERTA</p> <p>TERMS OF REFERENCE</p>	Responsibility COA Council	
	Committee Group Governance	Effective Date January 2022
	REGISTRATION AND COMPETENCE COMMITTEE	

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, to a maximum of two terms.

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

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

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

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

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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