



College of  
Opticians of  
Ontario

# 2015

## ANNUAL REPORT



LicensedOptician™  
Vision refined.  
OFFICIALS REGISTRY OF KANSAS

# Protecting the Public



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## About the College

The College of Opticians of Ontario (COO) regulates the profession of Opticianry in Ontario. The COO is dedicated to supporting Opticians in their delivery of high quality, safe and ethical care to the public of Ontario. One of the ways the COO ensures high standards of care is by establishing standards and guidelines for opticians. It monitors and maintains standards of practice through peer assessment and remediation, investigates complaints against opticians on behalf of the public, and disciplines opticians who may have committed an act of professional misconduct or incompetence.

### College Mission

In carrying out its objects, the College has a duty to serve and protect the public interest through effective regulation of the practice of Opticianry.

### College Vision

To be recognized and valued as a progressive, accessible organization that ensures the public's right to quality vision care while providing accountable leadership in the self regulation of opticians.

### College Values

We strongly believe in and are committed to:

- Transparency
- Accountability
- Integrity
- Efficiency

## About Opticians

### *Scope of Practice*

*The Opticianry Act, 1991* is a distinct statute that deals specifically with issues pertaining to the regulation of Opticians. The practice of opticianry is the provision, fitting and adjustment of subnormal vision devices, contact lenses or eyeglasses. A member shall not dispense subnormal vision devices, contact lenses or eye glasses ... except upon the prescription of an Optometrist or a Physician.

# Council of the College of Opticians of Ontario 2015

## Elected Members

Balbir Dhillon, RO  
Jeff Fernandes, RO  
Ingrid Koenig, RO (President)  
Neda Mohammadzadeh, RO  
Michelle Rivaïs, RO  
Janice Schmidt, RO  
Thomas (Mike) Smart, RO  
Ed Viveiros, RO

## Public Members

Susan Carlyle  
Hugh Corbett  
Omar Farouk  
Evelyn Hoch  
Saundra Lawson  
David Milne (Vice-President)

## Appointed Non-Council Members

John Battaglia, RO  
Tai-Ming (Alain) Chow, RO  
Peggy Dreyer, RO  
Catherine Rowntree, RO  
Bryan Todd, RO  
Robert Vezina, RO









Ingrid Koenig, RO  
President

## President's Message

It is an honour to address you as the president of your College and reflect on 2015.

I would first like to thank David Milne, the past president and our first public member president. David should be a beacon to all of the membership. At times we risk losing sight of the important role we play to the public, and David has rejuvenated this spirit.

Thirty years ago, when a teacher asked me why I wanted to become an optician, my answer was, "Let me take a seat and I'll get back to you."

Many years later, I finally have the answer. It is with great pride and confidence that I carry out my work providing the public with optical appliances that will help them see. As opticians, we are able to provide solutions for sight impairment, regardless of social, economic, physical or mental barriers.

Vision is the most intimate of the senses; it is our window to the world around us. Why would we want to jeopardize this by not being one hundred per cent sure the product the public is wearing is the best it can be? We know that, without final verification and adjustment, it is likely these needs are not being met.

Let me tell you how the College is working to meet these needs. In 2015 we released updated Standards of Practise, with the most significant update being the recognition of digital communications. By

acknowledging the internet is here to stay, it was paramount to orient the membership as to its lawful use. The College sought feedback from the membership and stakeholders to revise our Standards, and on behalf of the College I thank all of you for participating.

The year also saw the completion of Phase I of our transparency initiatives, as requested by Minister Hoskins. Information now posted to the Public Register includes status and dates of referral to the Discipline Committee, a full hearing notice, relevant criminal findings of guilt, and bail conditions. Information on non-members practicing illegally continues to be available on the College website.

Lastly, we were invited by The Eye Health Council of Ontario (ECHO) to take part in a review of the state of low vision care in the province. The discussion focused on gaps in low vision care while looking for opportunities for improvement. The paper was presented to ECHO and accepted in principle. There is still lots of work ahead of us, and I am hopeful this collaborative effort will continue.

I encourage my fellow colleagues to get involved with the College. There will be continuous opportunities, so please watch for our email announcements. Join us as an examiner, an appointed member, or give your opinion when we ask for your feedback. If you have questions, don't hesitate to call or submit a question through our website.



## Executive Committee

### Strategic Plan

At their January 2015 meeting, Council approved a comprehensive three-year Strategic Plan built upon the College's values of transparency, accountability, integrity, and efficiency. The Strategic Plan contains deliverables organized around five core strategies: transparency and effective communications, illegal dispensing, member relations, collaboration, and operations. All five areas also include overall goals and measures of success.

Throughout 2015, the Executive Committee was pleased to guide the College administration as they met a number of the Strategic Plan's benchmarks. Updates to the website and the use of new, online tools for feedback led to significant improvements in transparency. Staff and members of Council pursued improved member relations through presentations at trade shows, workshops, and awareness campaigns. Council updated the Standards of Practice and began collaborating with the College of Optometrists to address illegal internet dispensing. The Governance Committee sought to improve operations through a comprehensive review of the by-laws. Finally, the College fostered relationships with stakeholders through new online feedback mechanisms and by sharing best practices with other health regulatory colleges.

### Relational Regulation

In concert with provincial partner colleges in Alberta and British Columbia, the College engaged Outsidein Communications

in a project to adopt a more relational approach in its engagement with the public, stakeholders, and members. This was a key initiative, given that it touches on strategic priorities of transparency, member relations, and collaboration. Outsidein began the process by conducting an individual college assessment, including a survey, website audit, and interviews. This research set the context for ongoing work to make the College's approach, tone, and accessibility more relational for both members and the public.

In their capacity as the Finance Committee, Executive reviewed the 2014 audited year-end financial statements and discussed reserve fund allocation, along with the current 2015 year to date financial reports. They reviewed the investment strategy currently being used by the College, as well as a proposal that the College's budget be further categorized to include more detailed stipulations regarding the general reserve funds. The Committee agreed that the general reserve funds should be separated to include lines for an operating contingency and relocation contingency. The Committee further determined that the operating contingency should include the necessary funds for four months of operating costs.

### Updated Standards of Practice

On September 28, 2015 Council approved new Professional Standards of Practice and an accompanying Guidelines document. The Standards were updated to reflect current practices, including a new section



Ingrid Koenig, RO  
President

David Milne  
Public Member (Vice-Chair)

Hugh Corbett  
Public Member

Janice Schmidt, RO  
Elected Member

Michelle Rivais, RO  
Elected Member

on utilizing websites and other technology. Revisions were also made to the eyeglass and contact lens dispensing section, safety eyewear, record keeping and infection control.

### **Transparency Initiatives**

At the end of 2014, all health regulatory colleges received a request from the Minister to submit a report outlining the Patient Relations Program by January 15, 2015. On February 6th the Minister's Task Force made a new request for information about how colleges handled each sexual abuse complaint received since 2004, how the Inquiries, Reports and Complaints Committee is trained to handle complaints of this nature, and what education students and opticians receive about sexual abuse prevention and boundaries. The College submitted a comprehensive response on March 4, and preemptively began to implement some of its proposed process improvements. On April 1, the Task Force asked all Colleges to send a letter to past sexual abuse complainants, inviting them to a consultation. Finally, public members of all Colleges were invited to a special round table session with the Task Force, which two of our public members attended.

The College also increased transparency and invites greater public participation by making Council materials available to the gallery and the public prior to meetings. Meeting summary notes, ratified minutes and agendas will also be published.

### **Interprofessional Collaboration**

The Committee supported participation in a Clinic Regulation project involving nine health regulatory colleges. The purpose is to develop a proposal to government to begin regulating clinics where members work. In the fall of 2015, the Clinic Regulation project moved into the consultation phase, including a number of town-hall style meetings. Stakeholders, professional members and the public attended the events, and the College of Opticians was proud to participate in a December town hall meeting.



## Inquiries, Complaints And Reports Committee

### Committee Mandate

The Inquiries, Complaints and Reports Committee (ICRC) investigates all written and recorded complaints regarding the conduct of members of the College of Opticians of Ontario. The Committee endeavours to conduct thorough investigations in a fair and efficient manner and make reasonable and fair decisions. The ICRC also investigates and, where the evidence gathered warrants it, recommends prosecution in matters involving an unauthorized practice.

### Committee Activities

The Committee as a whole met three times in 2015. For the purposes of reviewing formal complaints, unauthorized practice complaints and Registrar's reports, the Committee is divided into two panels. Both Panel 1 and Panel 2 held two in-person meetings and two teleconferences in 2015.

### Nature of 2014 Complaints

1. Quality of eyeglasses and contact lenses	4
2. Unprofessional behaviour/conduct	7
3. Practicing under administrative suspension	1
4. Improper record keeping	1

### Nature of Registrar's Reports Initiated in 2015

1. Performance of unauthorized controlled acts	1
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Bryan Todd, RO  
Appointed Member (Chair)

Eve Hoch, Public Member  
(Vice-Chair)

John Battaglia, RO  
Appointed Member

Susan Carlyle  
Public Member

Omar Farouk  
Public Member

Ingrid Koenig, RO  
Elected Member

Neda Mohammadzadeh, RO  
Elected Member

Catherine Rowntree, RO  
Appointed Member

Janice Schmidt, RO  
Elected Member

Ed Viveiros, RO  
Elected Member

## ICRC Statistical Report 2015

### Complaints Disposition

### # of Files

#### Total number of complaint inquiries in 2014

**122**

Inquiries that became a formal complaint	10
Inquiries abandoned / outside jurisdiction / not a complaint	111
Inquiries pending further information	0

#### Formal Complainants

Complaint files opened in 2015	10
Frivolous and vexatious	0
Closed with no further action (files opened in 2015)	7
Closed with no further action (files opened in 2014)	5
Referred to discipline (files opened in 2015)	0
Referred to discipline (files opened in 2014)	2
Closed with written/oral caution only (files opened in 2015)	0
Closed with written/oral caution only (files opened in 2014)	1
Closed with a specified continuing education and remediation program and written/oral caution	1
Closed with a specified continuing education and remediation program only	1
Complaints disposed of in 2015	17*
Current # of Open files pending further investigation	3

#### Registrar's Reports Disposition

Registrar's Reports (RRs) Referred to ICRC in 2015	1
RRs Closed with Referral to Discipline (files opened in 2014)	1

### Formal Complaints ICRC Case Completion Times

### # of Files

RRs Closed with No Further Action (files opened in 2014)	0
RRs Pending further Investigation (files opened in 2015)	1
RRs Closed with No Further Action (files opened in 2015)	0

#### HPARB Appeals

Total number of HPARB appeals in 2015	2**
Total number of HPARB appeals in 2014	1***
Committee decision confirmed	0
Committee decision returned for further investigation and reconsideration	0

\*10 of the complaint files disposed of in 2015 were opened in 2014, the other 7 were opened in 2015.

\*\*The decisions are pending.

\*\*\*The appeal was withdrawn.

## ICRC Statistical Report 2015

### Unauthorized Practice

### # of Files

<b>Total number of UPC inquiries in 2015</b>	<b>23</b>
Inquiry abandoned – not enough information /outside jurisdiction / not unauthorized practice	11
Inquiry pending – further information needed	0
Inquiry – formal file	12

### UPC Files opened in 2015

Open files pending further investigation	11*
Files closed in 2015 – no further action – no evidence of illegal dispensing / outside jurisdiction	10**
Files gone for prosecution	0
Injunction successfully obtained	0

\* One of these files was opened in 2012; 5 of them were opened in 2013; and, the remaining 5 files were opened in 2015.

\*\* Of the files closed in 2015, 1 file was opened in 2012; 1 file was opened in 2013; 1 file was opened in 2014; and, the remaining 7 files closed were all opened in 2015.

YEAR	# of Closed Complaint files	Average Processing Time (days)	Median Processing Time (days)	Average & Median For all 4 Yrs combined	Average & Median for '14 & '15 only
<b>2012</b>	25*	214	230	Average: 189	Data not inc. in cal.
<b>2013</b>	13	196	183		Data not inc. in cal.
<b>2014</b>	19	189	172	Median: 178	Average: 179
<b>2015</b>	7	157	169		Median: 172

\* Technically there were 27 formal complaints filed in 2012, two of which were lodged against the wrong member. These two files were discontinued and reopened against the correct optician.

Note: The processing time for each complaint case is calculated by counting the number of days between the date the complaint was filed, up until and including either the date the Decision and Reason or the Notice of Hearing was mailed to the member (depending on which date applies).



Peggy Dreyer, RO  
Appointed Member (Chair)

Michelle Rivals, RO  
Elected Member (Vice Chair)

Susan Carlyle  
Public Member

David Milne  
Public Member

Bryan Todd, RO  
Appointed Member

Ed Viveiros, RO  
Elected Member

## Quality Assurance Committee

The Quality Assurance (QA) Committee is responsible for developing and maintaining a Quality Assurance Program to ensure the provision of optimal care to the public, and to promote continuing education and quality improvement among its members. *The Regulated Health Professions Act, 1991*, requires that the QA program include a self, peer and practice assessment. The Act further requires that the College monitor member participation and compliance with the QA program.

Under the College's Quality Assurance Program, all members are required to maintain a Professional Portfolio each year to document and reflect on their ongoing learning and professional development.

### 2015 Competency Review and Evaluation (CRE) Process

The Competency Review and Evaluation (CRE) is one component of the College's Quality Assurance Program. The CRE is designed to assess member knowledge, skill and judgement, and to provide feedback to opticians in order to encourage practice improvements. The CRE involves submission of a Professional Portfolio and participation in the Multi-Source Feedback (MSF) process. The MSF requires members' patients and colleagues complete practice surveys about the member's performance. Following submission of the Portfolio and MSF, some opticians may require a more in-depth, focused practice assessment.

In March 2015, 240 members were randomly selected to participate in the CRE. Selected members were asked to submit completed 2014 portfolios by April 30, 2015 and engage in the multi-source feedback (MSF) process by May 20, 2015. The Committee granted deferrals to members who met the criteria.

Over the summer and fall, the QA Committee considered members with deficient portfolio and/or MSF results. Overall, 194 members completed the CRE and received exit letters. For 14 members, the Committee has directed Peer and Practice Assessments. In instances of non-compliance with QA program requirements, the QA Committee has referred 19 members to the Inquiries, Complaints and Reports Committee (ICRC).

The Committee has analyzed the results of its first full Competency Review and Evaluation (CRE) process, and has determined how it will continue to roll-out the new QA program in 2016 in order to help members transition to the new requirements.





### **Jurisprudence and Sexual Abuse Module**

As part of the QA program, all members are required to complete the Jurisprudence and Sexual Abuse module every three years. The tool is designed to support opticians in understanding their obligations around professional boundaries, and to help members develop ways to prevent crossing professional boundaries, including those related to sexual abuse. The Jurisprudence handbook and bank of test questions, developed by the Patient Relations Committee, was provided to the Quality Assurance Committee for administration.

The Quality Assurance Committee has decided to proceed with administering the module online. The College is working with a web developer to launch the module in early 2016.

### **Peer and Practice Assessments**

The Quality Assurance Committee is proceeding with a number of Peer and Practice Assessments. The onsite practice assessment includes a behavioural interview, a chart review, and an inspection of the dispensary. This practice assessment is a tool used by the QA Committee when other steps in the QA process have not adequately demonstrated a member's competence. The College has also provided comprehensive training to optician assessors on assessment skills and report writing, following an interview and recruitment process.

### **Quality Assurance Outreach**

The College has conducted a series of presentations about the QA program, including informational sessions at three continuing education events in the spring and fall. The objective of the presentations was to educate and assist the membership in their transition to the new program and its requirements.

### **Continuing Education (CE) Accreditation Policy**

Given both the changes that have been made to the QA program and trends the Committee has observed in continuing education, the Committee has amended and streamlined its current policy on CE accreditation. The amended policy is before Council for consideration and approval at its January 2016 meeting.

### **Accreditations**

The QA Committee continues to utilize the online platform Virtual Boardroom to review accreditation requests generated by providers of continuing education courses. The Committee has accredited 87 continuing education courses.

Janice Schmidt, RO  
Appointed Member (Chair)

Tai-Ming (Alain) Chow, RO  
Appointed Member  
(Vice-Chair)

Omar Farouk  
Public Member

Eve Hoch  
Public Member

Neda Mohammadzadeh, RO  
Elected Member

## Governance Committee

The Governance Committee assists the Council to govern the College effectively. The Committee ensures that Council fulfills its legal, ethical and functional responsibilities through adequate policy development, Council development strategies, training programs, the monitoring of Council activities and evaluation of Council and committee performance.

### Committee Work

The Governance Committee has been tasked by Council with conducting an omnibus review of the College's By-laws. This review began in 2015 and is a fulsome task which the Committee is approaching in sections.

In 2015 the Committee put forward many proposed amendments to the College By-laws for Council's review. In concert with administration, the Committee worked diligently to ensure that any sections of

the By-laws that required revision were addressed. Some of the by-law changes put forward by Governance in 2015 included amendments of disciplinary information, life membership, definitions, Council elections, officers of Council, committee composition, eligibility of non-Council members and member information posted to the public register.

All By-law changes proposed by the Committee were disseminated to the membership and stakeholders for feedback to ensure a fulsome review prior to presentation to Council. The Committee reviewed and discussed all feedback received.

The Committee will continue to address amendments to the By-laws and any other pertinent governance related matters in the coming year.









Robert Vezina, RO  
Appointed Member  
(Chair)

Jeff Fernandes, RO  
Elected Member (Vice-  
Chair)

John Battaglia, RO  
Appointed Member

Susan Carlyle, Public  
Member

Tai-Ming (Alain) Chow,  
RO  
Appointed Member

Hugh Corbett, Public  
Member

Balbir Dhillon, RO  
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Peggy Dreyer, RO  
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Omar Farouk, Public  
Member

Evelyn Hoch, Public  
Member

Ingrid Koenig, RO  
Elected Member

Sandra Lawson  
Public Member

David Milne, Public  
Member

Neda Mohammadzadeh,  
RO, Elected Member

Michelle Rivais, RO  
Elected Member

Catherine Rowntree, RO  
Appointed Member

Janice Schmidt, RO  
Elected Member

Thomas (Mike) Smart,  
RO Elected Member

Bryan Todd RO  
Appointed Member

Ed Viveiros RO  
Elected Member

## Discipline Committee

Complaints against the conduct and competence of opticians are investigated by the Inquiries, Complaints and Reports Committee (ICRC). The ICRC may refer an allegation to the Discipline Committee, should there be sufficient reason to suspect that professional misconduct or a demonstration of incompetence has occurred. Matters brought forward are heard by a panel of the Discipline Committee, which is composed of between three and five persons, at least two of whom are Public Members of Council.

The discipline process is transparent, with all hearings open to the public and results posted on the College's website and the Public Register.

### Hearings and Prehearing Conferences

There were six discipline hearings held in 2015. All hearings resulted in findings of professional misconduct against the members. The full decision and reasons documents for all of the findings are posted on the College website. Two prehearing conferences were held in 2015.

To view the full decisions and reasons documents for each respective matter, please visit the Discipline section of our website at: [www.coptont.org/DISCIPLINE/discipline.php](http://www.coptont.org/DISCIPLINE/discipline.php)

### Committee Training

Three Committee members attended discipline training through the Federation of Health Regulatory Colleges of Ontario in the fall of 2015. New Discipline Committee members will attend training in the spring of 2016.

## Patient Relations Committee

The Patient Relations Committee advises Council on measures for preventing and dealing with sexual abuse of patients in accordance with applicable legislation and established rules and procedures. The Committee also develops programs and engages in other activities as assigned by Council to enhance the relationship between members and patients.

### Committee Work

In 2015 the Committee worked in concert with Richard Steinecke to develop the first chapter in what will be a comprehensive Jurisprudence Handbook to help guide optician members in ethical decision making. The Professional Boundaries and Sexual Abuse Module was prudently drafted to incorporate relevant and appropriate content for opticians. The Module, which included educational content and test questions, was finalized by the Committee and provided to the Quality Assurance Committee, which will be responsible for overseeing the administration of the test to optician members for inclusion within their Professional Portfolio materials.

Stemming from the College's Strategic Plan, the Committee was tasked with examining a member outreach initiative, or "Ambassador Program," to improve communications between the College and its members. As a starting point, Outsidein Communications was contracted to conduct research into the current status of member communications and opportunities for College improvement. The project has a "relational regulation" focus, whose goal is to enhance the College's relationship with members, engage in more effective communication and improve members' understanding and perception of the College. The Committee will be reviewing a full report on the project early in 2016.



Peggy Dreyer, RO  
Appointed Member (Chair)

Jeff Fernandes, RO  
Elected Member  
(Vice-Chair)

Susan Carlyle  
Public Member

Michelle Rivais, RO  
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Sandra Lawson  
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Public Member

Saundra Lawson  
Public Member

David Milne  
Public Member

Mike Smart, RO  
Elected Member

## Registration Committee

The Registration Committee is responsible for reviewing and assessing all applications that do not meet the requirements for registration or that are referred to it by the Registrar. The Committee may require that applicants undergo additional education, assessment or examination requirements, or it may impose terms, conditions and limitations on a certificate of registration. The Committee also recommends proposals to Council for changes to registration-related regulations, by-laws, policies and the programs that support the registration processes.

### Committee Work

In 2015, the Registration Committee had three in-person meetings and six teleconferences. The Committee conducted five Prior Learning Assessment and Recognition interview days. The Registration Appeal Panel (RAP) did not meet. The Committee received an orientation at its first meeting.

### Registration Regulation

The Registration Committee continued its work on a revised draft of the Registration Regulation. The Committee submitted the draft Registration Regulation to the

Ministry of Health and Long-Term Care and the Office of the Fairness Commissioner for preliminary feedback.

After having received Council approval at its May 25, 2015 meeting, the Committee circulated its draft Regulation for stakeholder feedback from September 15, 2015 to November 16, 2015. The Committee has begun assessing the feedback and conducting additional research to determine whether any amendments to the Regulation are required. A draft Regulation to Council for further consideration is slated for 2016.

### Contact Lens Mentor Policy

The Committee approved an amended Contact Lens Mentor Policy, which was updated to reflect changes in the Quality Assurance program and to streamline language. The policy was approved by Council on May 25, 2015.



## Registration Committee (cont'd)

### **Policy Dealing with Convictions, Findings and Ongoing Proceedings**

To improve the transparency of the application process, the Registration Committee has developed a policy that provides guidance to applicants on how a “yes” response to the declaration of conduct questions in the registration application forms will affect the applicant’s request for registration. The policy was approved by Council at its December 7, 2015, meeting.

### **Prior Learning Assessment and Recognition (PLAR) Process Review**

All applicants from non-accredited programs (Canadian or internationally educated applicants) must undergo the PLAR process as a route to registration. The process includes completion of a Competency Gap Analysis (CGA), which is an online tool designed to assess the applicant’s achieved learning outcomes against the National entry-to-practice competencies, and an in-person Behaviour-Based Interview to assess practical knowledge.

The College and its provincial counterparts have agreed to review the PLAR to ensure fairness and consistency in the process and its tools. The College has received a grant from the Ministry of Citizenship and Immigration to assist the national group with this project.

The CGA tool was revised by a team of opticianry content experts and validated by the National Examinations Committee in January 2015. The new CGA tool has undergone pilot testing and analysis by a psychometric expert and was rolled out in May 2015.

To promote interview consistency, a training session including interviewers from Ontario and the other national opticianry colleges took place at the College’s office in February 2015. A manual was also produced to train future interviewers.

The College has also completed work with a psychometric consultant to create a scorecard to assist committees in understanding the relative weight of the interview and CGA scores. The scorecard also orients committees on how these assessment components should be taken together and interpreted as the Registration Committee considers whether to assign educational bridging programs. In 2016 the Committee will continue to assess and validate the new tools to ensure consistency and effectiveness.

## 2015 Statistical Report

### PLAR Applications

<b>Initial Inquiries Received in 2015</b>	<b>26</b>
• Internationally educated applicants	22
• Applicants from non-accredited Canadian programs	3
• No formal education	1
<b>Applications Received in 2015</b>	<b>13</b>
• Internationally educated applicants	5
• Applicants from non-accredited Canadian programs	8
• No formal education	0
<b>Applications from 2015 withdrawn, abandoned or on hold</b>	<b>1</b>
<b>Applications Completed in 2015</b> (Decision and Reasons Issued)	<b>8</b>
• Applicants required to complete bridging	3
• Applicants permitted to write the National Examination	5
• Applicants refused	0
<b>Applications in Process</b>	<b>8</b>
• Applicants approved for PLAR, must write CGA	6
• CGA completed, Interviews pending	0
• Applications pending initial Committee review	1
• Applications pending final Committee review	1
<b>Applications for reinstatement of suspended members (3+ years)</b>	
• New applications received in 2015	17
• Applications approved, pending completion of additional education	10
• Applicants required to undergo competency assessment	8
• Applications approved to reinstate	3
• Applications in process	2
• Requests for extension of Committee decision	4
<b>Applications for Supplemental Examination Attempt</b>	
• New requests considered by Committee	1
• Previously approved upgrading programs completed, additional attempt granted	4
<b>Internal registration appeals</b>	<b>0</b>
<b>HPARB Appeals</b>	<b>0</b>







## Independent Auditor's Report

### To the Council of the College of Opticians of Ontario

We have audited the accompanying financial statements of the College of Opticians of Ontario which comprise the statement of financial position as at December 31, 2015 and the statements of revenue and expenditures, changes in net assets and cash flows for the year then ended, and a summary of significant accounting policies and other explanatory information.

### Executive Committee's Responsibility for the Financial Statements

Executive Committee is responsible for the preparation and fair presentation of these financial statements in accordance with Canadian accounting standards for not for profit organizations, and for such internal control as council determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

### Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with Canadian generally accepted auditing standards. Those standards require that we comply with ethical requirements and plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the

assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

### Opinion

In our opinion, the financial statements present fairly, in all material respects, the financial position of College of Opticians of Ontario as at December 31, 2015, and the results of its operations and its cash flows for the year then ended in accordance with Canadian accounting standards for Not-for-Profit Organizations.

Toronto, Ontario  
May 30, 2016

Licensed Public Accountants  
Chartered Accountants

*Sevitt & Associates*



## Statement of Financial Position

As at December 31, 2015

	2015 \$	2014 \$
<b>ASSETS</b>		
<b>CURRENT</b>		
Bank	2,240,412	1,765,424
Short-term investments (Note 3)	2,511,282	1,683,644
Interest receivable	16,183	12,182
Prepays	16,189	14,509
	<b>4,784,066</b>	<b>3,475,759</b>
<b>CAPITAL ASSETS</b> (Note 4)	51,541	59,582
	<b>4,835,607</b>	<b>3,535,341</b>
<b>LIABILITIES</b>		
<b>CURRENT</b>		
Payables and accrued liabilities	55,631	86,190
Ontario Bridge funding payable	49,227	65,047
Harmonized sales tax payable	245,003	163,914
Deferred registration fees	2,071,410	1,450,744
	<b>2,421,271</b>	<b>1,765,895</b>
<b>NET ASSETS</b> (Note 2)		
<b>Restricted</b>		
Reserve for Funding of Therapy or Counselling	22,320	22,320
<b>Unrestricted</b>		
Invested in capital assets	51,541	59,582
Operating contingency	941,324	646,000
Unauthorized Practice contingency	400,000	400,000
Relocation contingency	500,000	300,000
General reserve	499,151	341,544
	2,414,336	1,769,446
	<b>4,835,607</b>	<b>3,535,341</b>



## Statement of Revenue and Expenditures

For the Year Ended December 31, 2015

	2015 \$	2014 \$
<b>ASSETS</b>		
<b>REVENUE</b>		
Opticians registration fees	2,305,165	2,195,637
Intern and student registration fees	32,532	34,219
Examination fees	121,800	99,050
Miscellaneous income	57,615	45,132
Interest income	32,108	25,785
	<b>2,549,220</b>	<b>2,399,823</b>
<b>EXPENDITURES</b>		
Amortization	21,683	22,963
Audit	12,250	12,250
Committee expenses	1,749	11,817
Communications	38,817	26,000
Consulting	104,948	45,426
Council and committee - See schedule	136,086	153,145
Database	5,125	77,281
Education and development	3,919	6,825
Equipment rental and maintenance	16,973	15,149
External personnel	49,407	42,107
External relations	46,813	34,215
Extraneous legal expenditures	3,383	867
General office	186,078	173,639
Insurance	4,838	4,604
Investigator	17,324	15,661
Legal	139,348	149,349
Premises rent	162,424	155,460
Printing and postage	43,538	92,782
Quality assurance portfolio	47,571	-
Salaries and benefits	829,258	863,404
Seat fees and advertising	19,475	19,910
Telephone and fax	13,323	13,269
	1,904,330	1,936,123
<b>EXCESS OF REVENUE OVER EXPENDITURES</b>	<b>644,890</b>	<b>463,700</b>



## Statement of Changes in Net Assets

For the Year Ended December 31, 2015

				2015	2014
	Internally Restricted Funds	Invested in capital assets	Unrestricted Funds	Total	Total
	\$	\$	\$	\$	\$
Beginning of year	22,320	59,582	1,687,544	1,769,446	1,305,746
Excess of revenue over expenditure	-	(21,683)	666,573	644,890	463,700
Investments in capital assets	-	13,642	(13,642)	-	-
End of year	<b>22,320</b>	<b>51,541</b>	<b>2,340,475</b>	<b>2,414,336</b>	<b>1,769,446</b>

## Statement of Cash Flows

For the Year Ended December 31, 2015

NET INFLOW (OUTFLOW) OF CASH RELATED TO THE FOLLOWING ACTIVITIES	2015 \$	2014 \$
<b>Operating</b>		
Excess of revenue over expenditures	644,890	463,700
Amortization of capital assets	21,683	22,963
	<b>666,573</b>	<b>486,663</b>
<b>Changes in non-cash operating working capital</b>		
Interest receivable	(4,001)	(624)
Prepays	(1,680)	1,714
Payables and accruals	(46,379)	196
Harmonized sales tax payable	81,089	81,543
Deferred registration fees	620,666	446,781
	<b>1,316,268</b>	<b>1,016,273</b>
<b>Investing</b>		
Purchase of capital assets	(13,642)	(17,714)
Purchase of short-term investments	(827,638)	(558,644)
	<b>(841,280)</b>	<b>(576,358)</b>
<b>INCREASE IN CASH DURING THE YEAR</b>	474,988	439,915
<b>CASH, beginning of year</b>	1,765,424	1,325,509
<b>CASH, end of year</b>	<b>2,240,412</b>	<b>1,765,424</b>



# Notes to Financial Statements

December 31, 2015

## ORGANIZATION

The College of Opticians of Ontario was incorporated without share capital as a not-for-profit organization under the laws of Ontario for the purpose of assuring public protection in the practice of opticianry and is responsible for administering and enforcing the *Regulated Health Professions Act* and the *Opticianry Act*. Accordingly, it is not required to pay income taxes.

## 1. SIGNIFICANT ACCOUNTING PRINCIPLES

These financial statements have been prepared in accordance with Canadian accounting standards for not-for profit organizations and include the following significant accounting policies:

### Revenue Recognition

The College follows the deferral method of accounting for registration fees. The College primarily receives revenue from annual registration fees from its members and is recognized as revenue in the calendar year as the current licensing fee. Deferred registration fees are represented by amounts received before year end for licensing in the next year. In addition revenue from examination fees are recognized in the year they are earned.

### Financial Instruments

The College measures its financial assets and financial liabilities at fair value adjusted by, in the case of a financial instrument that will not be measured subsequently at fair value, the amount of transaction costs directly attributable to the instrument.

The College subsequently measures all its financial assets and financial liabilities at amortized cost. Financial assets measured at amortized cost include cash, interest receivable and fixed income investments. Financial liabilities measured at amortized cost include payables and accrued liabilities and deferred registration fees

### Capital Assets

The costs of capital assets are capitalized upon meeting criteria for recognition as a capital asset, otherwise costs are expensed as incurred. The cost of a capital asset comprises its purchase price and any directly attributable cost of preparing the asset for its intended use.

Capital assets are stated at cost less accumulated amortization. Capital assets are amortized over their estimated useful lives at the following rates

Furniture and fixtures	20% declining balance
Computer equipment	30% declining balance
Leasehold improvements	5 years straight line



## Notes to Financial Statements (cont'd)

December 31, 2015

### 1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

#### Measurement Uncertainty

The preparation of the financial statements is in conformity with Canadian generally accepted accounting principles. This requires management to make estimates and assumptions that effect the reported amount of assets and liabilities and contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses during the reported year. These estimates include the useful life of capital assets and accrued liabilities.

#### Impairment of Long Lived Assets

Long-lived assets are tested for impairment whenever events or changes in circumstances indicate that the carry amount of the assets may not be recoverable. An impairment loss is recognized when the carrying amount of the long-lived asset exceeds the sum of the undiscounted future cash flows resulting from its use and eventual disposition. The impairment loss is measured as the amount by which the carrying amount of the long-lived asset exceeds its fair value.

## Notes to Financial Statements (cont'd)

December 31, 2015

### 2. NET ASSETS

The financial statements have been prepared in a manner which segregates net assets balances and have been allocated by Executive Council as follows:

<b>RESTRICTED</b>	<b>2015</b> \$	<b>2014</b> \$
Reserve for Funding of Therapy or Counselling	22,320	22,320

Reserve for Funding of Therapy or Counselling represents amounts that have been allocated from general operations in order to comply with provincial regulations relating to financing of therapy or counselling sessions which may be required in cases of sexual abuse of patients by members.

<b>UNRESTRICTED</b>	<b>2015</b> \$	<b>2014</b> \$
Invested in capital assets	51,541	59,582
Operating contingency	941,324	646,000
Unauthorized Practice contingency	400,000	400,000
Relocation contingency	500,000	300,000
General reserve	499,151	341,544
	<b>2,392,016</b>	<b>1,747,126</b>

Invested in capital assets represents the College's net investment in property which is comprised of the amount of its capital assets purchased with unrestricted funds.

All other allocations for specific contingencies were approved by the Executive Council.

### 3. INVESTMENTS

The investments are held in an investment account with BMO Nesbitt Burns and comprise of four separate Guaranteed Investment Certificates, each with maturity dates of one year from date of acquisition, which when combined total \$1,500,000 plus the remaining balance in a high interest savings account.

The financial statements include all accrued interest earned to December 31, 2015.





## Notes to Financial Statements (cont'd)

December 31, 2014

### 4. CAPITAL ASSETS

	Cost	Accumulated Depreciation	Net Book Value	
	\$	\$	2015 \$	2014 \$
Furniture and fixtures	233,962	208,337	25,625	31,130
Computer equipment	218,065	198,465	19,600	13,472
Leasehold improvements	228,720	222,404	6,316	14,980
	<b>680,747</b>	<b>629,206</b>	<b>51,541</b>	<b>59,582</b>

### 5. BANK INDEBTEDNESS

As at December 31, 2015 the College has an unused unsecured credit facility of a \$100,000 Operating Line of Credit at prime plus 1%.

### 6. FINANCIAL INSTRUMENTS

The College is exposed to various financial risks through transactions in financial instruments. There is exposure to the following risks:

#### Credit Risk

Credit risk arises from the possibility that third parties may experience financial difficulty and be unable to fulfill their commitments. The College's maximum exposure to credit risk is represented by the carrying value of investments, bank and receivables.

All of the College's cash and investments are held with reputable Canadian financial institutions from which management believes loss through risk exposure to be minimal.

#### Liquidity Risk

Liquidity risk is the risk that the College may not be able to fund its obligations as they come due. The College manages its liquidity risk by monitoring its operational requirements to ensure financial resources are available.

#### Interest Rate Risk

Interest rate risk is the risk that the future cash flows of financial instruments will fluctuate because of changes in market interest rates. The College is exposed to interest rate risk on its investments.





## Notes to Financial Statements (cont'd)

December 31, 2015

### 7. COMMITMENTS

The College has entered into agreements to lease its premises and office equipment for various periods. During fiscal 2009, the premises lease was extended at the same location commencing September 1, 2009 for a new ten year period. However at the option of the landlord, the lease may be terminated after five years provided written notice is provided to the College.

The annual rent of premises consists of a minimum base rent plus operating expenses, realty taxes and hydro charges for that period. Minimum base rent payable for premises and equipment in aggregate is as follows:

	Premises	Equipment	Total
	\$	\$	\$
2015	74,424	15,040	89,464
2016	74,424	15,040	89,464
2017	74,424	15,040	89,464
2018	74,424	11,280	85,704
2019	49,616	-	49,616
	<b>347,312</b>	<b>56,400</b>	<b>403,712</b>

### 8. CONTINGENT LIABILITY

The College is listed as a co-defendant in a Statement of Claim against it in the sum of \$1,500,000. This is being vigorously defended by the College and in the opinion of Management even should there be any potential liability that might be awarded at the resolution of the claim, there is sufficient insurance coverage to fully cover it.





## Schedule of Council and Committee Expenditures

For the Year Ended December 31, 2015

	Honoraria	Expenses	2015 Total	2014 Total
<b>Statutory / By-Law Committees</b>				
Council	27,600	20,693	48,293	72,455
Discipline	6,438	8,446	14,884	9,806
Executive	5,996	4,076	10,072	9,475
Governance	1,938	128	2,066	2,326
ICRC / Complaints	6,600	3,871	10,471	15,796
Patient Relations	1,694	844	2,538	3,457
Quality Assurance	10,613	5,688	16,301	6,041
Registration	11,783	9,723	21,506	22,693
<b>Ad-Hoc Committees</b>				
Miscellaneous Ad hoc	4,982	4,973	9,955	11,096
	<b>77,644</b>	<b>58,442</b>	<b>136,086</b>	<b>153,145</b>



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