



**College of Alberta  
Dental Assistants**

# **Governance Policies**

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# Definition of Governance

Governance includes the actions, processes and structures by which Council, as the corporate Board of Directors, provides oversight of the management and operations of the *College of Alberta Dental Assistants* (“the College”) by monitoring adherence to policy established by Council and achievement of strategic directives approved by Council, consistent with its legislative responsibilities.

## Principles of Governance

*Council’s responsibilities to the Minister of Health and protection of the public interest include but are not limited to:*

- Govern in keeping with leading principles of regulatory governance.
- Govern in a manner that guides and inspires balanced policies which reflect the College’s legislative mandate, Mission, Vision and Values.
- Ensure that Council functions as a cohesive team. This obligates Council members, collectively and individually, to set aside their personal and professional interests and constituencies to focus on the College’s public interest mandate.
- Govern with integrity, in a moral, ethical and transparent manner. This requires “speaking with one voice,” after decisions are made, in support of Council’s direction.
- Govern with a strategic perspective that anticipates the long-term impacts of policies developed and decisions made.
- Respect the Terms of Reference and accountabilities of regulatory and governance committees reporting to Council.
- Provide leadership to and relate in a collegial, trusting, candid, respectful and professional manner to the Registrar & CEO, staff and volunteers, and those who provide subject matter expertise and support to Council and its committees.
- Develop and administer reasonable and effective finance, audit and risk management policies and procedures.
- Empower the Registrar & CEO to implement regulatory and governance policies developed by Council.
- Provide orientation to new Council members and offer Council members continuing professional development opportunities to enhance their governance competencies.
- Ensure the College’s mandate is fulfilled through regular goal setting, determination of performance measures evaluation, enhancement and corrective action where necessary.
- Evaluate the collective and individual performance of the Council and Council members on an annual and ongoing basis to identify strengths and developmental needs.

# Introduction

The College is committed to governing the dental assisting profession in the public interest as mandated in the *Health Professions Act* (“the Act”).<sup>1</sup> Council exercises its authority granted in the Act,<sup>2</sup> the *Dental Assistants Profession Regulation* (“the Regulation”) and the *College Bylaws*<sup>3</sup> (“the Bylaws”) to govern and manage the affairs of the College as a regulatory body and a corporation<sup>4</sup> – always acting in the public interest.

## Background

In 2013 several areas of the Bylaws were identified as requiring revision. The Bylaws had been developed in conjunction with the College’s proclamation under the Act in 2006. Significant growth and change has occurred since the College’s transition from a self-regulating professional association to a regulatory College, making it prudent to revise the Bylaws. Council deemed it imperative to conduct a thorough review and update of the Bylaws and Governance Policies; an Ad Hoc committee was appointed with the task and a professional consultant was contracted.

Major changes to the Bylaws and the Governance Policies were implemented in 2014, with a focus on correlation between these documents, the Act and the Regulation.

To effectively support and guide the College as it continues to evolve, these Governance Policies are dynamic and will change to reflect the current needs of the College. While most of the policies were initially approved in June 2014, some policies have subsequently been approved and added. To ensure currency each policy will be assigned a review schedule; updates will be approved and recorded accordingly. For clarity each individual policy will reflect its own approval history. Policies that are no longer relevant to the mandate of the College will be removed with Council approval.

Significant amendments to the Act prompted a thorough revision of these policies in 2023.

## Overview

The Council, under the authority of the Act s.6 and Bylaw 3(1), approves these Governance Policies. If there is any conflict, real or perceived, between these policies and the Act, the Regulation or the Bylaws, the legislation and Bylaws take precedence. That is, the intent of these Governance Policies is to complement and support the legislation and Bylaws.

The Council must provide for the appointment of a Registrar & CEO for the purposes of the Act.<sup>5</sup> The Registrar & CEO, as the sole employee of Council, has significant responsibility to advise and inform Council on trends and

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<sup>1</sup> *Health Professions Act* (2000), s.3

<sup>2</sup> *Health Professions Act* (2000), s.6

<sup>3</sup> CADA Bylaws, s.3(1)

<sup>4</sup> *Health Professions Act* (2000), s.2

<sup>5</sup> *Health Professions Act* (2000), s.8

issues facing the College. The Registrar & CEO is responsible for the day-to-day operations of the College, within the policies set by Council.

The Council appoints regulatory and governance committees<sup>6</sup> to support and enhance the work of the Council. Committees and their individual members do not replace Council nor do they direct the Registrar & CEO and staff.

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<sup>6</sup> CADA Bylaws, s.11, 21, 23, 24, 28

# GP1 Council Governance

## Council Powers

Policy Type: Governance	Policy Number: GP1.1
Approval Date: June 7, 2014	Scheduled Review: Annually in November
Revised Date(s): Nov 28, 2015; Sep 9, 2017; Nov 30, 2019; May 27, 2023; Sep 16, 2023	

## Policy Statement

The College is governed by a Council of Regulated Members appointed by Council and Public Members appointed by the government.<sup>7</sup> The Council governs according to the Act, the Regulation and the Bylaws, abiding by regulatory and governance policies and procedures. The Council focuses on the public interest, strategy, moving forward, and setting goals and performance measures. Council focuses on organizational oversight rather than operational or day-to-day management of the College or responding to Regulated Members' individual and/or collective interests.

The Council creates distinction between the Council and the Registrar & CEO /administration, allowing the administration to manage the operations of the College. Any overlap is approached with the utmost respect, collegiality, partnership and collaboration.

## Council Powers and Responsibilities

Council:

- establishes and adheres to the Mission, Vision and Values of the College;
- leads the profession and the College by determining the strategic direction, developing supporting policies and adhering to the Bylaws;
- manages and conducts the activities of the College, exercises the rights, powers and privileges and carries out the duties of the College in the name of and on behalf of the College and carries out the powers and the duties of the Council under the Act and the Bylaws;<sup>8</sup>
- carries out its duties and functions in a manner that protects the public interest;<sup>9</sup>
- provides direction to and regulates the practice of dental assistants;
- establishes, maintains and enforces standards for registration and of continuing competence and standards of practice of the regulated profession;<sup>10</sup>
- establishes, maintains and enforces the CADA Code of Ethics;
- monitors and evaluates its own process, policies and performance regularly;
- ensures policy conforms to the accepted governance principles;

<sup>7</sup> Health Professions Act (2000), s.5; CADA Bylaws, s.3

<sup>8</sup> Health Professions Act (2000), s.6

<sup>9</sup> Health Professions Act (2000), s.3

<sup>10</sup> Health Professions Act (2000), s.3



- considers the impact of policy on the public, government, the College, regulated members and other stakeholders;
- may establish a panel of Council to hear reviews under Part 2 or appeals under Part 4 of the Act;<sup>11</sup>
- ensures that the business of the College is conducted in a legal and ethical manner;
- sets policy that allows the Registrar & CEO to manage the day to day operations of the College within an approved policy framework;<sup>12</sup>
- ensures that Council and committees conduct themselves with professionalism, respect and collegiality;
- ensures that deliberations and decisions reflect the public protection mandate of the College; and
- holds itself to the highest standards of governance including ensuring Council members:
  - (a) are fully prepared for meetings
  - (b) attend all meetings
  - (c) respect Council and administration roles
  - (d) “speak with one voice”
  - (e) adhere to the principles of good governance by monitoring and correcting themselves when necessary.

## Implementing Policies

Council is responsible for approving and implementing policies:

Council:

- adheres to its own policies including code of conduct, confidentiality, and oath of office;
- refers to policy when making decisions;
- receives and deliberates recommendations from its regulatory and governance committees regarding the effectiveness of current policy and proposed amendments;
- receives and deliberates recommendations from its regulatory and governance committees regarding the effectiveness of current financial policies, risk management strategies and proposed amendments;
- develops and implements policy to address gaps identified by its regulatory and governance committees; and
- oversees the effectiveness of operational policies implemented by the Registrar & CEO.

## Amending Policies

Council may amend these policies at any time by Council resolution/Motion.

Council is obliged to review and monitor adherence to and effectiveness of these policies in carrying out the duties and responsibilities of the College and Council as determined by the Act, the Regulation and the Bylaws.

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<sup>11</sup> *Health Professions Act* (2000), s.18; Appendix.GP1.1 The Striking of a Panel of Council to Hear Appeals and Reviews

<sup>12</sup> CADA Council/Registrar & CEO Relationship Policy

## Council Governance

### Council Position Description

Policy Type: Governance	Policy Number: GP1.2
Approval Date: June 7, 2014	Scheduled Review: Annually in November
Revised Date(s):	

### Policy Statement

Each individual Council member is morally and legally accountable for their actions and decisions.

### Indicators

Council members will:

- support the Mission, Vision and Values of the College;
- commit the necessary time to become oriented to the role of Council, the regulatory function of the College and to become familiar with the governing documents including the Act, Regulation, Bylaws and Council Policies;
- prepare for and attend all Council meetings;
- gather information pertinent to the Council agenda;
- participate in Council discussions;
- support Council decisions;
- bring topics of interest and affecting the College, profession or public interest to the attention of Council;
- attend, support and participate in College activities;
- positively promote the College; and
- actively participate in Council performance reviews and Council member self-evaluation.

# Council Governance

## Council Structure

Policy Type: Governance	Policy Number: GP1.3
Approval Date: June 7, 2014	Scheduled Review: Annually in November
Revised Date(s): Nov 28, 2015; Mar 3, 2018; Nov 30, 2019; Sep 12, 2020; May 27, 2023; Sep 16, 2023	

## Policy Statement

The Council is the governing body of the College, consisting of the Regulated Members and Public Members determined by the Act<sup>13</sup> and the Bylaws.<sup>14</sup> Council elects Officers to provide leadership to Council. The Officers of Council are the Chair, Vice-Chair Governance and Regulation and Vice-Chair Finance and Risk Management. Officers serve a one-year term as Officer and Regulated Member Council members serve a three-year term.

The Council structure is determined in the Bylaws,<sup>15</sup> which reflect the Act and Regulation.

## The Chair

The Council must appoint or elect or provide for the appointment or election of a Chair for the purposes of the Act.<sup>16</sup>

The Chair:<sup>17</sup>

- (1) is elected by Council from among the Members of Council;
- (2) serves a one-year term as Chair;
- (3) may be re-elected to the role of Chair or to another officer role within their elected or appointed Council term provided that their role as Chair or another officer role concludes no later than the end of their Council term;
- (4) assumes leadership of the Council, ensuring effective teamwork and collaboration;
- (5) ensures the Council develops an annual work plan;
- (6) chairs all meetings of Council and meetings of the College;
- (7) develops meeting agendas collaboratively with the Registrar & CEO;
- (8) facilitates efficient meetings and effective processes;
- (9) constructively manages the Council/ Registrar & CEO relationship;
- (10) addresses conflict of interest with sensitivity and pursues constructive resolutions of issues;
- (11) ensures Council abides by its own policies;
- (12) ensures Council workloads are as fairly distributed amongst Council members as possible;

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<sup>13</sup> *Health Professions Act* (2000), s.5

<sup>14</sup> CADA Bylaws, s.3

<sup>15</sup> CADA Bylaws, s.3(6)

<sup>16</sup> *Health Professions Act* (2000), s.7

<sup>17</sup> A.GP1.3 Officers of Council Position Descriptions, CADA Chair

- (13) manages the grievance and discipline policies relating to Council members with sensitivity, fairness and impartiality;
- (14) exercises any signing authorities assigned by Council and in policy; and
- (15) communicates effectively with stakeholders and the public on behalf of the College.

## **The Vice-Chair Governance and Regulation**

The Council elects from the Members of the Council a person to serve a one-year term as Vice-Chair Governance and Regulation.<sup>18</sup>

The Vice-Chair Governance and Regulation:<sup>19</sup>

- (1) is elected by Council from among the Members of Council;
- (2) serves a one-year term as Vice-Chair Governance and Regulation;
- (3) may be re-elected to the Vice-Chair Governance and Regulation position within their Council term provided that their role as Vice-Chair Governance and Regulation concludes no later than the end of their Council term;
- (4) chairs the Governance Committee;
- (5) presents committee recommendations to Council;
- (6) assumes the role of Chair of any Council or College meetings in the absence of the Chair;
- (7) exercises any signing authorities authorized by Council; and
- (8) may be elected to the position of Chair or to another Officer role within their elected Council term.

## **The Vice-Chair Finance and Risk Management**

The Council elects from the Members of the Council a person to serve a one-year term as Vice-Chair Finance and Risk Management.<sup>20</sup>

The Vice-Chair Finance and Risk Management:<sup>21</sup>

- (1) is elected by Council from among the Members of Council;
- (2) serves a one-year term as Vice-Chair Finance and Risk Management;
- (3) may be re-elected to the Vice-Chair Finance and Risk Management position within their Council term provided that their role as Vice-Chair Finance and Risk Management concludes no later than the end of their Council term;
- (4) chairs the Finance, Risk Management and Audit Committee;
- (5) presents committee recommendations to Council;
- (6) oversees the financial activities of the College and presents financial reports to the Council;
- (7) oversees the College risk management strategies in collaboration with the Registrar & CEO and the Finance, Risk Management and Audit Committee;
- (8) exercises any signing authority granted by Council;

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<sup>18</sup> CADA Bylaws, s.3(8)

<sup>19</sup> A.GP1.3 Officers of Council Position Descriptions, CADA Vice-Chair Governance and Regulation

<sup>20</sup> CADA Bylaws, s.3(9)

<sup>21</sup> A.GP1.3 Officers of Council Position Descriptions, CADA Vice-Chair Finance and Risk Management

- (9) recommends on the Finance, Risk Management and Audit Committee's behalf an independent auditor<sup>22</sup> to Council; and
- (10) collaborates with the auditors and Registrar & CEO in reviewing and presenting audited financial statements to Council and the Regulated Members, and in the Annual Report.

## **Election of Officers**

The Officers of Council are elected from among the Council members. Officers serve a one-year term.

### **PROCESS FOR ELECTING OFFICERS**

- (1) The Chair will call for Letters of Intent from the Council members no later than the Council meeting prior to the expiration of the Officer term.
- (2) Any interested candidate(s) will submit a letter of intent that includes their reasons for interest in the position, relevant competencies and/or training, and how they propose to contribute to the position.
- (3) The candidate(s) may be given the opportunity to address Council for up to five (5) minutes about their interest in the position if they choose and answer questions from Council.
- (4) Voting will be by secret ballot, including the vote(s) of the candidate(s).
- (5) One Public Member Council member and the Registrar & CEO will count the votes and provide the results to the Chair.
- (6) In the event of a tie, the Chair may cast a deciding ballot. If the tie is for the position of Chair, the candidates will be invited to make a presentation at the next Council meeting and a vote will follow.
- (7) The Chair will announce the successful candidate based on the secret ballot.
- (8) The ballots will be destroyed at the meeting adjournment.

## **Vacancy of Officers**

Council will, as soon as is reasonably possible, fill a vacancy in an Officer position by election from among the Council members.

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22 A.GP7.1C Annual Assessment of External Auditor

## GP2 Council Responsibilities

### Fiduciary Duty

Policy Type: Governance	Policy Number: GP2.1
Approval Date: June 7, 2014	Scheduled Review: Annually in November
Revised Date(s): Nov 30, 2019; May 27, 2023	

### Policy Statement

Council members, as fiduciaries, hold a position of trust and demonstrate honesty, fairness and loyalty in governing the College.

#### Duty of Care

Council members are responsible to act with competence and diligence. Council members exercise the same care and skill as a reasonably prudent person. Council members are not expected to be subject matter experts, but they have a responsibility to seek expert advice as needed.

#### Duty of Loyalty

Council members must subordinate their own interests and act in the best interest of the College. This duty includes maintaining confidentiality and avoiding conflicts of interest. Council members will support the decisions of Council.

#### Duty of Due Diligence

Council members have a duty to be informed about the College role and responsibilities, governing legislation, Bylaws, mission, vision and values, code of conduct and policies. Council members should be generally informed about the oral health community, trends in oral health care, overall health care, the economy and other external influences, researching and gathering additional information where necessary.

Council members have a duty to prepare for and attend all Council meetings, assigned committee meetings and contribute to the effectiveness and efficiency of Council and the College using knowledge and skills gained through professional, personal and life experiences.

## Council Responsibilities

### Oath of Office<sup>23</sup>

Policy Type: Governance	Policy Number: GP2.2
Approval Date: June 7, 2014	Scheduled Review: Annually in November
Revised Date(s):	

I, \_\_\_\_\_, a Council member of the **College of Alberta Dental Assistants**, declare that, in carrying out my duties as a Council member, I will:

- (1) Exercise the powers of my office and fulfil my responsibilities in good faith and in the best interests of the public and the College.
- (2) Exercise these responsibilities, at all times, with due diligence, care and skill in a reasonable and prudent manner.
- (3) Respect and support the College Bylaws, policies, Code of Conduct, and decisions of the Council.
- (4) Keep confidential all information that I learn about members, financial matters, personnel, legal issues and any other matters specifically determined by council motion to be matters of confidence, particularly those matters dealt with during in-camera meetings of the Council.
- (5) Conduct myself in a spirit of collegiality and respect for the collective decisions of the Council and subordinate my personal interests to the best interests of the College and its regulatory functions.
- (6) Immediately declare any real or apparent personal conflict of interest that may come to my attention.
- (7) Immediately resign my position as Council member in the event that I, or my colleagues on the Council, have concluded that I have breached my "Oath of Office."

Signature \_\_\_\_\_

Date \_\_\_\_\_

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<sup>23</sup> Adapted from Gill, M; (2005). *Governing for Results*, Trafford Publishing: Victoria, Canada

# Council Responsibilities

## Code of Conduct

Policy Type: Governance	Policy Number: GP2.3
Approval Date: June 7, 2014	Scheduled Review: Annually in November
Revised Date(s): Nov 28, 2015; May 27, 2023	

## Policy Statement

Council ensures that each Council member has an understanding of the expectations and guiding principles for ethical and appropriate behaviour.

## Indicators

### (1) Responsibility and Accountability

Each Council member's interactions with other Council members and Administration must be consistent with the following principles:

- Act with honesty and integrity and in accordance with the Council Oath of Office, any professional standards and/or governing laws and legislation.
- Take responsibility for their actions and decisions.
- Communicate and work toward the effective and consistent implementation of Council decisions.

### (2) Conflict of Interest

Council members must set aside their own interests and must not engage in any activity, financial or otherwise, which is incompatible or inconsistent with the ethical discharge of official duties in the public interest.

Specifically, members of Council will avoid a conflict of interest, which arises when a person participates in a decision about a matter which may benefit or be seen to benefit that person because of their direct or indirect interests affected by or involved in that matter.

These activities include, but are not limited to:

- use of any influence of office for any purpose other than official duties;
- act as an agent before Council or any committee or board of Council;
- use any information gained in Council deliberations that is not available to the general public for any purpose other than for official duties;
- place themselves in a position of obligation to any person or organization which might reasonably benefit from special consideration or may seek preferential treatment;
- give preferential treatment to any person or organization in which a Member or Members of Council have a financial or other interest;



- influence any administrative or Council decision or decision-making process involving or affecting any person or organization in which a Member or Members of Council have a personal or financial interest;
- use a Council position to obtain for themselves, or for their family members, employment within the College; and
- use College materials, equipment, facilities or employees for personal gain or for any private purpose.

In the event that a conflict of interest arises, the person must formally disclose the interest to Council, and leave the room during the discussion and decision-making process. The person may return following the decision on the matter of interest.

Where a Council member is considered for employment within the College, the Council member must temporarily withdraw from Council deliberation, voting, and access to applicable Council information.

### **(3) Confidentiality**

Council members must hold in strict confidence all materials and information concerning matters deemed confidential, including the pre-circulated Council meeting packages. A Council member must not, directly or indirectly, release, make public, or in any way divulge any information (including, but not limited to: hardcopy, electronic copy, files, documents, printouts, records) deemed confidential unless expressly authorized by Council or required by law. Information that remains confidential following a Council meeting includes:

- any aspect of in-camera deliberations;
- information identified as confidential within the provisions of the *Freedom of Information and Protection of Privacy Act* (FOIP); and
- unfinished business.

Council members acknowledge that official information related to the decisions and resolutions of Council will normally be communicated to the College Members or the public and the media by the Chair as the spokesperson for Council or by the Chair's designate.

### **(4) Discrimination and Harassment**

In accordance with the *Alberta Human Rights Act*, Council members must not discriminate against anyone on the basis of their race, ancestry, place of origin, colour, religious beliefs, gender, physical disability, mental disability, age, marital status, family status, source of income, or sexual orientation.

Harassment means engaging in a course of vexatious comment or conduct that is known or ought reasonably to be known to be unwelcome. Harassment can include, but may not be limited to physical, sexual, or verbal comment, innuendo and/or actions.

Council members will not conduct themselves in any manner (including, but not limited to, comment, gesture, physical contact) that is discriminatory or harassment or is perceived as being discriminatory or harassment by any individual within the employment of the College, volunteers, contractors of the College, Members of the College, Council members, or the public. This would include, but not be limited to the following:

- statements, publications, notices, signs, symbols, or emblems or other representations that are published, issued, or displayed before the public;
- goods, services, accommodation or facilities customarily available to the public;
- employment practices, applications, or advertisements; and
- membership in trade unions, employers' organizations, or occupational associations.

#### **(5) Violence**

Council members will not behave toward anyone in a manner that is intimidating, threatening, abusive, injurious, or otherwise victimizes the employees of the College, volunteers, contractors of the College, Members of the College, Council members, or the public.

#### **(6) Acceptance of Gifts**

For honesty and impartiality beyond question, no Council member will solicit or accept a reward, gift, benefit of any kind, or service from any individual, organization, or corporation, that may result in the following:

- a personal gain or benefit;
- the perception by any person or media, that the action is unethical;
- another person or organization will be owed something as a result; or
- a decision that may be influenced.

Council members are encouraged to decline gifts that are offered to them. However, they may accept:

- food and beverages at banquets, receptions, ceremonies or similar events;
- services provided without compensation by persons volunteering their time;
- reimbursement of reasonable expenses incurred in the performance of duties or office, in accordance with relevant Council policy;
- token gifts such as souvenirs, mementoes and commemorative gifts given in recognition of service, for speaking at an event or representing the College; and
- gifts that are received as an incident of protocol or social obligation that normally and reasonably accompany the responsibility of a Council member.

Members of Council should be aware that acceptance of these gifts may result in a taxable benefit to the receiver, depending on the nature of the gift, benefit, reward or advantage and is subject to Canada Revenue Agency interpretation.

Opportunities may arise where Council members are invited to participate in an event where there would be a benefit to the College as well as a personal benefit. It is incumbent on Council members to consider the above prior to accepting the invitation. Such events are not considered gifts for the purposes of this policy.

#### **(7) Respect for Separation of Roles of Council and Administration**

Except in egregious matters as listed below, concerns regarding Council member conduct will be addressed using a progressive discipline approach.

If at any time a concern is raised regarding violation by a Council member of the Bylaws, Code of Conduct, Governance Policies, Oath of Office and/or Confidentiality Agreement, the Chair and Vice-Chair Governance and Regulation will meet with the Council member who may be in violation.

## Removal from Council Generally

Except in egregious matters as listed below, concerns regarding Council member conduct will be addressed using a progressive discipline approach.

If at any time, a concern is raised regarding violation by a Council member of the Bylaws, Code of Conduct, Governance Policies, Oath of Office and/or Confidentiality Agreement, the Chair and Vice-Chair Governance and Regulation will meet with the Council member who may be in violation.

## Dispute Resolution

### BREACH OF TRUST AND/OR PERSONALITY / PERSONAL AGENDA CONFLICTS

- (1) The Chair and Vice-Chair Governance and Regulation will meet with the Council member(s) who may be in dispute or have violated Council policies or expectations.
- (2) The Council member will have the opportunity to present their position.
- (3) The Chair and Vice-Chair Governance and Regulation, in discussion with the Council member, will determine remedial steps and timeframes for compliance.
- (4) The Council member will report to the Chair and Vice-Chair Governance and Regulation as requested on compliance.
- (5) The Chair and Vice-Chair Governance and Regulation will provide a written warning letter if the remedies are not satisfied in the time agreed to.
- (6) The Chair and Vice-Chair Governance and Regulation will report to Council and receive Council feedback.
- (7) The Chair and Vice-Chair Governance and Regulation, considering Council feedback, will determine any further steps.
- (8) Failure to meet the remedies will result in notice of a recommendation to Council for removal of the Council member by two-thirds majority vote in thirty (30) days.
- (9) The Chair and Vice-Chair Governance and Regulation will document the procedures followed and the outcomes.

### COMPLAINTS ABOUT COUNCIL MEMBERS

A person may make a complaint regarding the conduct of a Council member to the Chair or, if the complaint relates to the Chair, to the Vice-Chair Governance and Regulation, if the Council member has been found guilty of an offence under the *Criminal Code* of Canada or if the Council member is or has been engaged in any conduct or activity that undermines the College or its objectives.<sup>24</sup>

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<sup>24</sup> CADA Bylaws, s.4(2)-(9)

## Process

- A complaint regarding a Council member must be in writing and signed. The complainant must provide their own current contact information with the signed complaint.
- The complaint must be addressed to the Chair, or, if the complaint relates to the conduct of the Chair, to the Vice-Chair Governance and Regulation.
- The Chair, or Vice-Chair if appropriate, will provide the Council member who is the subject of the complaint with the allegations and invite a written response from the Council member within seven (7) days.
- After the Chair or Vice-Chair reviews the Council member's response they will appoint an external impartial investigator to conduct an inquiry. If necessary, the Chair or Vice-Chair will engage a recently retired Council member to act as a subject matter expert for the investigator during the inquiry.
- The investigator will provide a written report to the Chair or Vice-Chair within twenty-one (21) days.
- Upon receiving the written report of the inquiry, the Chair or Vice-Chair will call a special closed meeting of Council to consider the next steps. The Council member who is the subject of the complaint may attend the meeting and address Council, however, they will abstain from voting and will be absent during the voting process.
- The Council will vote on the question found in the Bylaw "Complaints about Council Members" 5(a) or 5(b). The Chair may vote unless the Chair is the subject of the complaint.
- A two-thirds (2/3) majority vote is required for the motion to succeed. If the two-thirds (2/3) majority is not achieved the Council member will not be removed from office. Council will consider the matter and may, by simple majority, determine other action as deemed appropriate. The Council member who is the subject of the complaint will not vote on any other actions under consideration by Council related to the complaint.

# Council Responsibilities

## Strategic Plan

Policy Type: Governance	Policy Number: GP2.4
Approval Date: June 7, 2014	Scheduled Review: Annually in November
Revised Date(s): May 27, 2023	

## Policy Statement

Council determines the direction of the College through Strategic Planning and setting goals and objectives to accomplish the Strategic Plan.

## Indicators

Council will:

- (1) conduct environmental scans, analysis of strengths, weaknesses, opportunities and threats, research trends and emergent issues to determine the strategic direction of the College;
- (2) develop a Strategic Plan supporting the mandate of the College and responsibilities of Council;<sup>25</sup>
- (3) develop goals and objectives to achieve the Strategic Plan;
- (4) create an annual work plan to accomplish the goals and objectives;
- (5) review and update the work plan at each Council meeting;
- (6) review the Strategic Plan at least annually;
- (7) add to the Strategic Plan, by Council motion, as needed;
- (8) ensure the Strategic Plan is supported by adequate resources including budget and personnel;
- (9) allow administration to determine and carry out activities to support Council in achieving the goals and objectives of the Strategic Plan;
- (10) review progress on achieving the goals and objectives at each Council meeting; and
- (11) communicate the strategic direction of the College to our communities.

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<sup>25</sup> Health Professions Act (2000), s.3 and s.6

## Council Responsibilities

### Council Performance Review

Policy Type: Governance	Policy Number: GP2.5
Approval Date: June 7, 2014	Scheduled Review: Annually in November
Revised Date(s): Apr 11, 2015; Sep 16, 2023; Mar 2, 2024	

### Policy Statement

Council is responsible for its own performance. Council will review its performance formally every year and informally at each regular Council meeting based on the Council role as set out in the Act, the Regulation and the Bylaws. Council will consider achievement of the goals and objectives identified in the strategic plan and adherence to Council policies.

Council members will also complete one or more self-assessments during the Council year, at the time(s) agreed to by Council, to identify strengths and areas requiring improvement.

### Performance Review Process<sup>26</sup>

Council will conduct a brief assessment of its performance and that of the Registrar & CEO at an in-camera session at the conclusion of each regular Council Meeting. The Registrar & CEO will be present and participate in this process.

Council will also participate in an online performance review at least annually to assess Council's success in governance and conducting the affairs of the College. Council will use the results of the review to plan their collective and personal professional development and performance goals and objectives for the coming year.

### Council Member Self-Assessment<sup>27</sup>

Council members will complete a self-assessment at least annually.

### Officer Performance Review

Officers will complete a self-assessment at least annually. The Council performance review will include a review of the officer positions.

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<sup>26</sup> A.GP2.5A Council Performance Review

<sup>27</sup> A.GP2.5B Council Member Self-Assessment

## Council Responsibilities

# Professional Development Policy for CADA Council Members

Policy Type: Governance	Policy Number: GP2.6
Approval Date: February 7, 2015	Scheduled Review: Annually in November
Revised Date(s): May 27, 2023; Sep 16, 2023	

## Policy Statement

Each year the Council members will receive professional development related to the role and responsibilities of Council. Council members are required to govern the College in all areas including oversight of the College's administration, finances and reporting requirements. Council meetings require interpersonal, critical thinking, and financial skills.

Council members may be offered the opportunity for individual professional development to assist them in governing the College. Leadership, team- building, conflict resolution, trends in regulation, enterprise risk management, understanding legislation and parliamentary procedure, Council– Registrar & CEO relations, governance functioning, policy development and approval and interpreting financial reports and budgets are some of the relevant topics.

Attendance at external learning opportunities may also provide the Council member with exposure to new initiatives in regulation, continuing competence, complaints and industry.

## RECOMMENDED PROCEDURE

- (1) **Budget:** The College budgets for Council members to take courses or attend events related to Council member development as outlined above. Major conferences may be considered depending on budget constraints and number of course requests.<sup>28</sup>
- (2) **Priority:** Requests will be considered on a first come first served basis and within the budgeted education allowance.
- (3) **Approval:** The Chair, or in the case of the Chair submitting a request, Vice–Chair Governance and Regulation or the Vice–Chair Finance and Risk Management will discuss the course request with the Council member and recommend to the Registrar & CEO that funding be made available for the course if the budget permits.
- (4) **Access:** The Registrar & CEO or designate will receive the recommendation, confirm available funds and follow-up by registering the Council member in the requested course.
- (5) **Feedback:** Each Council member is to provide feedback to Council on the relevance of their learning to their role as Council member and key takeaways at the first meeting following their course completion or attendance at an event.

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<sup>28</sup> A.GP2.6 Request Form: Education Policy for CADA Council Members

## GP3 Council Business

### Council Meetings

Policy Type: Governance	Policy Number: GP3.1
Approval Date: June 7, 2014	Scheduled Review: Annually in June
Revised Date(s): Nov 29, 2014; Sep 12, 2015, Apr 9, 2016, May 28, 2017; May 30, 2020; May 27, 2023; Sep 16, 2023; Mar 2, 2024	

### Policy Statement

The purpose of Council meetings is to conduct the business of the College. Most meetings are in-person. However, Council may, when necessary, meet via electronic means such as teleconference, email, video messaging, etc. as authorized in the Bylaws.<sup>29</sup>

Council meeting agendas will clearly reflect the role of the Council, the strategic goals identified by the Council and the mission and values of the College.

The Council may request any persons to attend Council Meetings that Council deems necessary.

- Council will meet at a minimum two (2) times annually, most often four (4) to five (5) times annually.
- Council may participate in an annual retreat, the focus of which will be determined by Council and may include, but is not limited to, strategic planning, professional development, emergent issues or policy development.
- Regulated members may, with thirty (30) days advanced written notice, make brief submissions on relevant topics to Council. The written notification must provide the subject of the submission and at a minimum, an outline, or, preferably, a copy of the submission. Council will receive the submission for information but is not bound to make any decision on any submission.
- The Council meeting schedule will be posted on the College website.
- The Council will observe accepted parliamentary procedures for maintaining order such as Robert's Rules of Order when conducting meetings. However, with the exception of Requests for Decision and Motions, Council will normally relate less formally, allowing for thorough discussion, consensus and formal decisions.
- Discussion at Council meetings will be confined to those matters which fall under Council authority granted by the Act, the Regulation and the College Bylaws and that complement the mission and values, governance model, policies and strategic goals of the College, and its regulatory mandate.
- Council members must notify the Chair and/or Registrar & CEO if they are unable to attend a Council meeting. Absence of any Regulated Member Council member from three (3) meetings in any Council year will result in automatic termination from Council.<sup>30</sup>

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<sup>29</sup> CADA Bylaws, s.3(13)

<sup>30</sup> CADA Bylaws, s.4(1)(e)



## Submissions to Council

Members may make brief submissions on relevant matters to the Council with thirty (30) days advanced written notice. Submissions are the opportunity for the Presenter to provide the Council with pertinent facts about a regulatory matter. Submissions are not discussion forums, and Presenters should have no expectation of feedback from Council.

### PROCESS

The Chair receives requests for submission. The Chair, with the Registrar & CEO, will consult the agenda to determine if time will permit the presentation and how much time, if any, will be allotted to the submission. The Chair will communicate to the Presenter the date, time and duration allowed for the submission, or suggest an alternate appointment should time not permit on the requested date.

### THE SUBMISSION

The Submission Request will include:

- (1) the topic of the submission with a summary of the information to be presented; and
- (2) any decisions or actions anticipated by the Presenter resulting from the submission.

### THE PRESENTER

- (1) is responsible for any media needs for the presentation and the costs associated with the media required;
- (2) will limit the presentation to one topic per submission;
- (3) presents the information in the time allotted by Council;
- (4) provides supporting evidence for the information presented; and
- (5) responds to Council questions.

### THE COUNCIL

Council will:

- (1) consider the information presented and any request for decision or action within the context of the College and Council mandate and responsibilities as defined in the Act;<sup>31</sup>
- (2) consider only evidence-supported information;
- (3) hold discussions following the completion of the presentation and the departure of the Presenter; and
- (4) acknowledge the Presenter's contributions and may provide feedback.

## In-Camera Meetings

At the end of each Council meeting, Council will move "In Camera" to discuss Council self-evaluation and any other confidential items that have arisen during the Council meeting. The Registrar & CEO is included in this in-camera session.<sup>32</sup>

Matters that may be discussed in camera include:

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<sup>31</sup> *Health Professions Act* (2000), s. 3 and s. 6

<sup>32</sup> GP2.2 discusses confidentiality

- (1) Internal and/or external assessments of the Council's governance policies, procedures, and process, and the Council/ Registrar & CEO relationship.
- (2) A potential or imminent purchase, sale or lease of any property, goods or services where the premature public release of the information could negatively affect Council's interests in the transaction.
- (3) Any matters related to the security and sustainability of the College, Council or its members.
- (4) Council, committee member, and Registrar & CEO succession planning, if privacy is necessary to ensure an objective and thorough discussion and evaluation.
- (5) Legal matters – including litigation or potential litigation, and any advice and communications that are subject to solicitor-client privilege.
- (6) Professional conduct matters where open discussion may adversely affect the investigation process or administrative fairness for the persons involved.
- (7) Information that, if released, would be harmful to stakeholder relations, particularly information shared in confidence.
- (8) Review of financial reports and meetings with the external auditor.
- (9) Risk management and securing assets and property.
- (10) Reports received in discussions with third party advisors.
- (11) Financial matters where confidential discussions are deemed in the Council's interest prior to being considered in public, including audit reports, etc.
- (12) Any issue covered by another policy, by-law or legislation that requires Council to meet privately.

## **PROCEDURE FOR IN CAMERA MEETINGS**

- (1) A motion is required to move in camera.
- (2) If approved, the Chair will indicate that the meeting will go in camera, stating the specific purposes.
- (3) The Chair will determine who will remain or be asked to leave. The Registrar & CEO will participate in in-camera sessions, unless specifically excluded – due to confidential discussions about the:
  - Registrar & CEO's performance and/or compensation; or
  - terms and conditions of the Registrar & CEO's employment agreement.
- (4) No matters may be added to the agenda once the motion to go in camera is passed.
- (5) No minutes are kept of an in-camera session, and no motions may be voted upon in camera.
- (6) A motion is required to come out of an in-camera session. Matters arising from the in-camera session must be immediately brought before the open Council meeting when it is reconvened.
- (7) The Chair will provide detailed context to the Registrar & CEO for the approved motion, if Council expects follow up action(s) when the Registrar & CEO is not present during the in-camera session.

## **Other Persons Attending Council Meetings**

### **PURPOSE**

Council may invite individuals to attend Council meetings for the purposes of:

- bringing information regarding specific issues, concerns, trends or developments that may impact CADA or the profession;
- bringing information from stakeholders that may impact the College or the profession;
- accepting and conveying information to stakeholders;

- responding to requests from Council for unique perspectives or positions; and
- meeting any other need Council, at Council's discretion, identifies.

## **EXPECTATIONS**

- The Chair of Council will determine which portion or portions of the Council meeting the individuals will be invited to attend.
- Invited individuals will declare any conflicts of interest, external loyalties, allegiances or biases when they join the meeting.
- Invited individuals will receive a pre-meeting package limited to information appropriate to the reason for the invitation and the meeting agenda. If appropriate, they may be asked to sign an oath of confidentiality.
- Council may, at Council's discretion, request comments or invite individuals to join discussions on topics of interest that impact the College, Council, and dentistry and dental assisting professions.
- The Chair or Acting Chair will request invited individuals to leave the Council meeting when confidential matters are discussed or when their presence is no longer relevant to the agenda.

## **PROFESSIONAL DEPORTMENT**

- Invited individuals will respect that Council governs the College, and "speaks with one voice" to reflect approved Motions.
- Invited individuals will follow meeting protocols and address all comments through the Chair.
- Invited individuals will confine their discussions to supported facts unless asked for an opinion by the Chair.
- The Chair or Acting Chair will confirm with the individual the appropriate message to share with interested parties and stakeholders following the meeting.

## **Observers at Council Meetings**

Interested persons may attend open portions of Council meetings subject to the provisions of this policy.

### **REQUEST TO ATTEND**

- Anyone may request to attend a Council meeting using the online request tool on the College website. Requests may be made up to fifteen (15) business days prior to the scheduled Council meeting. Observers will be accommodated on a first-come, first-served basis. The College may limit attendees due to meeting room capacity. Requests received less than fifteen (15) business days prior to a scheduled Council meeting will not be accommodated.

### **EXPECTATIONS**

- A designated seating area will be provided for Observers. Observers will find a copy of the meeting agenda at their seats.
- As no recording of meeting proceedings is permitted, all electronic devices including, but not limited to, phones, tablets, notebooks and laptops must be turned off and stowed away.
- Observers will remain quiet during the Council meeting, allowing Council to focus on Council business.
- The Chair is the spokesperson for Council, therefore, individual Council members will not comment to Observers on meeting proceedings. All requests for clarification, comments or concerns will be made in writing to the Chair following the meeting.
- The College is not responsible for any costs or expenses incurred by Observers to attend Council meetings.

## **REMEDIATION PROCESS FOR VIOLATIONS OF EXPECTATIONS**

- (1) The Chair will address the concern with the observer(s) individually during the first break. The Chair will reiterate the observer expectations with the observer in question, and inform them that, should the behaviour continue, they may be asked to leave the meeting.
- (2) Continued or recurrent disruption will result in the Chair calling for a recess in the meeting to address the concern with the observer(s) individually. The Chair will ask that Council remain seated and that the observer(s) join the Chair out of the room. The Chair will reiterate the observer expectations with the observer in question, detail the change in behaviour required and inform them that should the disruptive behaviour continue they will be asked to immediately leave the meeting.
- (3) The Chair will stop the meeting and dismiss the observer from the remainder of the meeting if the behaviour continues to disrupt the Council.
- (4) The Chair will document the discussions and outcomes of each incident where the observer(s) must be spoken to regarding disruptive behaviour.

## Council Business

# Council Application and Appointment

Policy Type: Governance	Policy Number: GP3.2
Approval Date: June 7, 2014	Scheduled Review: Annually in June
Revised Date(s): May 28, 2017; May 30, 2020; May 28, 2022; May 27, 2023; Sep 16, 2023	

## Policy Statement

Council will ensure an appointment process is conducted to fill positions vacated by the completion of Council member terms. The application process is managed electronically.

## Appointment Committee

Prior to the May Council meeting, the Chair will call for letters of interest for one Public Member council member and one Regulated Member council member to sit on the Appointment Committee.

- (1) The Regulated Member council member must be someone whose council term is not expiring November 30.
- (2) The Public Member council member should be someone who can reasonably be assured will still be eligible to serve through November 30.
- (3) A Public Member of Council and Registrar & CEO will manage a secret ballot election should more than one person in either or both categories put their names forward.
- (4) The Governance Committee will issue a call for a Regulated Member who is not on council, but may have council experience, to serve as the Regulated Member at Large for the Appointment Committee.

## Council Member Appointment Application Process

- (1) Interested candidates among regulated members who wish to serve on council will use the online form<sup>33</sup> to apply for a council position.
- (2) The Registrar & CEO or Registrar & CEO's delegate will receive the application and confirm the eligibility of the applicant to serve on council. The Registrar & CEO or Registrar & CEO's delegate will then remove identifiers and assign a unique file number to each application.
- (3) Applications will close at 11:59 pm September 15.

## Council Member Appointment Process

- (1) The Registrar & CEO will forward the anonymized applications to the Appointment Committee who will review and evaluate the submissions against an established rubric.<sup>34</sup>
- (2) The Appointment Committee will create a short list of candidates to interview.

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<sup>33</sup> A.GP3.2 Council Nomination Application Form

<sup>34</sup> A.GP3.2 Application Rubric

- (3) The short list of candidates will be asked to complete the Alberta Federation of Regulated Health Professions' governance modules (or similar) before their interviews.
- (4) The Appointment Committee will then schedule interviews with the short list of candidates, using a standardized question form<sup>35</sup> and coordinating rubric. Interviewees will be requested to provide two (2) professional references.
- (5) The Appointment Committee will deliberate and choose the best candidates to fill any gaps on council.
- (6) The Appointment Committee Chair will then present the list of recommended applicants to council for consideration and appointment.
- (7) The Appointment Committee will disband following acceptance by council of their recommendation.

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<sup>35</sup> A.GP3.2 Council Applicant Interview Questions

## Council Business

### Vacancy on Council

Policy Type: Governance	Policy Number: GP3.3
Approval Date: June 7, 2014	Scheduled Review: Annually in June
Revised Date(s): Sep 16, 2023	

### Policy Statement

Council may fill a vacancy on Council created by a Regulated Council member's resignation or removal.<sup>36</sup> A Council appointment to fill a vacancy on Council is in effect until the next Council Application and Appointment, at which time, the position will be included in the Council Application and Appointment process. Provided that there is a quorum of Council members, failure to fill a vacancy does not prevent Council from conducting business.

### Indicators

Council will:

- determine any competencies that would complement Council needs;
- direct the Governance Committee to solicit letters of intent from interested candidates, particularly those who can fill the identified competencies;
- consider the letters of intent received by the Governance Committee; and
- make a selection based upon pre-established criteria and appoint a suitable candidate. Failure to identify and appoint a suitable candidate does not affect the ability of Council to carry out the business of Council and the College until a suitable candidate is found.

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<sup>36</sup> CADA Bylaws, s.4(10)

## Council Business

# Rebalancing Council Terms

Policy Type: Governance	Policy Number: GP3.4
Approval Date: September 17, 2022	Scheduled Review: Annually in June
Revised Date(s): May 27, 2023; Sep 16, 2023	

## Policy Statement

At times, vacancies, resignations or terminations from Council result in Regulated Member Council member terms becoming unbalanced. This can negatively affect Council's ability to govern effectively.

The purpose of Bylaw 3 Term of Office is to allow Council to rebalance terms so that up to two Regulated Member Council member positions open for appointment or re-appointment any given year. This will allow council to ensure continuity if several terms are scheduled to end at the same time.

## Indicators

Council will:

- give preference to requesting a Regulated Member Council member to stay on for one additional year to balance terms; or
- appoint new Regulated Member Council members for one- or two-year terms rather than the customary three-year term;
- only alter terms of an individual Regulated Member Council member by extending or shortening their term by two years or less and only one time during their two consecutive terms permitted in Bylaws;
- only use this authority if necessary; and
- track any change in terms and eligibility for re-appointment for individual Regulated Member Council members.



## GP4 Council Committees

### Committees Generally

Policy Type: Governance	Policy Number: GP4.1
Approval Date: June 7, 2014	Scheduled Review: Annually in September
Revised Date(s): Nov 28, 2015; Sep 9, 2017; Sep 12, 2020	

## Policy Statement

The Council appoints committees to assist with carrying out the work of the College.

### **AUTHORITY**

Except where specific decision-making authority is provided in the Act, the Bylaws or these policies, Council committees report and make recommendations for Council consideration.

### **FUNCTION**

- Committees exist to complement the work of Council.
- The Terms of Reference for each committee describe the specific functions, responsibilities, composition of the committee, and accountability to Council.
- Council may assign additional functions to committees as the need arises.

### **RELATIONSHIP TO STAFF**

- The Registrar & CEO may assign staff to provide administrative assistance to committees. These staff remain accountable to the Registrar & CEO.
- Staff assigned to committees have no vote on committee decisions.
- Committees and committee members do not direct staff.

### **COMMITTEE MEETINGS**

- Committees will follow the Council Code of Conduct.<sup>37</sup>
- Committees will develop an annual work plan based on their Terms of Reference.
- The committee Chair will determine the times, dates and methods of meetings (e.g., electronic, teleconference, in-person).
- Committees will make decisions by consensus and/or majority vote.
- Committees will keep records of their meetings.
- Committees will report and make recommendations to Council.

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<sup>37</sup> GP2.3

# Council Committees

## Statutory/Regulatory and Governance Committees

Policy Type: Governance	Policy Number: GP4.2
Approval Date: June 7, 2014	Scheduled Review: Annually in September
Revised Date(s): Sep 9, 2017; Sep 7, 2019; Sep 12, 2020; May 27, 2023; Sep 16, 2023; Mar 2, 2024	

### Statutory/Regulatory Committees

The Act authorizes the Council to appoint committees<sup>38</sup> to support the regulatory function of the College. Pursuant to the Act, the Regulation and the Bylaws, the Council appoints regulated members in good standing to the Registration Committee, the Competence Committee and the Hearing Tribunal and Complaint Review Committee roster. Due to the provisions in the Act that decisions of statutory/regulatory committees may be appealed to Council, except for the Appeals Committee, Council members will not sit on statutory/regulatory committees.

### Governance Committees

The Council appoints governance committees to facilitate the work of Council.<sup>39</sup> In considering committee appointments, Council will look for attributes, competencies and experiences that will complement the work of Council. Governance Committees have an advisory role and do not speak for or make decisions on Council's behalf unless delegated a power or duty in their terms of reference.

### Indicators

Council may:

- appoint Regulated Members, non-members and others, such as subject matter experts, in Council's sole discretion, to committees; and
- make appointments to fill vacancies on committees.

Committees will:

- provide reports to Council;
- make decisions on matters as authorized in the Act, Regulation, Bylaws and the committee's Terms of Reference;
- provide recommendations to Council;
- meet as necessary to carry out the committee's work;
- abide by the legislation, Code of Ethics, Standards of Practice, Council governance policies; and

<sup>38</sup> *Health Professions Act* (2000), s.9, 10

<sup>39</sup> CADA Bylaws, s.28(1)

- respect the accountabilities, roles and responsibilities of Council and the administration.

Committee Members will:

- enter into a volunteer agreement with the College;
- always conduct themselves in a professional manner;
- immediately declare and disqualify themselves if a conflict of interest, real or perceived, is identified by themselves or others;<sup>40</sup>
- complete all work in a timely manner;
- participate in Committee meetings including discussions, assignments and research;
- focus on the College's mandate in the Act, the Regulation, the Bylaws, College Mission, Vision and Values and the committee's Terms of Reference; and
- respect the decisions of Council on recommendations from the committee.

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<sup>40</sup> GP2.3

# Council Committees

## Council Statutory Committees

Policy Type: Governance	Policy Number: GP4.3
Approval Date: June 7, 2014	Scheduled Review: Annually in September
Revised Date(s): Apr 11, 2015; Sep 9, 2017; Sep 7, 2019; Sep 12, 2020; Nov 28, 2020	

## Registration Committee (Statutory)

### Terms of Reference

#### PURPOSE

This Statutory Committee is established under the authority of the Act<sup>41</sup> and other legislative references. This committee makes reports and recommendations to Council including but not limited to:<sup>42</sup>

- Terms of Reference, reviewed annually;
- establishing an annual work plan; and
- registration policies and procedures.

#### DECISION-MAKING

This Statutory Committee, by the authority granted in the Act, makes decisions regarding:

- registration applications; and
- referral to the Expert Review Panel.

#### STRUCTURE

The Council will appoint a regulated member to chair this committee. At least two additional regulated members will be part of this committee.

#### COMPETENCIES

Committee members will:

- respect and honour confidentiality;
- remove themselves from committee work if real or perceived conflicts of interest occur;
- understand the requirements of the Act, Regulation, Standards of Practice, Code of Ethics, Bylaws and relevant policies;
- be able to review several documents and identify conflicts, overlap and gaps;
- be strong supporters of the role of the College and the profession of dental assisting; and
- if available attend Council governance training sessions.

<sup>41</sup> Health Professions Act (2000), s.9

<sup>42</sup> CADA Bylaws, s.11

## **MEETINGS**

The committee will meet as necessary:

- to facilitate document and policy reviews;
- to review registration applications inconsistent with existing policies and procedures; and
- to consider referrals to the Expert Review Panel.

Meetings may be in person or conducted by electronic means.

## **AUTHORITY AND REPORTING**

The committee has the authority to make decisions as authorized in the legislation, Bylaws and supporting policies. The committee reports and makes recommendations to Council on policy.

## **EFFECTIVE**

These Terms of Reference are effective upon Council approval and may be altered or rescinded in whole or in part by Council decision.

## Council Committees

### Council Statutory Committees

Policy Type: Governance	Policy Number: GP4.4
Approval Date: June 7, 2014	Scheduled Review: Annually in September
Revised Date(s): Apr 11, 2015; Nov 24, 2018; Sep 7, 2019; Sep 12, 2020; May 27, 2023	

### Competence Committee (Statutory)

#### Terms of Reference

##### PURPOSE

This Statutory Committee is established under the authority of the Act<sup>43</sup> and other legislative references. This committee makes reports and recommendations to Council including but not limited to:<sup>44</sup>

- Terms of Reference, reviewed annually;
- establishing an annual work plan; and
- Continuing Competence Program policies and procedures.

##### DECISION-MAKING

This Statutory Committee, by the authority granted in the Act, makes decisions regarding:

- Continuing Competence Program audit submissions.

##### STRUCTURE

The Council will appoint a regulated member to chair this committee. A minimum of two additional regulated members will be appointed to this committee by Council.

##### COMPETENCIES

Committee members will:

- respect and honour confidentiality;
- remove themselves from committee work if real or perceived conflicts of interest occur;<sup>45</sup>
- understand the requirements of the Act, Regulation, Standards of Practice, Code of Ethics, Bylaws and relevant policies;
- review several documents and identify conflicts, overlap and gaps;
- be strong supporters of the role of the College and the profession of dental assisting;
- be willing to learn more about the legislation and regulatory obligations facing the College; and
- if available attend Council governance training sessions.

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<sup>43</sup> Health Professions Act (2000), s.10

<sup>44</sup> CADA Bylaws, s.21

<sup>45</sup> GP2.3

## **MEETINGS**

The committee will meet as necessary:

- to facilitate document and policy reviews.

Meetings may be in person or conducted by electronic means.

## **AUTHORITY AND REPORTING**

The committee has the authority to make decisions as authorized in the Act. The committee reports and makes recommendations to Council on policy and projects.

## **EFFECTIVE**

These Terms of Reference are effective upon Council approval and may be altered or rescinded in whole or in part by Council decision.

## Council Committees

### Council Statutory Committees

Policy Type: Governance	Policy Number: GP4.5
Approval Date: June 7, 2014	Scheduled Review: Annually in September
Revised Date(s): Sep 9, 2017; Sep 12, 2020; Nov 26, 2022	

### Complaint Review Committee (Statutory)

#### Terms of Reference

##### PURPOSE

Complaint Review Committees (CRC) have two purposes under the Act.

- (1) A CRC is appointed by the Hearings Director following an Alternative Complaint Resolution (ACR) process to review the proposed settlement. As part of this review, the CRC may:
  - (a) review the records and the proposed settlement; and
  - (b) require any of the following to appear before it to answer questions regarding the proposed settlement:
    - (i) the Complainant;
    - (ii) the Investigated Person;
    - (iii) the Regulated Member of the College who participated in or conducted the ACR process.

The CRC may then:

- (a) ratify the settlement;
- (b) amend the settlement with the consent of the Complainant and the Investigated Person and then ratify the amended settlement; or
- (c) refuse to ratify the settlement.<sup>46</sup>

The CRC must notify the Complaints Director of its actions.

- (2) A CRC is appointed by the Hearings Director if a complainant requests a review of a decision by the Complaints Director to dismiss a complaint. The Hearings Director will provide the application for review and the Investigation Report to the CRC.

The CRC may take submissions in written and/or oral format from the Complainant and the Investigated Person.

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<sup>46</sup> *Health Professions Act* (2000), s.60



The CRC must, within the time set out in the Act, review the Investigation Report and:

- (a) refer the matter to the Hearings Director to schedule a hearing;
- (b) direct the Complaints Director to conduct or appoint an investigator to conduct a further investigation; or
- (c) confirm the dismissal.

The CRC must provide a written decision with reasons to the Complainant and the Investigated Person.<sup>47</sup>

## **STRUCTURE**

A CRC is established by the Hearings Director from a roster of Regulated Members in Good Standing, as approved by Council. A CRC consists of at least two (2) Registered Dental Assistants in Good Standing from the College roster and the number of Public Members required under the Act appointed from the roster established by the Provincial Government. Note: Any roster member with previous knowledge of the matter and/or participants in the scheduled CRC may not sit as a member of the CRC for that particular matter.

## **ROSTER ELIGIBILITY**

To be eligible to be appointed to the College's roster a Regulated Member:

- must be on the General Register;
- must be in good standing;
- must have a valid practice permit;
- must have a minimum of three years of regulated dental assisting practice;
- must reside in Alberta;
- must not currently, or within the most recent two years, hold a position as an officer, director, executive member or similar position in a professional association, union or bargaining unit that represents members of the dental assisting profession; and
- must not have been an investigated person under Part 4 of the Act.

## **COMPETENCIES**

The CRC will:

- respect and honour confidentiality;
- remove themselves if a conflict of interest, real or perceived, may exist;
- consider evidence with a fair and open mind;
- demonstrate excellent understanding of the dental assisting profession;
- understand legislation; and
- demonstrate clear, reasonable thought processes and excellent written and verbal communication skills.

## **MEETINGS**

CRCs are appointed as necessary.

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<sup>47</sup> *Health Professions Act* (2000), s.68

## **TERM**

Subject to the Act, CRCs serve until the matter is completed. Regulated Members appointed to the roster may remain on the roster until they choose to remove themselves or fail to meet any roster eligibility requirement. The roster will be reviewed annually for eligibility and willingness to continue to serve.

A person on the roster who ceases to meet any roster eligibility requirement will be removed from the roster:

- immediately if they are not part of an ongoing matter;
- immediately if required by the Act; or
- when all ongoing matters they are part of are complete.

Anyone removed from the roster may re-apply when they meet all eligibility requirements.

## **AUTHORITY**

The CRC makes decisions as authorized in the Act.

## **EFFECTIVE**

These Terms of Reference are effective upon Council approval and may be altered or rescinded in whole or in part by Council decision.

# Council Committees

## Council Statutory Committees

Policy Type: Governance	Policy Number: GP4.6
Approval Date: June 7, 2014	Scheduled Review: Annually in September
Revised Date(s): Sep 9, 2017; Sep 7, 2019; Sep 12, 2020; Nov 26, 2022	

## Hearing Tribunal (Statutory)

### Terms of Reference

#### PURPOSE

Hearing Tribunals hold hearings pursuant to the Act<sup>48</sup> on matters of unprofessional conduct and:

- may request an expert to assess and prepare a written report on any matter relevant to the subject matter of the hearing;<sup>49</sup>
- will hear evidence;
- will decide that the conduct of the investigated person is or is not unprofessional conduct, as defined in the Act;<sup>50</sup>
- may make orders when the conduct of the investigated person constitutes unprofessional conduct;<sup>51</sup> and,
- must produce written decisions with reasons.<sup>52</sup>

#### STRUCTURE

A Hearing Tribunal is established by the Hearings Director from a roster of Regulated Members in Good Standing approved by Council. A Hearing Tribunal consists of at least two (2) Registered Dental Assistants in Good Standing from the College roster and the number of Public Members required under the Act appointed from the roster established by the Provincial Government. Note: Any roster member with previous knowledge of the matter and/or participants in the hearing may not sit as a member of the hearing tribunal for that particular matter.

#### ROSTER ELIGIBILITY

To be eligible to be appointed to the College's roster a Regulated Member:

- must be on the General Register;
- must be in good standing;
- must have a valid practice permit;
- must have a minimum of three years of regulated dental assisting practice;

<sup>48</sup> Health Professions Act (2000), s.17

<sup>49</sup> Health Professions Act (2000), s.79

<sup>50</sup> Health Professions Act (2000), s.80

<sup>51</sup> Health Professions Act (2000), s.82

<sup>52</sup> Health Professions Act (2000), s.83

- must reside in Alberta;
- must not currently, or within the most recent two years, hold a position as an officer, director, executive member or similar position in a professional association, union or bargaining unit that represents members of the dental assisting profession; and
- must not have been an investigated person under Part 4 of the Act.

## **COMPETENCIES**

The Hearing Tribunal members will:

- respect and honour confidentiality;
- remove themselves if a conflict of interest, real or perceived, may exist;
- consider evidence with a fair and open mind;
- demonstrate excellent understanding of the dental assisting profession;
- understand legislation; and
- demonstrate clear, reasonable thought processes and excellent written and verbal communication skills.

## **MEETINGS**

Hearing Tribunals convene only as necessary.

## **TERM**

Subject to the Act, Hearing Tribunals serve until completion of the matter. Regulated Members appointed to the roster may remain on the roster until they choose to remove themselves or fail to meet any roster eligibility requirement. The roster will be reviewed annually for eligibility and willingness to continue to serve.

A person on the roster who ceases to meet any roster eligibility requirement will be removed from the roster:

- immediately if they are not part of an ongoing matter;
- immediately if required by the Act; or
- when all ongoing matters they are part of are complete.

Anyone removed from the roster may re-apply when they meet all eligibility requirements.

## **AUTHORITY**

The Hearing Tribunal makes decisions and makes orders as authorized in the Act.

## **EFFECTIVE**

These Terms of Reference are effective upon Council approval and may be altered or rescinded in whole or in part by Council decision.

# Council Committees

## Council Statutory Committees

Policy Type: Governance	Policy Number: GP4.6.1
Approval Date: September 16, 2023	Scheduled Review:
Revised Date(s): Mar 2, 2024	

### Appeals Committee of Council (Statutory)

#### Terms of Reference

##### PURPOSE

The Appeals Committee is a panel of Council that hears appeals of decisions under Part 2 and Part 4 of the Act. The Appeals Committee of Council will, when designated by Council:

- carry out the duties and powers of Council under section 31 of the Act;
- carry out the duties and powers of Council under section 41 of the Act;
- carry out the duties and powers of Council under sections 87 to 89 of the Act;
- carry out the duties and powers of Council under section 93 of the Act; and
- carry out the duties and powers of Council under sections 118(6) to 118(8) of the Act; and,
- must produce written decisions with reasons.<sup>53</sup>

##### STRUCTURE

Council will designate an Appeals Committee roster of six (6) Council members, three (3) of whom must be Regulated Members of Council and three (3) of whom are Public Members of Council. Council will appoint a Chairperson for the Appeals Committee.

Upon receiving Notice of Appeal from the Hearings Director or the Registrar & CEO, the Chairperson of the Appeals Committee will appoint a panel consisting of two (2) Regulated Members of Council and two (2) Public Members of Council from the Appeals Committee roster. The Chairperson of the Appeals Committee may serve on the panel if there is no conflict of interest.

##### ROSTER ELIGIBILITY

To be eligible to be appointed to the Appeals Committee of Council, each appointee must be a current member of Council. The Chair of Council is not eligible to serve on the Appeals Committee because the Chair is designated by Council to act under s. 65(1) and 86(1), which may result in a conflict of interest.

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<sup>53</sup> Health Professions Act (2000), s.83

## **COMPETENCIES**

The Appeals Committee members will:

- respect and honour confidentiality;
- remove themselves if a conflict of interest, real or perceived, may exist;
- consider evidence with a fair and open mind;
- demonstrate excellent understanding of the dental assisting profession;
- understand legislation; and
- demonstrate clear, reasonable thought processes and excellent written and verbal communication skills.

## **MEETINGS**

The Appeals Committee convenes only as necessary.

## **TERM**

The Appeals Committee members will be appointed for a one-year term but may serve more than one term while on Council. An Appeals Committee panel may continue to serve to the end of a matter even if their Council term ends while the matter is ongoing.

Terms on the Appeals Committee end when the Council term ends unless a matter is ongoing, in which case, the committee members hearing the appeal will serve until the matter concludes.

## **AUTHORITY**

The Appeals Committee makes decisions and makes orders as authorized in the Act.

## **EFFECTIVE**

These Terms of Reference are effective upon Council approval and may be altered or rescinded in whole or in part by Council decision.

# Council Committees

## Council Governance Committees

Policy Type: Governance	Policy Number: GP4.7
Approval Date: June 7, 2014	Scheduled Review: Annually in September
Revised Date(s): Apr 11, 2015; Sep 9, 2017; Sep 8, 2018; Sep 7, 2019; Sep 12, 2020; May 27, 2023; Sep 16, 2023; Mar 2, 2024	

### Governance Committee (Governance)

#### Terms of Reference

##### PURPOSE

This Standing Committee,<sup>54</sup> as referenced in the Bylaws, makes reports and recommendations to Council including but not limited to:

- Terms of Reference, reviewed annually;
- development of an annual work plan;
- review Bylaws to ensure compliance with legislation and leading practices in Bylaws and governance;
- review Governance Policies for effective and efficient governance;
- review governance practices for effectiveness, transparency and focus on Mission, Vision and Values;
- develop and implement the process for Council, Council member, and Officer performance review specified in GP2.5;
- develop and implement the process for Registrar & CEO performance and compensation review;
- develop and implement process for volunteer recruitment and selection; and
- recruit committee members.

##### STRUCTURE

The committee will consist of the Vice-Chair Governance and Regulation as chair, and at least two additional Council members. At Council's sole discretion, a person who is not a Council member may be appointed by Council to sit on the committee.

##### COMPETENCIES

Committee members will:

- respect and honour confidentiality;
- remove themselves from committee work if real or perceived conflicts of interest occur;<sup>55</sup>
- understand the requirements of the Act, Regulation, Standards of Practice, Code of Ethics, Bylaws and relevant policies;

<sup>54</sup> CADA Bylaws, s.28

<sup>55</sup> GP2.3

- be able to review several documents and identify conflicts, overlap and gaps;
- be strong supporters of the role of the College and the profession of dental assisting; and
- recognize leadership characteristics and potential in recruits for committees.

## **MEETINGS**

The committee will meet as necessary:

- to facilitate document reviews;
- to facilitate Council, Council member, and Registrar & CEO performance reviews; and
- to recommend committee appointments.

Meetings may be in person or conducted by electronic means.

## **CONFLICT OF INTEREST**

When a committee member is considering applying for a committee appointment, the committee member must temporarily withdraw from the Governance Committee until the committee appointment has been decided by Council.

## **TERM**

Committee members will be appointed for a one-year term but may serve more than one term while on Council.

## **AUTHORITY AND REPORTING**

The committee reports to Council at the completion of document reviews, performance reviews and at any time Council requests a report.

The committee brings recommendations to Council for consideration.

## **EFFECTIVE**

These Terms of Reference are effective upon Council approval and may be altered or rescinded in whole or in part by Council decision.



## Council Committees

### Council Governance Committees

Policy Type: Governance	Policy Number: GP4.7.1
Approval Date: May 28, 2022	Scheduled Review: Annually in September
Revised Date(s):	

### Appointment Committee (Governance)

#### Terms of Reference

##### PURPOSE

This Standing Committee,<sup>56</sup> as referenced in the Bylaws, carries out the application review and interview process to make recommendations to Council for appointment of regulated members to serve on Council.

##### STRUCTURE

The committee will consist of one regulated Council member whose term is not expiring during the current appointment cycle, one Public Member Council member, and one additional regulated member at large appointed by Council. Council will appoint a Chair from among the Committee Members. Decisions will be made by consensus, however, where consensus cannot be reached, decisions will be made by simple majority vote.

##### COMPETENCIES

Committee members will:

- respect and honour confidentiality;
- understand the requirements of the Act, Regulation, Standards of Practice, Code of Ethics, Bylaws and relevant policies;
- understand the role of Council and the competencies required to fill gaps and strengthen Council decision making;
- be able to ask inciteful and probing interview questions;
- be strong supporters of the role of the College and the profession of dental assisting;
- recognize leadership characteristics and potential in candidates for Council; and
- be strong and effective communicators.

##### MEETINGS

The committee will meet as necessary:

- to review the applications received;
- to interview suitable candidates; and
- to make recommendations to Council for regulated member appointments to serve on Council.

Meetings may be in person or conducted by electronic means.

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<sup>56</sup> CADA Bylaws, s.28

## **CONFLICT OF INTEREST**

Where a regulated member Council member's term is expiring and they are considering applying for another term, they will not be eligible to serve on this committee.

Committee members may not be currently, nor within the most recent two (2) years, engaged on the board or in senior leadership roles in an association that provides services to dental assistants and shall not be a labour or union representative in an organization that represents dental assistants or negotiates on their behalf.

## **TERM**

Committee members are appointed annually by Council and serve only until their recommendations have been accepted by Council. Each member of the committee may apply to serve again providing no conflict of interest exists.

## **AUTHORITY AND REPORTING**

The committee reports to Council at the completion of the interview process with a slate of recommended candidates for appointment to Council.

The committee brings recommendations to Council for consideration.

## **EFFECTIVE**

These Terms of Reference are effective upon Council approval and may be altered or rescinded in whole or in part by Council decision.

# Council Committees

## Council Governance Committees

Policy Type: Governance	Policy Number: GP4.8
Approval Date: June 7, 2014	Scheduled Review: Annually in September
Revised Date(s): Apr 11, 2015; Sep 9, 2017; Sep 8, 2018; Sep 7, 2019; Sep 12, 2020; May 27, 2023; Sep 16, 2023; Mar 2, 2024	

### Finance, Risk Management and Audit Committee (Governance)

#### Terms of Reference

##### PURPOSE

This Standing Committee<sup>57</sup> has an oversight function. This committee does not determine operational policies, but provides reports and recommendations to Council including, but not limited to:

- Terms of Reference, reviewed annually;
- develop annual work plan;
- review and, if necessary, make recommendations to Council regarding the College risk management program;
- review and recommend annual operating budget prepared by management including staff compensation, professional development and achieving the strategic plan goals;
- oversee the integrity of operational systems including financial, human resources and risk management;
- review and, if necessary, recommend policies for human resource management, financial administration, information technology, security, capital acquisition and asset management;
- monitor trends in revenue and expenses;
- monitor compliance with legislation including, but not limited to, employment standards, occupational health and safety, privacy and human rights;
- review audited statements with financial auditors;
- recommend appointment of auditor<sup>58</sup> annually; and
- provide observations to the Governance Committee regarding Council structure and functioning.

##### STRUCTURE

This committee will consist of the Vice-Chair Finance and Risk Management as chair, and at least two additional Council members. At Council's sole discretion, a person who is not a Council member may be appointed by Council to sit on the committee.

<sup>57</sup> CADA Bylaws, s.28

<sup>58</sup> A.GP7.1C Annual Assessment of External Auditor

## **COMPETENCIES**

Committee members will:

- respect and honour confidentiality;
- remove themselves from committee decision if real or perceived conflicts of interest arise;
- understand the requirements of the Act, Regulation, Standards of Practice, Code of Ethics, Bylaws and relevant policies;
- understand budgets;
- understand financial statements;
- understand how environmental scans may be used to identify trends;
- be able to analyse systems for strengths and weaknesses, identify remedies; and
- demonstrate good communication skills.

## **MEETINGS**

The chair will call meetings as necessary:

- to review the proposed budget;
- to review the audited financial statements;
- to discuss operational systems and policies; and
- to discuss the needs of the organization for risk management strategies.

Meetings may be in person or conducted by electronic means.

## **TERM**

Committee members will be appointed for a one-year term but may serve more than one term while on Council.

## **AUTHORITY AND REPORTING**

The committee receives its authority from Council and will report to Council at least annually on the overall finance and audit, and risk management strategies of the College and the effectiveness of the risk management systems. The committee may make observations/recommendations regarding human resource policies to the Registrar & CEO and if necessary Council.

## **EFFECTIVE**

These Terms of Reference are effective upon Council approval and may be altered or rescinded in whole or in part by Council decision.

## Council Committees

### Council Governance Committees

#### Registrar Performance Management Committee - RESCINDED

Policy Type: Governance	Policy Number: GP4.9
Approval Date: June 7, 2014	Scheduled Review:
Revised Date(s): Apr 11, 2015; Sep 9, 2017; Sep 12, 2020	
RESCINDED September 16, 2023	

# Council Committees

## Council Governance Committees

Policy Type: Governance	Policy Number: GP4.10
Approval Date: September 12, 2020	Scheduled Review: Annually in September
Revised Date(s): Sep 17, 2022; May 27, 2023; Sep 16, 2023; Mar 2, 2024	

### Program Approval Committee (Governance)

#### Terms of Reference

##### PURPOSE

This Standing Committee<sup>59</sup> makes reports and recommendations to Council with respect to:

- Terms of Reference, reviewed annually;
- annual work plan;
- review and recommend dental assisting education principles and program approval policies and procedures;
- recommend granting an approval status to an Alberta-located dental assisting education program, re-entry program or advanced practice course;
- monitor provisionally approved and approved dental assisting education programs, re-entry programs and advanced practice courses are routinely assessed for compliance with the dental assisting education principles and program approval policies;
- recommend removal of an approval status from a dental assisting education program, re-entry programs and advanced practice courses; and
- other work as assigned by Council.

##### STRUCTURE

This committee will consist of a chair appointed by Council and at least two (2) regulated members of the College and may include two (2) or more committee members who are not regulated members of the College, but have appropriate experience and training in curriculum review and adult education methodology. All committee members are appointed by Council. Subject matter experts may be consulted as needed within the budget and scope of work for this committee.

##### ELIGIBILITY

A person is not eligible to be appointed to the Program Approval Committee if they are currently or have been within the most recent two (2) years, an employee of an Alberta dental assisting program or any dental assisting program of a national organization whose dental assisting program is also delivered in Alberta.

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<sup>59</sup> CADA Bylaws, s.28

## COMPETENCIES

Committee members will:

- respect and honour confidentiality;
- remove themselves from committee work if real or perceived conflicts of interest occur;<sup>60</sup>
- demonstrate clear, reasonable thought processes and excellent written and verbal communication skills;
- be able to analyse systems for strengths and weaknesses, identify remedies;
- be able to review several documents and identify conflicts, overlap and gaps; and
- be strong supporters of the role of the College.

Committee members may:

- have experience and/or training in educational methodology; and
- have recent experience in a clinical setting.

## MEETINGS

The committee will meet as necessary:

- to facilitate principle, policy, procedure and document reviews;
- to assess and make recommendations on program and course approval submissions;
- to assess monitoring submissions; and
- to consider referrals to the subject matter experts.

Meetings may be in person or conducted by electronic means.

## TERM

Committee members are appointed for a three-year term. To balance committee member terms and ensure continuity, one or more committee appointments may be extended for one year. The roster will be reviewed annually to confirm eligibility and willingness to serve. Committee members that are part of an on-going assessment regarding application for approval, maintaining and/or removal at the time their appointment ends may continue until the decision regarding that assessment has been made.

## AUTHORITY AND REPORTING

The committee reports to Council at the completion of Program Approval and monitoring reviews, and at any time Council requests a report.

The committee brings recommendations to Council for consideration.

## EFFECTIVE

These Terms of Reference are effective upon Council approval and may be altered or rescinded in whole or in part by Council decision.

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<sup>60</sup> GP2.3

## Council Committees

### Council Ad Hoc Working Groups

Policy Type: Governance	Policy Number: GP4.11
Approval Date: June 7, 2014	Scheduled Review: Annually in September
Revised Date(s): Sep 12, 2020	

## Policy Statement

Special projects, research or work will normally be assigned to Council Governance Committees or Statutory Committees. In extraordinary circumstances, Council may appoint *ad hoc* working groups to complete the work, report and bring recommendations to Council as appropriate.<sup>61</sup>

## Indicators

- (1) Council will appoint members with the appropriate expertise to accomplish the mandate of the *ad hoc* working group.
- (2) Council will approve the Terms of Reference which will include the purpose, structure and composition of the *ad hoc* working group as well as the reporting requirements. The *ad hoc* working group will be appointed for a definite period of time as determined by Council.
- (3) Council will appoint a chair for the *ad hoc* working group, always a Council member.
- (4) The *ad hoc* working group will establish a working plan and assign tasks.
- (5) The *ad hoc* working group will meet as necessary to complete the assignment.
- (6) Council will disband the *ad hoc* working group when the assignment has been completed and a report to Council has been prepared.

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<sup>61</sup> CADA Bylaws, s.28(9)



## Council Committees

### Removal from Committee Appointments

Policy Type: Governance	Policy Number: GP4.12
Approval Date: June 7, 2014	Scheduled Review: Annually in September
Revised Date(s): Sep 9, 2017; Sep 12, 2020; May 27, 2023	

### Policy Statement

The Council may remove a committee member by majority vote.<sup>62</sup> Except in egregious matters such as illegal or endangering acts, a progressive discipline model will apply.

### Indicators

Council may consider the removal of a committee member when:

- the individual misses three consecutive meetings;
- the individual continually fails to complete assigned tasks in a reasonable timeframe;
- the committee to which the individual has been appointed raises significant concerns about the individual's focus on the College mandate and committee purpose;
- the committee raises concerns about the individual's conduct or competence;
- the individual breaches confidentiality;
- the individual refuses to remove themselves from discussion and decision-making when there is real or perceived conflict of interest or bias;
- the individual conducts themselves in a manner that brings the College or Council into disrepute; or
- the individual jeopardizes the focus and function of the College with a non-regulatory agenda.

### PROCESS

The Chair and Vice-Chair Governance and Regulation will:

- receive the concern from the Committee Chair;
- bring the issue to the individual's attention in private and allow them to present their position;
- discuss with the individual remediation expectations and timeframes;
- ensure mentorship and guidance is provided where applicable;
- receive reports from the mentor and individual on progress;
- report to Council and receive Council feedback if remediation is not meeting expectations;
- document the process followed; and
- report to Council with recommendation for removal if a resolution cannot be met within the timeframe agreed upon.

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<sup>62</sup> CADA Bylaws, s.28(2)

## **COMPLAINTS AGAINST COMMITTEE MEMBERS**

A person may make a complaint regarding the conduct of a committee member to the Council Chair, if the committee member has been found guilty of an offence under the Criminal Code of Canada or if the committee member is or has been engaged in any conduct or activity that undermines the College or its objectives.

### **Procedure**

- A complaint regarding a committee member must be in writing and signed. The complainant must provide their own current contact information with the signed complaint.
- The complaint must be addressed to the Council Chair.
- The Chair will provide the committee member who is the subject of the complaint with the allegations and invite a written response from the committee member within seven (7) days. If necessary, an inquiry may be conducted by an external investigator.
- The Chair will review the information and bring the complaint and information to Council's attention. Council may decide on remedial actions or vote to rescind the committee appointment, depending on the conduct in question.

## GP5 Council / Third-Party Relationships

Policy Type: Governance	Policy Number: GP5.1
Approval Date: June 7, 2014	Scheduled Review: Annually in February
Revised Date(s): Apr 11, 2015; Feb 6, 2016; Feb 11, 2017; Feb 29, 2020	

### Policy Statement

Council may establish relationships with other organizations when these relationships support the regulatory mandate and function of the College. The Council, at its sole discretion, will determine if an organization's goals support the College's mandate.

### Guiding Principles

An established relationship will clearly support or enhance:

- public protection and the role of the College to regulate the profession in the public interest;
- regulation of dental assistants;
- improved access to care (public interest);
- dental assistant education/entry-to-practice (Program Approval);
- Standards of Practice and/or the Code of Ethics; and
- Council continuing professional development such as, but not limited to governance training, expert guidance and best practices.

### INDICATORS

- An organization desiring to establish a relationship with the College will submit a written proposal relating the regulatory value of the proposed relationship and the outcomes, expectations and opportunities anticipated.
- An organization may request, or Council may ask an organization to make a presentation to Council about a proposed relationship.
- Council will consider the expectations and outcomes of proposed relationships within the principles above.
- The relationships established must be formalized by contracts or Memoranda of Agreement.
- Council will formally monitor, at least annually, the outcomes of relationships to ensure they continue to meet expectations and provide regulatory value.

### Definitions

The Council will determine what constitutes an organization for the purposes of establishing relationships in accordance with pre-determined criteria.

## INDICATORS

An organization will have some formality of structure including:

- a formal name;
- a defined purpose or mission and values that are compatible with the College's regulatory mandate;
- a board or committee responsible for decision making; and
- a reporting system to stakeholders that includes financial accountability.

## Financial Matters

The College, at its sole discretion, may support organizations that enhance the regulatory function of the College through funding from the registration fees collected for regulatory purposes. This funding support would be anticipated in the annual draft budget submitted to Council for approval.

The College will not collect fees or dues on behalf of other organizations.

## INDICATORS

The Council currently supports:

- the Commission on Dental Accreditation of Canada (CDAC) by providing funding to sustain the accreditation process for dental assisting programs. The College requires all dental assisting programs in Alberta to seek and maintain accreditation through the CDAC as part of the College's program approval authority.
- the National Dental Assisting Examining Board (NDAEB). There is no on-going funding commitment to the NDAEB, however the College's Registrar & CEO is a board member of the NDAEB. The College relies on the NDAEB written and practical examinations for registration purposes.
- the Canadian Dental Assisting Regulatory Authorities (CDARA). There is no on-going funding commitment to CDARA, but the College shares the costs of the meetings of CDARA equally with the other CDARA members. The CDARAs co-operate on labour mobility initiatives.
- the Alberta Federation of Regulated Health Professions (AFRHP) and its sub-committees. The College pays an annual membership fee to the AFRHP which supports and enhances the regulation of health professions in Alberta.
- The Canadian Network of Agencies for Regulation (CNAR). The College pays an annual membership fee to CNAR which supports the advancement of regulation in Canada.
- The Council on Licensure, Enforcement and Regulation (CLEAR). The College pays an annual membership fee to CLEAR. CLEAR provides training and education in regulatory functions. CLEAR brings international perspective and trends in regulation to the fore.

## Council Expectations

The Council's expectations may be formalized in a contract or Memorandum of Agreement.

### INDICATORS

Contractual expectations include:

- financial reporting in the form of audited financial statements, or other financial instruments determined acceptable by Council, from any organization to which the College provides funding in the form of a fee for service or membership fee;
- program reporting to assess the regulatory value in the relationship with these organizations; and
- appointment of persons to board or committee positions for other organizations when appropriate and when requested to do so by the organization.

## Council Appointments to Third Parties

Council, at its sole discretion and when the Council determines the appointment to be supportive of Council's mandate, may appoint people to represent the College to third parties. The Council will determine, in collaboration with the third party, the competencies required, the term of the appointment and the expectations of the representative appointed by the College.

The Registrar & CEO is the representative to the NDAEB and CDARA consistent with the roles of these organizations. The NDAEB requires annual re-appointment to comply with the Canada *Not-for-Profit Corporations Act*.

The Registrar & CEO and the Operations Director are the representatives to AFRHP. The College may have representatives on boards of other organizations but that is not an expectation for the relationship to continue.

For other organizations, Council may call for Letters of Intent to appoint individuals to various positions. A call, if appropriate, will include a brief description of the position, the competencies required and the term of the position. Information about the time commitment and expectations from all organizations involved associated with the appointment will be available on the College website.

Council will consider the Letters of Intent and may make an appointment. If no suitable candidate is found, Council will determine their course of action in their sole discretion.

Council will ensure the appointee is oriented to the College and the role of a regulatory body. The appointee will also be oriented to their position by the third party.

Council may invite the appointee(s) to attend relevant Council and training sessions. The appointee(s) will not have voting rights on the Council.

## Removal from Appointments to Third Parties

Should removal from an appointed position be necessary, either by request of the organization to whom the person has been appointed or because of concerns of the Council and/or College, the process stated in GP 4.11 will be followed.

In the event that a third-party relationship terminates, any Council-appointed representative position associated with that relationship will end the same day as the relationship terminates.

# GP6 Council / Registrar & CEO Relationship

Policy Type: Governance	Policy Number: GP6.1
Approval Date: September 19, 2014	Scheduled Review: Annually in September
Revised Date(s): Nov 29, 2014, Feb 6, 2016; Sep 16, 2023; Nov 23, 2024	

## Introduction

Council determines the strategic direction of the College within regulatory and policy frameworks. Council sets policy on governance, finance, risk management, audit and strategic direction and budget allocations.

The Registrar & CEO manages the operations of the College within Council's policy and regulatory framework.

The Council and Registrar & CEO have a collegial and mutually supportive relationship that is reflected in open, honest communication and clearly-stated policies, directions, Motions and expectations.

## One Employee<sup>63</sup>

The Council as a whole, employs, sets expectations, determines compensation and terminates the employment for the Registrar & CEO. The Council's sole connection to the operational organization, its achievements and conduct is through the Registrar & CEO.

## Registrar & CEO Accountability

The Registrar & CEO is accountable to ensure Council is:

- fully informed of the financial condition of the College, current trends, potential changes in legislation, legal action against the College, significant internal or external changes, risk management and opportunities and changes in assumptions on which Council policies have been or may be based;
- provided with understandable, timely and relevant reports<sup>64</sup> and materials that will allow Council to determine compliance with approved policies;
- advised of emergent issues affecting the profession, College, Council, public and/or staff;
- provided with complete, wide spectrum and pertinent resources to support Council's decision-making process;
- informed of potential substantial financial expenditures beyond budget such as disciplinary matters or appeals;
- provided subject matter expertise, training, professional development opportunities and support; and
- provided complete meeting packages including agenda, reports, research and follow-up items.

<sup>63</sup> A.GP6.1A Registrar & CEO Position Description

<sup>64</sup> A.GP6.1B Registrar & CEO Reporting Schedule

## Council Accountability

- Council directs only the Registrar & CEO. All other staff responsibility and accountability is delegated through the Registrar & CEO;
- Council has a responsibility to ask questions, request information and request professional development;
- Council is responsible to provide ongoing feedback and support to the Registrar & CEO, and to undertake a review of Registrar & CEO performance and compensation; and
- Council collectively and individually maintains a collegial relationship with the Registrar & CEO.

## Council Direction

- Decisions of Council as a whole are the only decisions binding on the Registrar & CEO.
- Council will make policies that direct and support the Registrar & CEO in achieving the goals and strategic objectives of the College.
- Council members, individually and collectively, will respect and support the Registrar & CEO's choices in implementing approved Council policies.

## Performance Expectations<sup>65</sup>

As the most visible representative of the College, the Registrar & CEO is considered by regulated members and stakeholders to be a key indicator of the College and Council's performance. The Registrar & CEO's performance will be evaluated considering:

- (1) compliance with the College governance and regulatory policies and procedures, and operational policies and procedures;
- (2) accomplishment of the goals and objectives in the Strategic Plan and Operational Plan; and
- (3) conduct consistent with legislation and commonly accepted business and ethical standards (the "reasonable person" test).

## Regulatory Expectations

The Registrar & CEO will ensure:

- the College, Council, volunteers, staff and those contracted to assist or promote College work will abide by the Act, the Regulation, the Bylaws and policies approved by Council;
- comprehensive policies and procedures are developed for Program Approval, Registration, Continuing Competence, Registration and Registration Appeals and Practice Permit renewals, Standards of Practice, Code of Ethics and Discipline and Discipline Appeals;
- sufficient funds are budgeted to allow the regulatory and governance committees to meet Council expectations; and
- at least one senior manager is sufficiently knowledgeable and competent in the Act, the Regulation, the Bylaws, policies and operational systems to ensure the College continues operations in the absence of the Registrar & CEO.

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65 A.GP6.1C Registrar & CEO Performance Assessment



## Human Resources

The Registrar & CEO will:

- treat all individuals, volunteers, stakeholders and employees with fairness, dignity and respect for the individual's legal and personal rights;
- recruit, select and promote employees in a fair, objective and defensible manner;
- provide orientation and mentorship to employees;
- develop clear position descriptions for all employees;
- implement sufficient cross-training of employees to ensure business interruptions are minimized in the absence of any employee;
- develop and implement fair and effective performance appraisal policies and procedures;
- ensure each employee will participate in an annual performance appraisal fairly based on the position description and goals and objectives agreed to by the employee and the Registrar & CEO;
- conduct effective salary and benefit benchmarking, using subject matter expertise as necessary;
- seek Council approval prior to making changes to the employee compensation and benefit program;
- refrain from committing to employees any compensation, benefits or tenure beyond those identified in the employment contract and human resource policies and procedures;
- make no changes or adjustments to the Registrar & CEO compensation and benefits except as Council directs by motion;
- maintain a safe and healthy workplace;
- develop and implement human resource policies and procedures that are consistent with legislation and ethical business practices; and
- provide an avenue for employees and individuals to appeal any illegal, harmful or unethical business practices or personnel treatment to Council (Whistleblower Policy).

## Relationships with Members, Stakeholders and the Public

The Registrar & CEO will:

- clearly and effectively communicate the benefits and responsibilities of being a registered dental assistant;
- ensure comprehensive consultation on changes to Bylaws, Standards of Practice, Code of Ethics and regulatory policies and procedures;
- ensure timely, fair, consistent and respectful responses to concerns and complaints in accordance with relevant legislation;
- develop and implement internal controls, information management systems and policies and procedures that protect members' information in accordance with relevant legislation;
- develop and maintain a fair, impartial process to encourage member involvement with the College, including Council and committee participation; and
- develop and implement an effective and efficient communication/public relations plan.

## Financial Planning and Accountability

The Registrar & CEO will:

- ensure sufficient resources, financial and human, are available to meet the objectives in the Strategic Plan, Operational Plan and governance and regulatory responsibilities;
- ensure Council receives clear, accurate financial reports at least quarterly. The Registrar & CEO will ensure the Finance, Risk Management and Audit Committee receives the financial reports for review prior to each Council meeting;
- ensure adequate funds are available for Council and Committee initiatives, based on the strategic plan and the work plans;
- ensure adequate funds are available for Council and Committees to receive orientation, training and professional development opportunities;
- ensure available funds exceed short-term liabilities;
- develop and implement policies and procedures protecting the College's long-term financial stability and organizational capacity (e.g., human resources, purchasing policies, long term projects);
- ensure the annual budget anticipates reasonable expenses for the organization. The Registrar & CEO will seek Council approval for expenditures beyond budget that cannot be recouped from other budget categories and/or require accessing reserve funds;
- ensure there are two authorized signatures on all cheques and fund transfers;
- settle all accounts payable, payroll obligations and other debts in a timely manner. In the same manner, the Registrar & CEO will pursue and collect Accounts Receivables and debts owing to the College; and
- seek Council approval for any contracts or business commitments exceeding five (5) years and/or significantly impacting the budget or business practices of the College.

## Risk Management

The Registrar & CEO will ensure the College assets are protected, including:

- adequate insurance for theft, fire, casualty, liability, etc. for Council, committee members, staff, regulated members and others engaged on behalf of Council;
- segregation of duties within the office;
- implementing internal controls recommended by Council, the Finance, Risk Management and Audit Committee and the College's auditors;
- conducting research including quality, after-sales service, maintenance agreements, value, fair competition and safeguards against conflicts of interest when making purchases for the College;
- implementing security controls for intellectual property, information paper and electronic data; and
- maintaining adequate reserve funds to support the College through unforeseen loss or unanticipated expense.

## Information Management

The Registrar & CEO will:

- meet all legislative requirements for collecting, using, retaining, storing, securing, distributing and destroying electronic and paper records;
- meet legislative requirements for privacy and freedom of information; and
- develop, implement and monitor an information technology strategic plan.

## Succession Planning

The Registrar & CEO will ensure that at least one staff member is sufficiently knowledgeable and capable to carry on the business of the College in the absence of the Registrar & CEO. The Registrar & CEO will mentor a suitable candidate for consideration for the Registrar & CEO role in the event the Registrar & CEO leaves.

## Compensation

- The College provides an overall total compensation package for the Registrar & CEO which is competitive with Alberta Health Regulatory Colleges (target comparator market) while being observant of, and sustainable and accountable within the College's operating realities and its stakeholders. The College will maintain awareness and mindfulness of the practices within the comparator market and the broader marketplace as it relates to total compensation practices.
- The Council aims for total compensation to be at the median or 50<sup>th</sup> percentile of the comparator market, with the flexibility in market position to address competitive market pressures as determined from time to time through total compensation benchmarking activities. The College will conduct competitive compensation reviews no less than every three (3) years to maintain alignment with competitive market practices within the comparator market and broader market practices.
- The College's total compensation philosophy will maintain competitiveness and the ability to attract and retain a high-quality senior leader for the College who is aligned with its mission, vision, and values.
- The Council will periodically review and adjust, if warranted, total compensation program components including:
  - base compensation
  - vacation or other paid days off, benefits (traditional and non-traditional) and allowances, retirement plans or allowances, professional development, intangibles such as flexible or hybrid work arrangements, and other awards and recognition
- Any salary structure for the Registrar & CEO will be approved by the Council through recommendation of the College's Governance Committee.
- Budget for any annual base compensation increases for the Registrar & CEO will be determined annually through a combination of means including the economic performance of the organisation, market conditions, and prevailing trends in our target market. The Council will be accountable for approving any salary increase or change to the compensation structure for the Registrar & CEO.
- Compensation adjustments of the compensation structure and of the Registrar & CEO as the employee of Council are not automatic nor are they guaranteed. The Council, through its Governance Committee, will manage the compensation recommendations for the competitiveness of the Registrar & CEO salary range

structure as well as the annual salary adjustments applied to the Registrar & CEO as the employee of the Council.

- If warranted, a compensation structure adjustment, often considered as market adjustments, will be based on a competitive market review and will be linked to a balance of the broader market conditions, the College's economic conditions, and any movement within the approved comparator market. The Council will determine if there is budget to be applied to the Registrar & CEO's base salary to prevent the base salary from eroding due to the movement of the compensation structure.
- Annual salary increases (merit pay) will be based on a combination of the competitive assessment of the approved comparator market and an assessment of the Registrar & CEO's performance, work behaviours and results or outcomes, and applicable and relevant education and experience gained over a fiscal year. A foundational element of merit pay is that ongoing competence in job performance is expected, regardless of where the employee is within the salary range.

# GP7 Finance and Risk Management

## Overview

The College is regulated under the Act. As a corporation, it is governed by a Council of Regulated Members elected by the membership, and government-appointed Public Members. The Council employs a Registrar & CEO to manage the operational and regulatory functions of the College on a day-to-day basis. The Registrar & CEO employs staff to support the College's corporate, regulatory and administrative functions.

The Council is responsible to determine the Strategic Plan and the overall direction of the organization. The Registrar & CEO prepares a budget based on the Strategic Plan and Business Plan. Council approves the budget and monitors the progress on the Strategic Plan and the financial health of the College.

The College has numerous checks and balances to ensure reasonable and prudent financial oversight.

# Finance and Risk Management

## Finance

Policy Type: Governance	Policy Number: GP7.1
Approval Date: February 7, 2015	Scheduled Review: Annually in April
Revised Date(s): Mar 3, 2018; May 26, 2019; Sep 18, 2021; Nov 27, 2021; Sep 17, 2022; Mar 4, 2023; May 27, 2023; Sep 16, 2023	

### Accounts

The College maintains bank accounts to facilitate the business operations of the College. College monies are to be retained in a Canadian Chartered Bank. The Registrar & CEO is responsible for the day-to-day operations and reports regularly to Council including financial reports.

### Financial Oversight<sup>66</sup>

The Finance, Risk Management and Audit Committee will review the College financial statements, reporting and making recommendations to Council.

### Budget

The Finance, Risk Management and Audit Committee will review the proposed budget prepared annually by the Registrar & CEO. The Committee will ensure the budget aligns with the College Mission, Vision, Values and Strategic Plan established by Council. The Committee will recommend the budget for approval to Council.

### Expenditure Authorization

Council approves College expenditures by approving the annual budget. The College budget will reflect the anticipated expenditures and needs for the fiscal year. From time to time there may be expenditures or cost increases not anticipated at the time of budget approval. The Registrar & CEO may authorize unbudgeted expenditures up to \$5,000. The Registrar & CEO will report to Council the need for the unbudgeted expenditures and the account from which the funds were sourced.

Unbudgeted expenditures over \$5,000 require Council approval. Where the expense is of an urgent nature such that approval is required before the next regularly scheduled Council meeting, the Vice-Chair Finance and Risk Management, or in the absence of the Vice-Chair Finance and Risk Management, one of the other Officers of Council, must authorize payments for the unbudgeted expenditures by providing electronic confirmation of the approval on Council's behalf. Record of the Officer approval must be attached to the invoice for audit purposes. These payments may then be signed by one senior staff member and one other staff member designated by the Registrar & CEO. The Registrar & CEO will report on the expenditure at the next Council meeting, including details for the urgent nature of the approval required.

<sup>66</sup> A.GP7.1C Annual Assessment of External Auditor

The College maintains a chequing account and a savings account. The College may set up electronic fund transfers (EFT) and/or online bill payments in lieu of cheque payments. Online payments and EFTs require two approvals in the online banking system. The person who enters the online or EFT payment may not approve the payment.

## **Signing Authorities**

To reduce risk, Council designates signing authority to a limited number of people. Officers and staff have signing authority as follows: Two Officers' signatures are required on audited financial statements, Council-approved contracts (i.e., Registrar & CEO Employment Contract) and other documents as determined by Council from time to time.

College-related business contracts may be signed by the Registrar & CEO (or their designate) as determined by the Registrar & CEO from time to time.

## **Procurement**

Goods and services will be purchased/retained following the Procurement Procedures in the Operations Manual. The Registrar & CEO will ensure the process is transparent, fair and efficient in keeping with the Mission, Vision, Values and strategic direction of the College.

## **Capital Assets**

Equipment and furniture with an original purchase price representing 10% of materiality, as determined by the auditors from time to time, or more, and that is reasonably expected to have value for an extended length of time (3 years or more) will be capitalized and amortized as follows:

- computer hardware – 3 years
- equipment – 5 years
- furniture – 5 years

Each capital asset will be amortized using the straight-line method, as determined by Council from time to time.

## **Inventory**

The Registrar & CEO will maintain an inventory listing of all computer hardware, furniture and equipment and the location/user of each item. This inventory list will assist in long-term planning, insurance, and budget considerations.

## **Investments<sup>67</sup>**

The College is the Trustee of monies paid by members of the profession to regulate the profession in the public interest. As such, the College exercises caution in investing surplus revenues.

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<sup>67</sup> A.GP7.1A Investment Policy

## Reserve Funds<sup>68</sup>

The Act establishes the College as a corporation<sup>69</sup> and authorizes the College to make bylaws respecting costs, fees, levies and assessments.<sup>70</sup> The Bylaws authorize the collection and disbursements of funds to carry out the College business<sup>71</sup> and to make any necessary assessments as determined by Council.<sup>72</sup>

Council establishes Reserve Funds to ensure the business of the College will continue through revenue shortfall, unforeseen financial burden such as complex discipline issues, or uninsured/underinsured loss.

The Registrar & CEO will ensure that funds are identified to support operations, discipline and regulatory requirements such as the Treatment and Counselling Fund.

The Reserve Funds will be reported in the financial statements as internally restricted funds.

The Reserve Funds are established using surplus revenue over expenses after the fiscal year-end unless Council determines the need for other sources of funding.

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68 A.GP7.1B Reserve Funds Policy

69 *Health Professions Act* (2000) s.6

70 *Health Professions Act* (2000) s.132(1)(p)

71 CADA Bylaws s.36

72 CADA Bylaws s.34



# Finance and Risk Management

## Expenses

Policy Type: Governance	Policy Number: GP7.1.1
Approval Date: May 27, 2023	Scheduled Review: Annually in April
Revised Date(s): Mar 2, 2024; May 26, 2024	

### Purpose

This policy establishes a framework of accountability and rules to guide the oversight of College resources in reimbursement of expenses incurred in carrying out business on behalf of the College. This policy is intended to provide fair, transparent and reasonable expectations for expense reimbursement. This policy applies to Council, committee members and roster members, and College staff including the Registrar & CEO.

### Principles

Both those claiming expenses and those approving expenses will take into consideration the following principles when deciding to claim or approve expenses:

- Our main source of revenue is fees paid by applicants and registrants. Therefore, expense claims should be considered in a transparent and reasonable manner. Only legitimate and reasonable expenses will be considered.
- Expenses claimed must be necessary for carrying out the mandate, business and strategic direction of the College.
- Expenses must withstand the scrutiny of the auditors and be supported by itemized invoices/receipts.

### Eligible Expenses

The College will, when claimed with accompanying itemized receipts, reimburse:

- meals at reasonable rates
- accommodation at the rate for a Standard room
- use of personal vehicle at a rate of \$0.55 per km
- economy airfare at the flex or similar rate (changeable, but non-refundable)
- standard vehicle rental including appropriate insurance coverage and fuel consumed<sup>73</sup>
- taxis/ride share/shuttles, etc.
- parking fees
- tips/gratuities for service workers to a maximum of 20% of the service fee (20% of taxi fare, meal amount, etc.)

<sup>73</sup> Safety, time of year, distance and anticipated time length of travel will determine the most appropriate method of travel.

The College does NOT reimburse expenses for:

- alcohol
- car wash or vehicle maintenance beyond the mileage amount that may be claimed for use of personal vehicle for travel related to College business

## Important

Opportunities for professional development for staff or Council may include attendance at conferences outside of Canada. The College will not be responsible for any costs associated with travel documents or permits. Any person undertaking opportunities outside of Canada is responsible to ensure they have current documents such as passports, visas, preferred entry (Nexus or similar), appropriate health and travel insurance coverage and any other requirements in place prior to starting their travel.

## Other Supplies and Expenses

This includes telephone (limited), copying, postage, and office supplies. These will be reimbursed at cost. Any expense over \$50.00 must be pre-approved by the Registrar & CEO before purchase. Dependent care: maximum of \$50.00 per day. You must provide receipts.

## Salary Replacement

The College will reimburse lost salary incurred when conducting College business, when claimed with an accompanying signed letter from the employer attesting that the time missed was scheduled working time for the claimant, the hourly rate the employee would have been paid and the number of hours missed.<sup>74</sup> The College requires a completed TD1 form and will make all source deductions as required by Canada Revenue Agency. A T4 will be issued at year end for all wages reimbursed.

Salary replacement is not available for attending events, conferences and opportunities that are voluntary.

## Honoraria/Stipends

The College will pay an honorarium to Council, roster and committee members who attend meetings, represent the College and perform other required functions on behalf of the College. Public members who are eligible to receive a stipend from the Alberta government may not claim a stipend from the College.

You must provide a completed TD1 form. The College will deduct tax and Canada Pension Plan (CPP) remittance and issue you a T4 for your total amount claimed in a calendar year, as per Canada Revenue Agency requirements. This stipend is a token only and does not reflect an employment relationship with the College.

Honoraria may be claimed for attendance at approved events, education and conferences for the agenda (meeting/training) time. Honoraria is not eligible to be claimed for travel or personal time.

You may claim the amount in the table that corresponds to your role and amount of meeting time.

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<sup>74</sup> The College reserves the right to audit lost salary claims by contacting the employer directly to confirm claim.

<b>AMOUNT OF ATTENDANCE TIME IN A DAY</b> <ul style="list-style-type: none"> <li>meeting/function attendance time only</li> <li>travel/preparation time is not eligible<sup>75</sup></li> </ul>	<b>COUNCIL/ ROSTER/ COMMITTEE MEMBER</b>	<b>CHAIR OR MEMBER SERVING AS CHAIR</b>
up to and including 4 hours	\$115.00	\$169.00
over 4 hours and up to and including 8 hours	\$191.00	\$290.00
over 8 hours	\$306.00	\$454.00

## Expense Submissions

To make an expense claim you must:

- complete our expense claim form
- attach all receipts and/or supporting documents
- submit claims within 30 days of the date you incurred the expenses
- address your claim to the attention of your Council/ committee staff support person according to your role (your expense claim must be verified by your staff support before we will issue payment)
- submit your claim to us by mail, courier, in person or via email to registrar@abrda.ca

## Expense Authorization

Expenses incurred by the Registrar & CEO must be authorized for payment by the Chair, Vice-Chair Governance and Regulation or Vice-Chair Finance and Risk Management.

The Chair's expenses must be authorized by the Vice-Chair Finance and Risk Management or Vice-Chair Governance and Regulation.

All other expenses are to be authorized for payment by the Registrar & CEO or Registrar & CEO's delegate.

<sup>75</sup> The College applies the same rules and amounts for the honoraria that the Alberta Government applies to the stipend paid to public members for serving on Council and committees.

# Finance and Risk Management

## Risk Management

Policy Type: Governance	Policy Number: GP7.2
Approval Date: February 7, 2015	Scheduled Review: Annually in May
Revised Date(s): Sep 12, 2015; Nov 28, 2015; Sep 17, 2016; Mar 3, 2018; May 26, 2019; May 27, 2023	

### Separation of Duties

The College has established internal controls to mitigate risk. The College functions with limited staff therefore duties are separated as much as possible to protect the College and the staff.

### Contracts

The College business relationships may be defined in written contracts or letters of engagement. The Registrar & CEO is authorized by the Council to sign contracts and letters of engagement on behalf of the College and may delegate signing authority for some business relationships to an appropriate staff member.

### Insurance

The Registrar & CEO will ensure that sufficient insurance is in place to cover the needs of the College, Council, volunteers and staff. This includes commercial general liability, errors and omissions, cyber liability, etc.

The College will cover the deductible amounts for parties acting in good faith on behalf of the College.

### Fraud Prevention

The Registrar & CEO is responsible for administration of the fraud prevention program for the College. The Finance, Risk Management and Audit Committee will review the procedures at least annually and make recommendations to Council. Council has oversight responsibility for the fraud prevention program of the College.

### Business Continuity Plan

Council will ensure the College develops and maintains Business Continuity policies and procedures. The policies and procedures will include plans for continuation of business in the event of pandemic, natural disasters or other potential interruptions of business.

The Business Continuity Plan will be reviewed annually by the Finance, Risk Management and Audit Committee.

### Communication Strategy

The Registrar & CEO will develop and implement a communication strategy for the College.

## HR Policy Statements

Council will monitor the human resources policies, practices and procedures of the College through the Registrar & CEO's performance appraisal and review.

The College human resources policies, practices and procedures will conform to employment standards and privacy and human rights legislation when recruiting, selecting, engaging, promoting, disciplining and terminating employees.

Council has determined the compensation philosophy of the College. The College goal is to compensate employees at the 50th percentile of the Alberta regulated health professions colleges' compensation for similar positions. The College conducts regular market surveys and research to support compensation decisions. Council monitors the effectiveness of that philosophy during budget discussions, financial reporting and compensation benchmarking activities. Council will plan a compensation survey every five years or more frequently if economic and/or employment trends signal significant changes.

The Registrar & CEO, as the employer of staff, will develop, implement and manage policies and procedures regarding respectful workplace (e.g., harassment, conflicts, discipline), performance review, professional development and whistle-blower protection, consistent with current legislation and College mission, vision and values.

# Appendix

## A.GP1.3 Officers of Council Position Descriptions

Approval Date: February 2015	Revised Date(s): Mar 3, 2018; Sep 16, 2023; Mar 2, 2024
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### Chair: Position Description

The Chair is an Officer of Council, elected by and accountable to the Council. Acting on Council’s behalf, the Chair has an oversight role and will respect the distinction between governance and management.

The Registrar & CEO reports to Council, consistent with the “one employee” governance policy concept. The Chair works most closely with the Registrar & CEO. The Chair collaborates with the Registrar & CEO, or their delegate, to provide governance oversight of the College’s functions.

The Chair chairs the Council. The Chair ensures that Council develops a work plan, updates it annually and reviews progress at each meeting.

### COUNCIL

The Chair:

- chairs all meetings of the College and Council
- mentors Vice–Chair Governance and Regulation
- collaborates with the Vice–Chair Governance and Regulation and Vice–Chair Finance and Risk Management to provide orientation and training for Council and committees

### GOVERNANCE

The Chair:

- works with administration and/or consultants to lead strategic planning
- plans meetings of the College and Council
- may participate in individual professional development opportunities to enhance their role

### COMMUNICATIONS AND RELATIONSHIPS

The Chair:

- acts as spokesperson for the College on governance and Council matters
- communicates with Council and on behalf of Council with stakeholders
- communicates with committee chairs
- maintains collegial relationships with stakeholders including members, government, allied organizations such as the National Dental Assisting Examining Board, dental assisting education programs, regulatory colleges, Council and committees

## Vice-Chair Governance and Regulation: Position Description

The Vice-Chair Governance and Regulation is an Officer of Council, elected by and accountable to the Council. Acting on Council's behalf, the Vice-Chair Governance and Regulation has an oversight role and will respect the distinction between governance and management.

The Vice-Chair Governance and Regulation chairs the Governance Committee ("the Committee"), which is accountable to Council, consistent with the approved Terms of Reference. The Vice-Chair Governance and Regulation ensures that the Committee develops a work plan, updates it annually and reviews progress at each meeting.

The Vice-Chair Governance and Regulation supports the Chair while learning about the role of the Chair and developing relationships with Council members, Committees and the Registrar & CEO throughout the one-year term.

### COUNCIL

The Vice-Chair Governance and Regulation:

- participates with the Chair and Vice-Chair Finance and Risk Management in providing orientation and training for Council and committees
- participates with the Chair, Vice-Chair Finance and Risk Management and Registrar & CEO in meeting planning
- chairs meetings of the College and the Council in the absence of the Chair
- performs the duties of the Chair if the Chair is absent, unable or unwilling to perform the duties of Chair<sup>76</sup>
- may be elected to the position of Chair upon completion of the Vice-Chair Governance and Regulation term

### GOVERNANCE

The Vice-Chair Governance and Regulation:

- participates with Chair, administration and/or consultants in leading strategic planning
- monitors Council's adherence to strategic direction
- attends selected Finance, Risk Management and Audit Committee meetings as professional development and preparation for assuming the Chair role (budget, audit and risk management)
- may participate in individual professional development opportunities to enhance their role

### COMMUNICATIONS AND RELATIONSHIPS

The Vice-Chair Governance and Regulation:

- acts as liaison between regulatory committees and Council
- provides mentorship to committee chairs

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<sup>76</sup> CADA Bylaws, s 3(11)

## Vice-Chair Finance and Risk Management: Position Description

The Vice-Chair Finance and Risk Management is an Officer of Council, elected by and accountable to the Council. Acting on Council's behalf, the Vice-Chair Finance and Risk Management has an oversight role and will respect the distinction between governance and management.

The Registrar & CEO reports to Council, consistent with the "one employee" governance policy concept. The Vice-Chair Finance and Risk Management works with the Registrar & CEO, or their delegate.

As a result, the Vice-Chair Finance and Risk Management collaborates with the Registrar & CEO, or their delegate, to provide governance oversight of the College's finance, risk management and audit functions.

The Vice-Chair Finance and Risk Management chairs the Finance, Risk Management and Audit Committee ("the Committee"), which is accountable to Council, consistent with the approved Terms of Reference. The Vice-Chair Finance and Risk Management ensures that the Committee develops a work plan, updates it annually and reviews progress at each meeting.

### FINANCE

The Vice-Chair Finance and Risk Management will:

- Present the proposed budget to the Committee in a practical and coherent format, prior to recommendation to Council;
- Understand and explain any significant changes to budget from one year to the next, and ensures that the College develops, monitors and abides by its approved budget;
- Review the financial statements with the Operations Director;
- Present the financial statements to the Committee prior to recommending their approval to Council;
- Exercise the signing authority granted by Council by signing cheques and any other items authorized by Council; and
- Report and make recommendations to Council on behalf of the Committee, and follow through on any approved remedial action(s).

### RISK MANAGEMENT

The Vice-Chair Finance and Risk Management will:

- Lead the Committee in building a Risk Framework, identifying risks and risk mitigation strategies;
- Lead the Committee through a review of the risk management strategies and current and desired controls;
- Engage the Committee in monitoring trends in the regulatory environment, legislation, political climate, the dental industry, dental and dental assisting professions, the economy and any other socio-economic factors that could affect the risk management strategies of the College;
- Lead the Committee through development of a risk strategy on financial and non-financial matters; and
- Lead the Committee through monitoring and reporting on the effectiveness of the risk management strategy of the College.



## **AUDIT**

The Vice-Chair Finance and Risk Management will:

- Recommend an auditor<sup>77</sup> to the Committee, and then for approval to Council;
- Meet with the auditor prior to and during the audit;
- Meet with the auditor to review the audited financial statements; and
- Address questions about the audited financial statements.

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<sup>77</sup> A.GP7.1C Annual Assessment of External Auditor

## A.GP2.5A Council Performance Review

Approval Date: March 2015

Revised Date(s): Sept 2018

### Council Performance Review

Please read each of the following Council Governance Functions or governance elements and provide your evaluation of how you feel the Council fulfilled its role over the past year. The evaluation questions provide you the opportunity to rate Council's performance on a five-point rating scale. There are also opportunities for comments within each section. We encourage you to take the time to provide comments; you may want to consider ways in which Council can improve or any trends that you see within the governance elements.

#### RATING SCALE

**Very Good:** Council has mastered this area.

- consistently considers mission, vision, values, regulatory mandate, strategic priorities and budget when approaching issues and making decisions
- understands and operates within legislation, regulation, bylaws and policies

**Good:** Council functions adequately in this area.

- usually considers mission, vision, values and regulatory mandate when approaching issues and making decisions
- usually consults bylaws and policies for rules and/or procedures
- corrects errors quickly and effectively if decisions conflict with mission, vision, values, strategic priorities, budget and regulatory mandate or bylaws and policies

**Poor:** Council requires assistance to meet its responsibilities in this area.

- need reminders to return to regulatory mandate, mission, vision, values and to consult bylaws and policies
- requires help with interpretation and implementation of legislation, bylaws and policies
- requires urging from consultants and/or staff to correct errors/inappropriate decisions

**Very Poor:** Council is not effective in this area.

- fails to consider regulatory mandate or consistently conflicts with legislation, mission, vision, values, bylaws and policies
- makes decisions or takes on projects which are not consistent with the regulatory mandate, strategic priorities and budget

**Unknown:** I do not have enough information and/or experience to rate Council in this area.

Strategic Direction	Very Good	Good	Poor	Very Poor	Unknown
1. Council defines a clear strategic direction for the College. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Council is operating effectively to meet its regulatory mandate. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Council regularly monitors progress towards strategic goals and objectives. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. The strategic priorities of Council are being achieved. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Thinking of the past year, in this area Council's performance has:	Substantially Improved <input type="checkbox"/>	Improved <input type="checkbox"/>	Stayed the Same <input type="checkbox"/>	Worsened <input type="checkbox"/>	Substantially Worsened <input type="checkbox"/>
6. Please provide any suggested changes or improvements for Council in this area, or any observations or trends that you have identified.					

Policy-Based Governance	Very Good	Good	Poor	Very Poor	Unknown
7. Council maintains a current and comprehensive set of bylaws and policies. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Council effectively operates under its own bylaw and policy framework. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Council could effectively manage any organizational crisis that could be reasonably anticipated. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Council exercises oversight to ensure that the College is compliant to its bylaws and policies. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Thinking of the past year, in this area Council's performance has:	Substantially Improved <input type="checkbox"/>	Improved <input type="checkbox"/>	Stayed the Same <input type="checkbox"/>	Worsened <input type="checkbox"/>	Substantially Worsened <input type="checkbox"/>
12. Please provide any suggested changes or improvements for Council in this area, or any observations or trends that you have identified.					

Role Separation	Very Good	Good	Poor	Very Poor	Unknown
13. Council provides clear direction and goals to its Registrar & CEO. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. Council ensures that an effective performance review of its Registrar & CEO occurs annually. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. Council does not become involved in administrative or operational matters. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Council does not give direction to the staff of the College. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. Council effectively refers member inquiries and complaints on operational matters to administration. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. The role of Council's Officers is well defined and respected. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19. Thinking of the past year, in this area Council's performance has:	Substantially Improved <input type="checkbox"/>	Improved <input type="checkbox"/>	Stayed the Same <input type="checkbox"/>	Worsened <input type="checkbox"/>	Substantially Worsened <input type="checkbox"/>
20. Please provide any suggested changes or improvements for Council in this area, or any observations or trends that you have identified.					

Fiscal Leadership	Very Good	Good	Poor	Very Poor	Unknown
21. Council engages in an effective budgeting process. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22. Council regularly reviews the financial performance of the College. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23. Council assesses the information needed to ensure it is satisfied with the integrity of the College's financial records. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24. Council ensures that an effective audit process occurs. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25. Thinking of the past year, in this area Council's performance has:	Substantially Improved <input type="checkbox"/>	Improved <input type="checkbox"/>	Stayed the Same <input type="checkbox"/>	Worsened <input type="checkbox"/>	Substantially Worsened <input type="checkbox"/>
26. Please provide any suggested changes or improvements for Council in this area, or any observations or trends that you have identified.					

Council and Council Member Conduct	Very Good	Good	Poor	Very Poor	Unknown
27. Council operates in accordance with its Code of Conduct. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28. Council works together effectively as a team. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29. Council represent the interests of its stakeholders. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30. Council members are conducting themselves ethically in their role on behalf of the College. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31. Thinking of the past year, in this area Council's performance has:	Substantially Improved <input type="checkbox"/>	Improved <input type="checkbox"/>	Stayed the Same <input type="checkbox"/>	Worsened <input type="checkbox"/>	Substantially Worsened <input type="checkbox"/>
32. Please provide any suggested changes or improvements for Council in this area, or any observations or trends that you have identified.					

Other	Very Good	Good	Poor	Very Poor	Unknown
33. Council is transparent in its activities and decision making. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34. Council communicates effectively with stakeholders. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
35. Council engaged effective professional development related to its governance role. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36. Council makes decisions only once it has complete information on an issue, including engaging professional expertise when required. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
37. The council enjoys the respect of the members. How well did we do it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
38. Thinking of the past year, in this area Council's performance has:	Substantially Improved <input type="checkbox"/>	Improved <input type="checkbox"/>	Stayed the Same <input type="checkbox"/>	Worsened <input type="checkbox"/>	Substantially Worsened <input type="checkbox"/>
39. Please provide any suggested changes or improvements for Council in this area, or any observations or trends that you have identified.					

## A.GP2.5B Council Member Self-Assessment

Approval Date: March 2015

Revised Date(s): Apr 2015

### Council Member Self-Assessment

Please read each of the following and provide your evaluation of how you feel you, as a CADA Council member, are fulfilling your role. The evaluation questions provide you the opportunity to reflect on and rate your achievement of the performance expectations on a five-point scale (i.e., consistently, frequently, usually, seldom, and never).

There are also opportunities for open-ended comments within each section. We encourage you to take the time to provide comments or examples to support your reflection. There will also be a section on the ways in which you as a Council member can improve or specific training opportunities that you feel you may require or wish to take; this information will be helpful going forward for your growth and development as a Council member.

Council Member Self-Assessment	Consistently	Frequently	Usually	Seldom	Never
1. I respect the roles and responsibilities separation of Council and administration and do not become involved in administrative or operational matters nor give direction to the staff of the College.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. I refer member inquiries and complaints on operational matters to administration.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. I conduct my behaviours and actions in accordance with the Council Code of Conduct (Governance Policy GP2.3).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. I conduct myself ethically in my role as a CADA Council member.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. I declare conflict of interest, real or perceived.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. I respect and hold in confidence all information on matters deemed to be confidential.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. I actively ensure that I understand the College's strategic priorities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. I remain current in my understanding of the College's Bylaws and policies.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. I actively participate in strategic planning sessions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. I actively participate in Council education and training sessions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. I come well prepared for Council meetings, including pre-reading materials.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Council Member Self-Assessment	Consistently	Frequently	Usually	Seldom	Never
12. I ensure that when presenting a recommendation for Council consideration that a full and complete information package is available (as it is available and practical to do so) to be included in the pre-circulated Council meeting package.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. I only present information within the confines of the Council agenda package and/or a specified meeting to reduce biasing the discussion within a Council meeting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. I actively participate in Council meetings, including maintaining an open mind and a willingness to listen to the motions and discussion points raised by fellow Council members.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. I consider the interests of all stakeholders when deliberating and voting within a Council meeting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. I act without bias when deliberating and voting on an issue within a Council meeting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. I respect the opinion of others, including presenting any concerns, feedback, or discussion on the opinion of others calmly, respectfully, honestly, succinctly, and without any "person-based" comments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. I refrain from making comments, through any means, to other Council members, administrative staff, or external stakeholders that reflect poorly or negatively on Council as a whole, CADA, or administration.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19. I feel respected by my fellow Council members.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

20. Please identify the areas you intend to work on this year to improve your role as a Council member.

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21. Please identify the strengths that you believe you bring to your role as Council member.

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22. Please identify the areas you feel you require additional training and development in for the next year to improve your role as Council member.

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23. Please provide additional examples or observations on your reflection of your performance as a Council member over the past year.

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## A.GP2.6 Education Policy for CADA Council Members Request Form

Approval Date: March 2015

Revised Date(s):

### CADA Council Members Education Request Form

Date Requested \_\_\_\_\_

Council Member Name \_\_\_\_\_

Course/Conference \_\_\_\_\_

Location \_\_\_\_\_

Date if known \_\_\_\_\_

Alternative dates available \_\_\_\_\_

Reason for choosing this course:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature of Council Member \_\_\_\_\_

Approved by \_\_\_\_\_



## A.GP3.1A In Camera Meeting Evaluation

Approval Date: March 2, 2024

Revised Date(s):

### In Camera Meeting Evaluation

For ongoing review and reflection of the Council and Registrar & CEO performance and dynamics, the Council hosts an immediate assessment and debrief near the end of each scheduled meeting with Council members and the Registrar & CEO in attendance.

At the beginning of each Council meeting, the Chair selects, on a rotating basis, a council member to act as the meeting Raconteur. The Raconteur will use the checklist below as a guide to facilitate the in-camera performance discussion near the end of each Council meeting.

#### RATING SCALE

- 1 - Poor
- 2 - Needs Work
- 3 - Adequate
- 4- Very Good
- 5 - Excellent

#### Checklist

- \_\_\_\_\_ Did the meeting start on time?
- \_\_\_\_\_ Did provisions for virtual/hybrid meeting exist including how voting and questions would be addressed?
- \_\_\_\_\_ Were most of the Council members in attendance?
- \_\_\_\_\_ Was the agenda and supporting documents circulated prior to meeting?
- \_\_\_\_\_ Did council members actively participate by discussing each agenda item thoroughly, challenging each other's ideas, and seeking advice from each other?
- \_\_\_\_\_ Did the structure and leadership of meeting encourage thoughtful discussion?
- \_\_\_\_\_ Did the Council members say what they thought, and trust others enough to call out mistakes and poor performance?
- \_\_\_\_\_ Was most of our time spent considering the future, strategy, issues, risks, and opportunities?
- \_\_\_\_\_ Did the Council spend some time on compliance, solvency, monitoring and holding administration accountable?
- \_\_\_\_\_ Were the agenda items related to the Council's work (not staff or committee issues)?
- \_\_\_\_\_ Were the agenda items clearly identified as for information, discussion, or decision?

- \_\_\_\_\_ Were reports tabled, and only questions and/or discussion related to them considered?
- \_\_\_\_\_ Was appropriate information available to make decisions?
- \_\_\_\_\_ Was the atmosphere relaxed and friendly?
- \_\_\_\_\_ Did all the Council members participate in discussions?
- \_\_\_\_\_ Did the Registrar & CEO support the Council's deliberations in a professional and appropriate manner and display the leadership and regulatory knowledge expected for this senior position?
- \_\_\_\_\_ Were the Registrar & CEO and the Council members presenting information prepared and effective?

Strengths of the meeting:

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Suggestions for improvement for effectiveness:

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## A.GP3.1B Simple Meeting Protocols

Approval Date: March 2, 2024

Revised Date(s):

### Simple Meeting Protocols

#### Call to Order

This occurs at the beginning of the meeting, once quorum has been confirmed. Quorum for Council is at 50% plus one of all Council members, including at least one Officer.

#### Motions

Business is resolved at meetings by voting on motions put forward by Council members. Any person who is eligible to vote at a meeting may make a motion. Motions are then debated and voted upon. No member may speak more than once to any motion (although the Chair may choose not to enforce this rule if they deem it appropriate.) A member must raise their hand.

#### Amendments

A motion may be amended by a subsequent motion. If the mover of the original motion consents to the amendment, the amendment is deemed “friendly” and is not subject to debate. If an amendment is not deemed friendly, it requires a seconder. Such a motion must then be debated and voted upon before the debate resumes on the original motion.

#### Motions Which Take Precedence

Normally, a motion cannot be made while another motion is being debated. There are, however, certain types of motions that take precedence over “normal” motions:

- (1) *Motion to Amend* (as above)
- (2) *Motion to Table* – This is a motion to defer further debate on the main motion until some future time. The motion is debatable only as to the length of time that the main motion will remain tabled.
- (3) *Motion to Refer* – This is similar to a Motion to Table, except that instead of deferring a motion for a specific amount of time, it is deferred until advice can be sought from another body.
- (4) *Motion to Call the Question* – This is a motion to cease debate and proceed to the vote on the main motion. If there is an objection to the motion, the motion requires a seconder and must pass by a two-thirds vote. The motion is not debatable.
- (5) *Motion to Reconsider* – This is a motion to re-open debate on a motion that has already been voted upon earlier in the same meeting. This motion requires a seconder.
- (6) *Motion to Adjourn* – A motion to end the meeting.

## Points

There are several special motions called “Points” that have priority over all other motions or discussion. Points are considered serious enough that a speaker may be interrupted by another individual who wishes to make a Point. Points do not require a seconder.

- (1) **Point of Order** – An individual may raise on a point of order if they feel that business is proceeding incorrectly. The speaker must either agree or disagree with the point raised. An individual may also use this point if they do not understand the proceedings and/or wish to have a clarification made on a specific ruling.
- (2) **Point of Privilege** – Individuals may raise Points of Privilege if it is felt that their rights as members of the assembly have been violated. This Point can also be used if an individual is unable to participate in the discussion due to an inability to hear the speaker, because the room is too hot or cold, or because they are unclear on matters of procedure. If you do not understand what is happening, you can interrupt the speaker and request clarification on a Point of Privilege.
- (3) **Point of Information** – This point is the most misused one in the book. This Point is used to ASK for information that you feel is essential to your understanding of the debate. It may not be used to give information. The member may decide not to answer the question by refusing to yield the floor. Again, it is not in order to give someone information on a point of information.

## Voting

Voting on motions normally requires a simple majority. Voting is normally done by a show of hands, however, anyone eligible to vote has the right to demand a vote by roll call. Voting by secret ballot normally occurs only when an election to fill a position is required, and the assembly does not desire to conduct the election by a show of hands.

## To Ensure Smooth Discussion

- (1) Raise your hand if you wish to speak. The Chair will take note and ask you to speak at the appropriate time.
- (2) Speak to the topic or motion at hand! If you wish to raise something not on the agenda, there is always the “New Business” area of the agenda.
- (3) If you wish to make a suggestion regarding the motion on the floor, form it in terms of an amendment. Your amendment will need seconding, after which it will become the current item on the floor.
- (4) Try not to repeat points other people have already made unless you have something new to add to the point.

## In-Camera Meetings

In camera sessions are an important governance tool. These sessions should be conducted in a manner consistent with approved governance policies—demonstrating a high level of integrity, formality, respect, collegiality, trust, and confidentiality.

Used properly, these sessions are an excellent forum to promote greater effectiveness and cohesiveness. They balance the need for privacy and confidentiality with the College’s obligation to ensure accountability.

Note: The term “in camera” implies a private session (Latin for “in the chamber”), where one or more people who normally attend are excused.

At the end of each Council meeting, Council may consider the option to move in camera to protect confidentiality. The in-camera session usually begins with Council self-evaluation discussions. The Registrar & CEO normally is included.<sup>78</sup>

Matters that may be discussed in camera include:

- (1) Internal and/or external assessments of the Council’s governance policies, procedures, and process, and the Council/ Registrar & CEO relationship.
- (2) A potential or imminent purchase, sale or lease of any property, goods or services where the premature public release of the information could negatively affect Council’s interests in the transaction.
- (3) Any matters related to the security and sustainability of the College, Council or its members.
- (4) Council, committee member, and Registrar & CEO succession planning, if privacy is necessary to ensure an objective and thorough discussion and evaluation.
- (5) Legal matters – including litigation or potential litigation, and any advice and communications that are subject to solicitor-client privilege.
- (6) Professional conduct matters where open discussion may adversely affect the investigation process or administrative fairness for the persons involved.
- (7) Information that, if released, would be harmful to stakeholder relations, particularly information shared in confidence.
- (8) Review of financial reports and meetings with the external auditor.
- (9) Risk management and securing assets and property.
- (10) Reports received in discussions with third party advisors.
- (11) Financial matters where confidential discussions are deemed in the Council’s interest prior to being considered in public, including audit reports, etc.
- (12) Any issue covered by another policy, bylaw or legislation that requires Council to meet privately.

## Procedure For In-Camera Meetings

In-camera sessions begin with a Council member making a formal Motion. The Motion is not open for discussion and must be approved by a majority of Council members present.

If approved, the Chair will indicate that the meeting will go in camera, clearly stating the specific purposes. (i.e. to discuss financial matters, personnel matters, etc.)

The Chair will determine who will remain or be asked to leave. The Registrar & CEO will normally participate in in-camera sessions, unless specifically excluded – due to confidential discussions about the:

- Registrar & CEO’s performance and/or compensation; or
- terms and conditions of the Registrar & CEO’s employment agreement.

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<sup>78</sup> GP2.2 discusses confidentiality

- (1) Any voting Council member may challenge the Chair on its decision to admit or exclude any person. The matter will be resolved by a majority vote of the Council to “uphold” or “not uphold” the Chair.
- (2) No matters may be added to the agenda once the motion to go in camera is passed.
- (3) No minutes are kept of an In Camera session, and no motions may be voted upon in camera.
- (4) However, a motion is required to come out of an in camera session. Matters arising from the session must be immediately brought before the open Council meeting when it is reconvened.
- (5) The Chair will provide detailed context to the Registrar & CEO for the approved motion if Council expects follow up action(s) when the Registrar & CEO is not present during the In Camera session.

## A.GP3.2 Council Application Form and Rubric

Approval Date: May 28, 2022

Revised Date(s):

### Council Nomination Application Form

Full Name \_\_\_\_\_ Registration Number \_\_\_\_\_

Email \_\_\_\_\_ Phone (Personal) \_\_\_\_\_

#### Important Information

See [Appendix A](#) for the attributes, competencies and experiences that will support you in serving on Council, should you be appointed.

A person who wishes to serve on Council must know and understand the role of the College and the Council as set out in the *Health Professions Act*. In addition, the applicant must support and honour the mission and vision and values of the College.

#### MISSION

*The College of Alberta Dental Assistants regulates its members in the public interest, promoting the delivery of safe, quality oral health care.*

#### VISION

*We champion regulatory excellence, innovation and trust among our communities.*

The College is a corporation established by the *Health Professions Act* (the Act). The Act sets out the role of the College and the role of the Council.

The Act states the role of a college in Section 3 and the role of council in Section 6:

##### *College's role*

##### *3(1) A college*

- (a) must carry out its activities and govern its regulated members in a manner that protects and serves the public interest,*
- (b) must provide direction to and regulate the practice of the regulated profession by its regulated members,*
- (c) must establish, maintain and enforce standards for registration and of continuing competence and standards of practice of the regulated profession,*
- (d) must establish, maintain and enforce a code of ethics,*
- (e) carry on the activities of the college and perform other duties and functions by exercise of the powers conferred by this Act, and*
- (f) may approve programs of study and education courses for the purposes of registration requirements.*

### **Council's role**

*6 A council manages and conducts the activities of the college, exercises the rights, powers and privileges and carries out the duties of the college in the name of and on behalf of the college and carries out the powers and duties of the council under this Act and the Bylaws.*

Candidate Identification \_\_\_\_\_

### **Attributes**

What attributes would you bring to Council that would contribute to your effectiveness and Council's success?

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### **Competencies**

What competencies do you bring that would add value to Council?

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### **Educational Background Experiences**

Chronological list of certificates, diplomas and degrees achieved.

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### **Employment Summary**

Chronological summary, starting with the present, including job title, employer, and dates (maximum 10 years).

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## Volunteer/Community Involvement

Profession related, community organizations and events, charities, boards; including role/title, organization name and dates of service.

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## DECLARATION

By submitting this application, I declare and certify as true:

- I understand and support the mandate, vision and values of the College;
- I am not now, nor have I been for at least two (2) years, a board member of a professional association related to dental assisting;
- I am not now, nor have I been for at least two (2) years, a union representative of a union or employment organization representing, bargaining and advocating on behalf of dental assistants;
- I commit to preparing, attending and participating in Council and College meetings and events;
- I will uphold the confidentiality of Council materials, discussions and information; and
- I will abide by the Oath of Office, Council Code of Conduct, the Code of Ethics and the Standards of Practice, the Bylaws, policies and procedures of the College.

Signature \_\_\_\_\_ Date \_\_\_\_\_

## CONSENT

I consent to my personal contact information being shared with the Appointments Committee for the purposes of this application and their selection process.

Signature \_\_\_\_\_ Date \_\_\_\_\_

## DISCLAIMER

*I understand that submission of this application does not guarantee me a position on Council.*

Signature \_\_\_\_\_ Date \_\_\_\_\_

The Appointments Committee reserves the right to reject any or all applications, or to recommend appointment of candidates who best fill the current needs of Council.

# Appendix A

In order for the Council to manage and carry out the affairs of the College, it is important to look for candidates with attributes, competencies and experiences that will support and enhance the effectiveness of Council and the College in carrying out our legislated mandate of regulating dental assistants in the public interest.

The College does not expect any one Council member to have all of the attributes, competencies and experiences listed, however having a team that, when considered as a group has most of them, will contribute to the success of Council.

This is by no means an exhaustive list, however, it will give candidates a sense of the attributes, competencies and experiences we are looking for. Your application can include additional information you feel is relevant and supports your suitability.

## Attributes

### COMMUNICATION

- express ideas and information clearly and concisely
- recognize who the audiences are and frame communications appropriately
- listen to others
- debate respectfully

### COMMITMENT

- demonstrate commitment to regulating registrants in the public interest
- show up prepared and ready to participate in discussion, debate and decision making
- attendance at council meetings, events and professional development is a priority
- abide by the governance and legal responsibilities of council members

### COLLABORATIVE

- contribute to discussion and debate
- work effectively with diverse groups of people
- understand a variety of perspectives
- build consensus for appropriate solutions

### CRITICAL THINKING

- consider issues from multiple perspectives
- identify problems and solutions others might miss
- provide insight and constructive criticism in complex situations

### DECISION MAKING

- base decisions on facts and verified information
- provide clear rationale for decisions
- consider long term consequences and implications of decisions

## **VISIONARY**

- ability to imagine long-term goals and outcomes for the College and profession within the mandate of serving and protecting the public interest
- ability to anticipate opportunities to engage proactively in an evolving health care system
- desire to enhance the dental assistant's role in serving the public interest

## **Competencies**

### **GOVERNANCE**

- understand and support the mandate, vision, values and goals of the College
- ensure decisions reflect the role of the College and Council
- understand the relationships between Council, the public, dental assistants, College administration and stakeholders
- demonstrate high ethical standards
- acknowledge and declare real and/or perceived conflicts of interest and personal biases

### **DENTAL ASSISTING PRACTICE**

- demonstrate competent and ethical dental assisting practice
- understand the value and implications of advanced practices and specialty training
- understand the strengths and challenges of dental assisting in meeting the needs of the public
- know and support diverse models of dental practice within the confines of ethics, access to care and patient need
- demonstrate adherence to the College Standards of Practice and Code of Ethics
- understand the current acceptable standard of care and the dental assistant's role in that care

### **FINANCES**

- understand financial statements
- understand budgets
- demonstrate fiscal responsibility

### **TEAMWORK**

- optimize collaboration with appropriate partners and colleagues
- demonstrate ability to work as a team member
- work effectively with multiple groups with unique perspectives and skills

## **Experiences**

### **GOVERNANCE**

- condo boards
- committee work: group work, optimizing collaboration
- community leagues and sports leadership
- student council
- educator: understanding goals, outcomes and evaluations

## **DENTAL ASSISTING PRACTICE**

- advanced practices
- specialty modules
- general/specialty practice
- community health: research and education
- rural/urban practice
- large/small practices
- administrative experience

## **FINANCES**

- practice administration
- inventory control: ordering
- billings: insurance, patient portions, etc.

# Application Rubric

For short-listing to determine who should move on to the interview process.

Candidate Identification \_\_\_\_\_

<b>Application Section</b>	<b>Failed to Meet Expectation</b> <i>(unsatisfactory)</i> <b>Score = 1</b>	<b>Partially Meets Expectation</b> <i>(Below Average)</i> <b>Score = 2</b>	<b>Meets Expectation</b> <i>(Average)</i> <b>Score = 3</b>	<b>Exceeds Expectation</b> <i>(Strong)</i> <b>Score = 4</b>	<b>Score</b>
<b>Attributes</b>	The candidate failed to identify any attributes that would contribute to their or Council's success	The candidate did not provide clear evidence of understanding the attributes that contribute to success	The candidate demonstrated having attributes that provide for success on Council	The candidate identified additional attributes that show a depth of understanding of the role of Council	
<b>Competencies</b>	The candidate failed to identify any competencies that would contribute to their or Council's success	The candidate did not provide clear evidence of understanding the competencies that contribute to success	The candidate demonstrated having competencies that provide for success on Council	The candidate identified additional competencies that show a depth of understanding of the role of Council	
<b>Educational/ Employment Achievements</b>			The candidate demonstrates dental assisting education only and/or limited dental assisting experience	The candidate demonstrates education/ employment that supports strong governance and decision-making	
<b>Volunteer/ Community Involvement</b>	The candidate does not demonstrate any community or volunteer experience	The candidate provides limited evidence of community involvement and/or volunteering	The candidate demonstrates volunteer experience related to dental	The candidate demonstrates diverse experiences in community and volunteering involvement	

# Council Applicant Interview Questions

Candidate Identification \_\_\_\_\_ Date \_\_\_\_\_

## Ratings

- 1** – Failed to meet Expectation/Answer Question – unsatisfactory
- 2** – Partially Met/ Partially Answered Question – below average
- 3** – Met Expectation/Answered Question – average
- 4** – Exceeded Expectation/Added value to answer – above average

Question	Rating
1. Tell us about yourself.	
2. Tell us about your interest in serving on Council. (Why did you apply? Describe the role of Council as you understand it.)	
3. Tell us about your strengths and experiences that have prepared you for this role.	
4. Tell us about your volunteer experiences/community involvement.	
5. Explain your understanding of the role of the College.	
6. What training or professional development would help you in this role?	
7. Council is considering contracting new IT support services. You realize the company under consideration employs your cousin. What do you do? (Recognizing and dealing with conflicts of interest)	
8. What trends and or technologies do you see in the next 3-5 years in the dental industry that will impact dental assistants?	

## A.GP4.2 Committee Chairperson Position Descriptions

Approval Date: February 2015

Revised Date(s):

### Regulatory Committee Chairperson: Position Description

Each Committee Chairperson (the Chair) is appointed by and accountable to the Council. Acting on Council's behalf, the Chair guides the committee work while respecting the distinction between governance and management.

Regulatory committees have some decision-making authority defined in the *Health Professions Act* (the Act). The decisions made as authorized in the Act do not require Council approval but may, when appropriate, be reported to Council. The regulatory committees' Terms of Reference clearly separate the decision-making authority and requirement for recommendation to Council for Council decision. Decisions authorized in the Act to be made by the committee require formal motion and must be recorded in committee minutes.

The Chair guides the committee in its work consistent with the approved Terms of Reference. The Chair ensures the committee develops a work plan, updates it annually and reviews progress at each meeting.

The Chair may be available for additional consultation and meetings as required by the work of the committee and the direction of Council.

### MEETINGS

The Chair:

- schedules committee meetings
- develops the agenda for meetings, consistent with the work plan and terms of reference
- collaborates with Administration, Council and committee members to access relevant, reliable information
- collaborates with Administration and committee members to ensure committee work is consistent with the Act, *Dental Assistant Profession Regulation*, CADA Bylaws, CADA Policies, Council direction and committee Terms of Reference
- facilitates discussion, maintains order and seeks consensus
- facilitates motions and voting in matters authorized for committee decision by the Act
- may cast a vote on a matter to break a tie
- ensures committee work, progress and decisions are documented in meeting minutes

### REPORTING/RECOMMENDATION

The Chair:

- provides information updates to Council in the form of a written report forwarded to the College office three (3) weeks prior to each Council meeting
- makes recommendations to Council on behalf of the committee using the Council template, forwarded to the College office three (3) weeks prior to the Council meeting
- signs reports, recommendations and committee documents on behalf of the committee
- may present and/or co-present to Council as required

## RELATIONSHIPS

The Chair:

- mentors committee members
- encourages committee involvement and welcomes new appointees
- encourages collegiality and collaboration
- maintains professional relationships with Council, Administration, committee members and stakeholders
- adheres to the Code of Conduct
- manages conflicts within the committee
- reports to the Chair when a committee member is in breach of the Terms of Reference and/or Code of Conduct

## PROFESSIONAL DEVELOPMENT

The Chair:

- collaborates with committee members to determine professional development needs
- encourages participation in professional development opportunities and Council governance training sessions
- collaborates with Administration and/or consultants to access professional development for the committee members and the Chair if desired

## Governance Committee Chairperson: Position Description

Each Committee Chairperson (the Chair) is appointed by and accountable to the Council. Acting on Council's behalf, the Chair guides the committee work while respecting the distinction between governance and management.

The Chair guides the committee in its work consistent with the approved Terms of Reference. The Chair ensures the committee develops a work plan, updates it annually and reviews progress at each meeting.

The Chair may be available for additional consultation and meetings as required by the work of the committee and the direction of Council.

## MEETINGS

The Chair:

- schedules committee meetings
- develops the agenda for meetings, consistent with the work plan and terms of reference
- collaborates with Administration, Council and committee members to access relevant, reliable information
- collaborates with Administration and committee members to ensure committee work is consistent with the Act, Dental Assistant Profession Regulation, CADA Bylaws, CADA Policies, Council direction and committee Terms of Reference
- facilitates discussion, maintains order and seeks consensus
- may cast a vote on a matter to break a tie when consensus has not been achieved
- ensures committee work and progress is documented in meeting notes



## **REPORTING/RECOMMENDATION**

The Chair:

- provides information updates to Council in the form of a written report forwarded to the College office three (3) weeks prior to each Council meeting
- makes recommendations to Council on behalf of the committee using the Council template, forwarded to the College office three (3) weeks prior to the Council meeting
- signs reports, recommendations and committee documents on behalf of the committee
- may present and/or co-present to Council as required

## **RELATIONSHIPS**

The Chair:

- mentors committee members
- encourages committee involvement and welcomes new appointees
- encourages collegiality and collaboration
- maintains professional relationships with Council, Administration, committee members and stakeholders
- adheres to the Code of Conduct
- manages conflicts within the committee
- reports to the Chair when a committee member is in breach of the Terms of Reference and/or Code of Conduct

## **PROFESSIONAL DEVELOPMENT**

The Chair:

- collaborates with committee members to determine professional development needs
- encourages participation in professional development opportunities and Council governance training sessions
- collaborates with Administration and/or consultants to access professional development for the committee members and the Chair if desired

# A.GP6.1A Registrar & CEO Position Description

Approval Date: April 2014

Revised Date(s): Nov 26, 2022

## Position Summary

As the sole employee of the College of Alberta Dental Assistants' Council, the Registrar & CEO is appointed by and directly accountable to the whole of Council for regulatory and policy compliance and the overall corporate/business affairs of the College of Alberta Dental Assistants (the College). This includes but is not limited to:

- (1) Registration of dental assistants and other members of the College;
- (2) Advise and provide subject matter expertise and administrative support to the Council and its regulatory and governance committees;
- (3) Operations of the College;
- (4) Leadership of staff;
- (5) Human resources;
- (6) Communications; and
- (7) Finances and risk management.

All position duties must be performed in conjunction with the College by-laws and governance and human resources policies.

## Position Duties under the *Health Professions Act (HPA)*

The Registrar & CEO acts on Council's behalf to ensure that the following regulatory functions are carried out effectively and efficiently in a timely manner.

### REGISTRATION MATTERS

The Registrar & CEO:

- (1) Receives completed applications for registration;
- (2) Determines whether an applicant has substantially equivalent qualifications for registration;
- (3) May require an applicant for registration to undergo physical or mental examinations where registration may create danger to the public;
- (4) Must give notice to applicants that registration applications have been received and whether or not the application is complete;
- (5) Must notify an applicant of receipt of a complete application form that was previously submitted in an incomplete manner to the College;
- (6) Must consider registration applications;
- (7) Must approve (with or without conditions), defer or refuse applications for registration and must give notice to applicants;
- (8) Receives applications for review of registration decisions and provides copies of same to Council;
- (9) Notifies applicants of date, time and place for HPA section 31 registration reviews by Council;

- (10) May appear and make representations at Council registration reviews;
- (11) Receives Council decisions regarding registration reviews;
- (12) Must assign successful applicants a unique registration number, must enter required information in the appropriate member register and must issue a practice permit; and
- (13) Reinstates registration upon payment of outstanding fees, fines, costs, levies or assessment where registration cancellation is due to non-payment of same.

## **MEMBER REGISTERS**

The Registrar & CEO:

- (1) Enters and removes member information from member registers;
- (2) Receives direction from Council, hearing tribunal, registration committee, complaint review committee or competence committee to correct or remove any information in a register made in error;
- (3) Where initial registration is approved, must enter HPA section 33(3) information in appropriate register; and
- (4) May correct or remove any incorrect or inaccurate information in regulated member registers.

## **MANDATORY REGISTRATION**

The Registrar & CEO:

- (1) May send written requests to apply for registration to persons who meet or may meet college's registration requirements.

## **PRACTICE PERMIT RENEWAL**

The Registrar & CEO:

- (1) Must issue practice permit after initial registration;
- (2) Receives completed periodic practice permit applications;
- (3) May cancel a practice permit per HPA section 43 where practice permit renewal is not received;
- (4) Must consider practice permit applications and decide to approve, issue (with or without conditions), refuse or, in the case of continuing competence program deficiencies, suspend practice permits;
- (5) Receives requests from applicants for council reviews of practice permit decisions and notifies applicant of date, time and place of council review;
- (6) Receives requests for stays of practice permit suspensions pending council reviews of practice permit decisions; and
- (7) May appear and make representations at council practice permit review.

## **SUSPENSION, CANCELLATION AND REINSTATEMENT**

The Registrar & CEO:

- (1) Cancels practice permits;
- (2) Re-issues practice permits upon payment of outstanding fees, fines, costs, levies or assessments where practice permit cancellation is due to non-payment of same;

- (3) May refer non-compliance with HPA section 40(2) practice permit conditions to registration committee or competence committee for possible cancellation of regulated member's practice permit or registration; and
- (4) May request cancelled or suspended practice permits to be returned from the regulated member to the Registrar & CEO.

## **CONDITIONS AND SUSPENSIONS DURING PROCEEDINGS**

The Registrar & CEO:

- (1) Receives copies of originating notices filed with the courts requesting stays of interim conditions and suspensions during discipline proceedings.

## **PROFESSIONAL CONDUCT DECISIONS**

The Registrar & CEO:

- (1) Receives hearing tribunal and appeal decisions from the hearings director.

## **REINSTATEMENT REVIEWS**

The Registrar & CEO:

- (1) Receives applications to reinstate practice permits and registrations cancelled due to professional conduct proceedings.

## **OTHER MEMBERS**

The Registrar & CEO:

- (1) May cancel an other member's registration at that person's request.

## **INCAPACITY ASSESSMENTS**

The Registrar & CEO:

- (1) Receives notification from complaints director of directions to regulated member to cease providing professional services; and
- (2) Receives regulated member written appeal to Council of incapacity assessments and treatment directions made by complaints director.

## **ACCESS TO REGULATED MEMBERS' INFORMATION**

The Registrar & CEO:

- (1) Provides information concerning professional conduct practice permit suspensions, cancellations and conditions and HPA 118(4) incapacity assessment directions.

## **MINISTER'S REQUESTS FOR INFORMATION**

The Registrar & CEO:

- (1) Must, at Minister's request, compile and release regulated member demographic and practice information.

## **EVIDENCE OF REGISTRATION**

The Registrar & CEO:

- (1) Issues and signs certificates providing evidence of regulated member, other member or former member registration or lack of registration.

## **USE OF PROTECTED TITLES BY STUDENTS**

The Registrar & CEO:

Determines whether a student is enrolled in an acceptable program for training persons to provide professional services for the purposes of using a protected title, abbreviation or initials.

## **Position Duties under the *Ombudsman Act***

The Registrar & CEO acts on Council's behalf to ensure that the following legislative functions are carried out effectively and efficiently in a timely manner.

The Registrar & CEO:

- (1) Receives notice of Ombudsman's intention to commence an investigation relating to the college;
- (2) May be consulted by Ombudsman at any time during or after an investigation;
- (3) Consults with Ombudsman after Ombudsman's investigation is concluded but before Ombudsman makes findings;
- (4) Receives evidence (arising during or after an investigation) from the Ombudsman relating to any breach of duty or misconduct by an officer or employee of the College;
- (5) May request the return of any document, paper or thing provided to the Ombudsman by the college during an investigation; and
- (6) Receives Ombudsman's report and recommendations, if any. If recommendations are made, at the Ombudsman request must advise Ombudsman (within the time period specified by the Ombudsman) of any steps taken by the college to give effect to the recommendations.

## **Position Duties under the Administration of the College**

The Registrar & CEO acts on Council's behalf to ensure that the following administrative functions are carried out effectively and efficiently in a timely manner.

## **ADVICE AND SUPPORT TO COUNCIL AND COMMITTEES**

The Registrar & CEO:

- (1) Participates as a non-voting member of Council with full entitlement to attend and participate in all meetings and discussions except when the meeting or portion of meeting concerns the Registrar & CEO's performance;
- (2) Works in a collegial manner with the Council and its committees;
- (3) Provides Council with regular updates on the activities and programs of the college;
- (4) Provide subject matter expertise to Council in the development of strategic and annual operating plans and budget;

- (5) Supports Council in developing the competencies of council to fulfil their responsibilities;
- (6) Provides Council with timely advice regarding any developments that may affect the college's capacity to responsibly pursue its objectives;
- (7) Participates in the development of mission, values and goals; and
- (8) Facilitates the transfer of the Council responsibilities to the Chair, Vice-Chair Governance and Regulation and Vice-Chair Finance and Risk Management.

## **OPERATIONS OF THE ORGANIZATION**

The Registrar & CEO:

- (1) Manages the college's financial resources and maintains full and accurate accounts of all assets, liabilities, receipts and disbursements in a manner consistent and in compliance with generally accepted accounting principles and practice;
- (2) Prepares the college financial records for audit purposes;
- (3) Manages the college's revenue and expenditures within the approved budget;
- (4) Conducts timely and accurate financial analysis and recommends actions;
- (5) Manages and maintains accurate payroll and benefit records;
- (6) Implements Council policies and directives within the parameters of legislation and regulatory provisions, and the College By-laws, policies and strategic plan;
- (7) Manages systems (communications and security) and physical facilities in an effective and efficient manner;
- (8) Develops and maintains office policies and procedures;
- (9) Manages and mitigates risks to the college, council and profession; and
- (10) Maintains appropriate insurance to protect the College, council, staff, members, facilities and assets.

## **LEADERSHIP OF STAFF**

The Registrar & CEO:

- (1) Delegates authority to staff members to work with Council and committees as required;
- (2) Facilitates staff performance reviews and professional development plans; and
- (3) Represents the staff to the Chair and Council by facilitating mutual understanding and respect through communication of College activities.

## **HUMAN RESOURCES**

The Registrar & CEO:

- (1) Fosters a work culture that embodies high morale and enthusiasm so as to achieve the highest standards and best practices;
- (2) Develops human resources policies and recommendations for approval by Council;
- (3) Recruits, develops and manages college staff and volunteers consistent with approved policies; and
- (4) Develops skills and competencies in staff and volunteers by identifying needs and strengths and providing opportunities for growth in those areas.

## **COMMUNICATIONS**

The Registrar & CEO:

- (1) Provides regular reports to Council regarding the financial status of the college, the general well-being of its workforce, progress in achieving college objectives and compliance with council-approved policies and regulatory requirements;
- (2) Represents the college professionally and positively to the public and stakeholders;
- (3) Manages relationships with stakeholders within the applicable legislation and regulatory provisions, the College By-laws and policies, and formal contracts and agreements;
- (4) Will be proactive in keeping informed of issues, opportunities and trends that affect, or have the potential to affect the profession, professional scope of practice and or organizational operations; and
- (5) Develops and maintains effective, professional and appropriate relationships with the council, staff, government, contractors (i.e., legal counsel, auditor, consultants, insurance brokers, and bankers), other regulators, the media and public.

## **Position Qualifications (Knowledge/Skills)**

The Registrar & CEO will:

- (1) Have a related diploma or post-secondary degree, or a minimum five years senior management experience;
- (2) Have knowledge of board governance and experience working with councils or boards;
- (3) Have knowledge of relevant legislation and policy;
- (4) Have thorough knowledge of the role of a regulatory college, administration, data processing and personnel management;
- (5) Have financial planning and accounting acumen and a working knowledge of accepted accounting principles and practice;
- (6) Have well-developed organizational and interpersonal skills; strong problem solving, decision making, and conflict resolution skills;
- (7) Have the ability to lead and inspire;
- (8) Have consistently strong English communication skills (verbal and written);
- (9) Have well-developed computer skills;
- (10) Be able to work both independently and with others;
- (11) Be available for occasional overnight travel both locally and nationally and flexibility to work various days and hours as required; and
- (12) Have the ability to work in a fast-paced and multitasking environment.

## **Compensation and Benefits**

The council determines and approves the Registrar & CEO's compensation and benefits based on the recommendations of the Governance Committee and an assessment of prevailing market rates and compensation practices.

## A.GP6.1B Registrar & CEO Reporting Schedule

Approval Date: May 2017

Revised Date(s): Mar 2, 2024

### Registrar & CEO Reporting Schedule

The Council requires its Registrar & CEO to share the following reports and information with the Council on a quarterly basis:

- (1) Registration Statistics
- (2) Complaints & Discipline
- (3) CCP Statistics
- (4) Strategic Plan Progress
- (5) Financial Planning and Accountability
- (6) Communications
- (7) Stakeholder Relations
- (8) Legislative Matters
- (9) Council Meeting Minutes

The Council requires its Registrar & CEO to share the following reports and information with the Council on an annual basis:

- (1) Audited Financial Statements
- (2) Continuing Competence Program Audit Statistics
- (3) Renewal Statistics
- (4) Annual Report of the College
- (5) Program Approvals
- (6) Human Resources Management
- (7) Risk Management
- (8) Awards Program
- (9) Office Space and Equipment
- (10) Information Management
- (11) Government Reporting
- (12) Succession Planning

The Council requires its Registrar & CEO to regularly share the following reports and information with the Governance Committee.

- (1) Registrar & CEO Work Plan
- (2) Registrar & CEO Self-Assessment Report
- (3) Registrar & CEO Goals and Objectives



# A.GP6.1C Registrar & CEO Performance Assessment

Approval Date: October 2018

Revised Date(s): Sep 16, 2023

## Registrar & CEO Performance Assessment

Assessing the Registrar & CEO's performance and compensation is a key Council responsibility.

The purposes of the annual Registrar & CEO performance and compensation evaluation include:

1. To determine if the role and performance expectations specified in the Performance Agreement and identified throughout the year by the Monitoring Report and the end of meeting in-camera sessions have been met.
2. To commend the Registrar & CEO on excellent performance, a forum for constructive feedback, and to develop specific actions for improvement if required.
3. To provide recommendations for Registrar & CEO compensation.

Registrar & CEO performance assessment is conducted on an ongoing basis throughout the year, using the Monitoring Report and after Council meeting in-camera sessions, with regular feedback among Council members and the Registrar & CEO.

The responsibilities of the various parties respecting the Registrar & CEO performance and compensation assessment process include:

- (1) The Chair and Vice-Chair Governance and Regulation oversee the annual performance evaluation of the Registrar & CEO on behalf of the Governance Committee, and deliver the results;
- (2) Council will, at the end of each meeting and at the end of the council year, participate in the evaluation process by providing input; and
- (3) The Governance Committee develops and implements the process for Registrar & CEO performance and compensation review and recommends the annual compensation level based on the performance assessment.

As per GP6 Council/ Registrar & CEO Relationship the Registrar & CEO's performance will be evaluated considering:

- (1) Compliance with the College governance and regulatory policies and procedures, and operational policies and procedures
- (2) Accomplishment of the goals and objectives in the Strategic Plan and Operational Plan as specified in the Performance Agreement; and
- (3) Conduct consistent with legislation and commonly accepted business and ethical standards (the "reasonable person" test). This tool includes statements describing performance expectations for the Registrar & CEO in each of these three categories.

The Registrar & CEO's performance evaluation will be conducted on an ongoing annual basis through Monitoring Reports presented at each Council meeting, the end of meeting in-camera session, and through an annual performance evaluation summary following the end of the year.

The process starts at the beginning of each Council year when the Registrar & CEO drafts an annual Performance Agreement that speaks to the achievement of the College's Strategic Plan and annual Operational Plan, performance of the role expectations specified in GP 6.1 (Registrar & CEO Accountability and Performance Expectations), and professional development goals for the consideration of the Chair and Vice-Chair, Governance and Regulation, and through the Governance Committee, for Council approval.

Council assesses ongoing Registrar & CEO performance through discussion of the Monitoring Report presented at each Council meeting, and the end of meeting in-camera discussion using the Council Meeting Assessment Tool.

At the end of the performance year, the Chair and Vice-Chair Governance and Regulation compile the results of a short Registrar & CEO Performance Reflection Questionnaire and compile the results. The performance ratings used are: Did Not Meet/Unable to Assess (due to leave, training, special assignment), Partly Succeeded (did not fully succeed in meeting the objectives), Succeeded (has fully achieved the majority of objectives or has fully achieved all of the objectives in a manner that is satisfactory to the council).

The results are discussed with the Governance Committee, who make a recommendation to Council on the Registrar & CEO's performance and compensation.

## A.GP6.1D Registrar & CEO Performance Agreement

Approval Date: March 2, 2024	Revised Date(s):
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### Registrar & CEO Performance Agreement

The following template Performance Agreement documents the mutual understanding between the Registrar & CEO and the Council outlining the performance objectives for what is expected by the Council during the upcoming performance year.

The performance objectives reflect (1) Compliance with the College governance and regulatory policies and procedures, and operational policies and procedures, and accomplishment of the goals and objectives in the Strategic Plan and Operational Plan as specified in the Performance Agreement; (2) Conduct consistent with the Registrar & CEO expectations specified in the Governance Policies as witnessed and discussed at the end of meeting Council in camera session; and (3) the summary end of year Performance Reflection Questionnaire.

Registrar & CEO Name		Position Start Date	Performance Review Schedule	
Registrar & CEO Signature			Council Chair Signature	
Date			Date	
No.	Performance Objectives	Performance Deliverable	Timeframe	Comments
1				
2				
3				
4				
No.	Professional Development Goal and/or Action	Expected Outcome	Target Completion Date	Comments/ Resources Required
1				
2				
3				
4				

## A.GP6.1E End of Performance Cycle Registrar & CEO Performance Reflection Questionnaire

Approval Date: March 2, 2024

Revised Date(s):

### End of Performance Cycle Registrar & CEO Performance Reflection Questionnaire

Prior to the end of the annual performance cycle, the Chair and Vice-Chair, Governance and Regulation, will distribute the following short questionnaire to Council members. They will compile the summary results and discuss the results together with a compensation recommendation with the Registrar & CEO to develop a mutual agreement on the assessment of the Registrar & CEO's performance following the approach in GP 6.1, and then present a recommended performance assessment and corresponding compensation adjustment to Council through the Governance Committee. Assessing the Registrar & CEO's performance and compensation is a key Council responsibility.

Performance Elements	Met	Not Met	Unable to Rate	Comments
The Registrar & CEO guides and supports the Council and its committees in its governance role.				
The Registrar & CEO accomplished the objectives/ projects specified in the Performance Agreement.				
The Registrar & CEO took responsibility, in consultation with Council, for addressing their professional development requirements as specified in the Performance Agreement.				
The Registrar & CEO provided adequate information to explain progress achieving the objectives/ projects specified in the Performance Agreement.				
The Registrar & CEO promotes the Public interest and Public safety mandate of the College.				

# A.GP7.1A Investment Policy

Approval Date: June 2016

Revised Date(s):

## Policy Statement

The College of Alberta Dental Assistants invests surplus and reserve funds in a manner which will provide the highest return with the greatest security while maintaining ready access to funds should the need arise.

## Purpose

The policy is established to ensure funds received by the College are invested to receive optimal return considering, in order of priority, protection of capital, liquidity and rate of return.

## Scope

This policy applies to all funds of the College of Alberta Dental Assistants on deposit or invested in investment securities.

## Prudence

Investments are to be made with the same care and judgment a reasonable, prudent person would exercise in their own affairs, considering the probable safety of their capital and probable income to be realised.

The Registrar & CEO may engage investment advisors to manage the investment portfolio. Investment advisors will meet the same standard as the “prudent person” standard above. Investment advisors will act in accordance with this policy and will report any deviations from expectations in a timely fashion and discuss and implement appropriate action to control adverse developments.

## Investment Objectives (in Order of Priority)

### SECURITY

Investments for the College of Alberta Dental Assistants must ensure the preservation of the capital in the overall portfolio. The College will restrict investments to fixed income investments.

### LIQUIDITY

The portfolio of the College of Alberta Dental Assistants will remain sufficiently liquid to permit the College to meet all financial requirements that may be reasonably anticipated.

### RETURN ON INVESTMENT

The objective of the College of Alberta Dental Assistants’ portfolio will be the greatest return on investment within the restrictions of the security and liquidity requirements.

## Authority

Authority to manage the College of Alberta Dental Assistants’ investment program is derived from the *Health Professions Act* (2000), section 2(c) and section 6.

Management of the College of Alberta Dental Assistants' investment program is delegated to the Registrar & CEO by Council. The Registrar & CEO reports to the Vice-Chair Finance and Risk Management and the Finance, Risk Management and Audit Committee, who in turn, report and make recommendations to Council.

The Registrar & CEO will ensure appropriate procedures and controls are in place to regulate the actions of any staff involved in the investment process. The Registrar & CEO is responsible for all investment transactions despite any delegation to other staff.

Any investment advisors engaged by the Registrar & CEO will act in the best interest of the College of Alberta Dental Assistants at all times and will adhere to this policy and the procedures set out by the Registrar & CEO.

## Conflict of Interest and Ethical Considerations

Officers and employees of the College of Alberta Dental Assistants involved in the investment of College resources will follow the College investment policy rules regardless of their personal investment philosophy.

## Reporting

Administration will provide an annual report on the investment portfolio performance to the Finance, Risk Management and Audit Committee.

## Investments

Investments shall be made in compliance with this policy and restricted to those outlined in Schedule "A".

<b>Schedule "A"</b> <b>Approved Investments</b>	<b>Maximum Percentage Per Institution/ Investment Type</b>	<b>DBRS Minimum Rating (Bond Market)</b>
<b>Government</b> <i>(Maximum 100% of Portfolio)</i> Securities issued or guaranteed by: Government of Canada Provincial Governments	  100% 100%	  AA A
<b>Schedule I Chartered Banks</b> <i>(Maximum 100% of Portfolio)</i> Obligations of or guarantees of: Per Financial Institution	  75%	  A
<b>Provincially Guaranteed Financial Institutions</b> <i>(Maximum 50% of Portfolio)</i> Province of Alberta Treasury Branches	  50%	  A

# A.GP7.1B Reserve Funds Policy

Approval Date: February 2016

Revised Date(s): Nov 24, 2018; May 26, 2019; May 28, 2022; Sep 17, 2022; Sep 16, 2023; May 26, 2024

## Reserve Funds Policy

The *Health Professions Act* establishes the College as a corporation<sup>79</sup> and authorizes the College to make bylaws respecting costs, fees, levies and assessments.<sup>80</sup> The College Bylaws authorize the collection and disbursements of funds to carry out the College business<sup>81</sup> and to make any necessary assessments as determined by Council.<sup>82</sup>

Council establishes Reserve Funds to ensure the business of the College will continue through revenue shortfall, unforeseen financial burden such as complex discipline issues, or uninsured/underinsured loss.

The Registrar & CEO will ensure that funds are identified to support operations, discipline and specialty intra-oral modules.

The Reserve Funds will be reported in the financial statements as internally restricted funds.

The Reserve Funds are established using surplus revenue over expenses after the fiscal year-end unless Council determines the need for other sources of funding.

## Procedures

### FUND DETAILS

**Operations:** The Operations Reserve will hold sufficient funds for twelve (12) months of operating expenses, including salaries and benefits, lease, utilities and day-to-day expenses of the College. The Finance, Risk Management and Audit Committee evaluates the Operations Fund balance annually. Any recommended changes to the maximum amount in the fund are presented to Council for consideration. The fund allows the business of the College to continue in the event of such occurrences as pandemic, natural disasters of fire, flood or damaging storms, major public service interruptions or any other unforeseen business interruption.

**Discipline:** The Discipline Reserve will be sufficient for the College to meet the demands of complex discipline issues including appeals. The Discipline Fund amount is based on a maximum reserve fund of \$100.00 per regulated member. The Finance, Risk Management and Audit Committee will review registration statistics and issues facing the profession at least annually and make recommendations to Council for the amount held in the fund. Complex issues may include class action suits, appeals to the Alberta Court of Appeal or investigations involving forensic specialists. This amount is consistent with discipline reserves of other regulatory colleges in Alberta.

<sup>79</sup> *Health Professions Act* (2000) s.6

<sup>80</sup> *Health Professions Act* (2000) s.132(1)(p)

<sup>81</sup> CADA Bylaws s. 34

<sup>82</sup> CADA Bylaws s.34(3)

**Information Technology Fund:** Council establishes the Information Technology Fund to improve the cyber security of the College systems and procedures, and, develop, populate, test, upgrade and deploy a new website and database. Following completion of the original project under this fund, the fund will continue for information technology projects and cyber security initiatives. This fund is capped at \$300,000. The Finance, Risk Management and Audit Committee will review the amount of this fund within the context of cyber security and member regulatory needs (i.e., ease of use and accessibility). The Committee will make recommendations to Council for the amount held in this fund at least annually. The College must be prepared to meet new cyber security challenges. Technology changes at an increasingly rapid rate and the ability to respond to changes will ensure members can meet registration and competence requirements using a variety of devices.

**Evaluation and Innovation Fund:** This fund supports regulatory evaluation and projects related to the regulatory mandate of the College. Little data exists to support the value of regulation to the practice of dental assisting. Changes and/or enhancements to dental assisting practice require support of reliable information. This fund is to ensure programs and policies of the College reflect our mandate to regulate dental assistants in the public interest. With reliable data, the College can be a champion and leader for best practices in dental assisting. The fund will hold a maximum of \$500,000 at any time. The Finance, Risk Management and Audit Committee will review the fund purpose and relevance at least annually.

**Treatment and Counselling Fund:** This fund is created to ensure the College can meet the requirement of paying for treatment and counselling for patients who have experienced sexual abuse or sexual misconduct by dental assistants. This fund does not require a motion of Council for access. The fund will be available to cover the cost, up to the maximum amount set out in the Act, of treatment and/or counselling for a patient who is identified when a complaint of sexual abuse or sexual misconduct is made against a dental assistant. The fund will be administered by a third party; payment may only be made directly to a regulated health care provider who is providing the treatment or counselling and within the terms of the contract the College negotiates with the third party. The administration fees payable to the third party for administering the fund will also be drawn from this fund. Council will receive information regarding activity of this fund with each financial update and the College will report on this fund and the number of patients accessing it in the Annual Report. All information is to be reported without identifiers. The fund will hold a maximum of \$119,500 at any time.

## Use of Reserves

### IDENTIFYING THE NEED TO ACCESS RESERVE FUNDS

The Registrar & CEO will notify the Finance, Risk Management and Audit Committee of the need to access reserve funds. The Registrar & CEO will prepare an analysis for the Committee including the reason(s) for the shortfall, the amount required and plans to replenish the funds.

Note: The Registrar & CEO does not require Council approval to access the Treatment and Counselling Fund. The Registrar & CEO will ensure activity of the Treatment and Counselling Fund is included without identifiers in the financial reports to Council and in the Annual Report.



## **Authority**

The Vice-Chair Finance and Risk Management, as Chair of the Finance, Risk Management and Audit Committee will present a recommendation to Council to allow access to the appropriate Reserve Funds with the exception of the Treatment and Counselling Fund. Council resolution is required to access the funds except for the Treatment and Counselling Fund.

## **Monitoring and Reporting**

The Registrar & CEO will provide reports at least quarterly on the disbursement of the funds and the progress to replenishing the reserves.

## A.GP7.1C Annual Assessment of External Auditor

Approval Date: October 2017

Revised Date(s):

### Annual Assessment of External Auditor

The Finance, Risk Management and Audit Committee (the Committee) is responsible for making recommendations to Council for appointment of the external auditor annually. Prior to making a recommendation, the Committee must consider the information they have.

#### QUALITY OF THE AUDIT TEAM

(Staff will complete and share with committee prior to the committee meeting with Auditor)

Assessment Criteria	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree	Examples/ Comments
The auditors demonstrate the necessary knowledge, skill and professionalism to complete the audit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The Partner demonstrates attention and leadership to the audit team throughout the audit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The auditors are knowledgeable about health regulatory colleges and the <i>Health Professions Act</i> .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The values expressed by the Partner are reflected in the quality of work demonstrated by the audit team.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The audit team effectively probes the judgments and decisions of management.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Additional comments:

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# INDEPENDENCE, OBJECTIVITY AND PROFESSIONAL SKEPTICISM

(Committee completes following meeting with Auditor)

Assessment Criteria	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree	Examples/ Comments
The Committee is satisfied the auditors have demonstrated independence.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The auditors maintain independence when providing non-audit services. (i.e., tax filing, advice)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The auditors respond effectively to changes in circumstances or emerging risks.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The auditors address potential issues of fraud and other risks in their audit processes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The auditors identify and report any management bias in preparing financial statements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The auditors demonstrate sound professional judgment.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Audit fees are appropriate to the scope of the project and the final product.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Additional comments:

## COMMUNICATION AND INTERACTION

(Committee completes following meeting with Auditor)

Assessment Criteria	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree	Examples/ Comments
The Partner explains accounting and audit principles and issues to the committee and management.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The dialogue between the Partner and the committee is candid and complete.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The Partner's opinion of College financial reporting, estimates, policies and disclosures is supported by examples and recommendations are reasonable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The discussion in camera between the Partner and the committee and/or Council is appropriate and helpful.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Concerns about cooperation and disclosure are immediately referred to the committee by the Partner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The committee is informed of developments in audit standards relative to the financial statements and the impact of developments on the audit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Additional comments:

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## QUALITY OF SERVICE

(Committee completes following meeting with Auditor)

Assessment Criteria	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree	Examples/ Comments
The Partner is available to management and the committee.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The requested deadlines are met.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The scope of the audit is sufficient for the purposes of the College.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The auditors demonstrate professionalism throughout the engagement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The Partner makes appropriate suggestions to improve financial and risk management strategies.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The Partner identifies opportunities and risks and effectively assesses internal controls.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The committee is satisfied with the value received for the fees paid.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Changes to fees are accompanied by reasonable and timely explanations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Corporate filings (i.e., taxes) are completed in a timely manner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Additional comments:

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Recommend Approval of Financial Statements: Yes\_\_\_\_ No\_\_\_\_

Recommend Re-appointment of Auditors: Yes\_\_\_\_ No\_\_\_\_