



Registrar’s Report for Q4 2018 including Annual Wrap-Up

November 30, 2018

Table of Contents

Trends and issues	3
Quarterly compliance update	7
Public register	10
List of Registrar’s Reports for 2018	13
2018 Q4 OOTR activity summary	14
2018 OOTR activity summary	15
Function-by-function review	16
Strategy and coordination	16
Registration and certification	17
Quality assurance	22
Complaints and discipline (including capacity and review)	23
Stakeholder engagement and education	30
Appeals	33

Trends and issues

In this section are highlighted some of the current trends and issues which have impacted the Office of the Registrar (OOTR) in 2018.

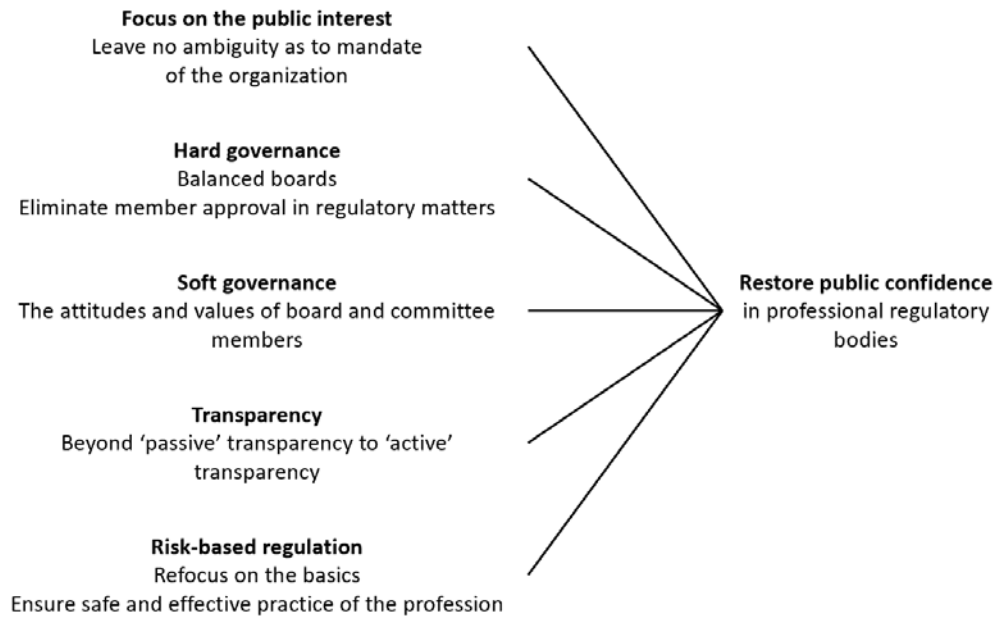
Getting serious about restoring public confidence in the work of professional regulatory bodies

2018 has been a most important year for those interested in professional regulation. There were a number of important reports published suggesting that a ‘radical paradigm shift’ in professional regulation is underway. Public confidence in the work of professional regulatory bodies has eroded to the point where the College of Nurses of Ontario (CNO) felt that strong medicine would be required to restore this confidence. Other influential professional regulatory bodies were soon to follow with the College of Physicians and Surgeons of Ontario (CPSO), and the Ontario College of Teachers (OCT) developing their own proposed reforms to their governance.

Table 1: List of key initiatives by Ontario professional regulatory bodies aimed at restoring confidence in professional regulation

December 2018	CPSO Governance Review - Recommendations for Governance Change	College of Physicians and Surgeons of Ontario (CPSO)
November 2018	Ontario College of Teachers’ Governance Review Report	Ontario College of Teachers (OCT)
October 2018	Global and National Initiatives and Trends— Description and Views (presentation at 2018 CNAR Annual Educational Conference)	Richard Steinecke
October 2018	Fit for the future: Report of the Independent Review of Legal Services Regulation in Scotland	Esther A. Robertson
September 2018	Right-touch regulation in practice: international perspectives	Professional Standards Authority (PSA)
June 2018	A legislation and governance review conducted for Engineers and Geoscientists British Columbia	Professional Standards Authority (PSA)
May 2018	Professional Reliance Review: The Final Report of the Review of Professional Reliance in Natural Resource Decision-Making	Mark Haddock for the Honourable George Heyman, Minister of Environment and Climate Change Strategy
March 25, 2018	The ‘radical paradigm shift’ that’s changing Ontario’s oversight system for health professionals	Toronto Star by Theresa Boyle Health Reporter, Sunday, March 25, 2018

The latest round of governance reform initiatives are but one of a number of proposals and initiatives that professional regulatory bodies are considering.



One theme not included in the above, but a very important proposal is the establishment of an oversight body for professional regulatory bodies in Ontario. This oversight body would operate similarly to the Professional Standards Authority (PSA) in the UK. The big difference between this initiative and the others is that this oversight body would need to be established by the Ontario Legislature. This would not be the first time that the Ontario Legislature would have established such an oversight body—the Office of the Fairness Commissioner is such an oversight body, but its purview is significantly narrower than what is being contemplated with this new oversight body. Some, like Richard Steinecke of Steinecke Maciura LeBlanc believe that the creation of this oversight body is likely inevitable.

The MOHLTC College Performance Measurement Working Group

HRPA's Registrar was invited to participate in the College Performance Measurement Working Group sponsored by the Ministry of Health and Long-Term Care as an expert in the measurement of performance for professional regulatory bodies. The MOHLTC is developing a performance assessment tool which would be used by all health colleges. In many ways, the tool is not unlike the Regulatory Practices Audit tool that HRP developed in 2013.

Report on French language services at HRP

This brief report was written pursuant to the publication in September 2018 by the Office of the Fairness Commissioner of its report on the practices of Ontario professional regulatory bodies regarding the availability of registration documents and services in French. The purpose and intent of this report is to inform the HRP Board of Directors and other stakeholders of the status of the provision of services in French at HRP.

The Office of the Fairness Commissioner report documented the fact that there are large variations in how registration practices are being offered to the Francophone community. Many professional regulatory bodies in Ontario have a legislative requirement to provide French language services. HRPAs enabling legislation does not require HRPAs to provide services in French. There is a requirement in the *Statutory Powers Procedure Act, 1990*, for committees that may conduct hearings (i.e., the Discipline Committee, the Capacity Committee, the Review Committee, and the Appeal Committee) and which have established rules of procedure (which all four HRPAs committees which may conduct hearings now have), to publish these rules of procedure in both French and English.

The regulatory decision-making and adjudicative committee report

The Regulatory decision-making and adjudicative committee report has become an annual report. This report could be considered a sister report to the Registrar's Report. Whereas the Registrar's Report focuses on activities and outputs, the Regulatory decision-making and adjudicative committee report focuses on the mechanisms put in place to ensure that decisions made by HRPAs regulatory decision-making and adjudicative committees are transparent, objective, impartial and fair.

The 2018 regulatory decision-making and adjudicative committee training day and thank you reception

In the past four years HRPAs has offered an annual training session for all committee members. In Q4, a development day for members of adjudicative committees was conducted on November 9, 2018. The session was conducted by Richard Steinecke of Steinecke Maciura LeBlanc. This event followed from the success of a similar event last year. There were over 50 attendees for the session. This year the event consisted of a mock hearing with role-play.

Previous training days have received excellent feedback. The plan is to conduct a similar event in the fall of next year.

Highlights from earlier in 2018

The 'Gaps' Report

- At the November 22, 2017, meeting of the Governance and Nominating Committee (GNC), the GNC asked the Registrar to prepare a report addressing gaps in the implementation of HRPAs regulatory framework as identified in an earlier briefing note to the GNC. This report was presented to the GNC at its January 31, 2018, meeting. The report was well received by the GNC. The Gaps report was received by the Board at its April 5, 2018 meeting.

Adding registrant low compliance levels to the risk register

- At the January 31, 2018, meeting of the Board, the Registrar tabled a brief entitled 'Risk for Self-regulating Professional Regulatory Bodies' and a report entitled 'Adding registrant compliance to the risk register.' The Board accepted the analysis provided by the Registrar and agreed that the Risk Register should be reviewed to consider additional risks which do not presently appear in the Risk Register.

The Regulatory Outcome Scorecard

- The Regulatory Outcomes Scorecard was completed. This report completes the “*Measuring the performance of HRPAs as a professional regulatory body*” project which was begun in January 2017.
- Completing the scorecard required collecting data on questions that had not been the subject of attention before:
 - In January 2018, HRPAs commissioned Ipsos to conduct public opinion surveys on Ontarians’ perceptions of the Human Resources profession and Human Resources professionals.
 - In February 2018, HRPAs commissioned Signals Regulatory Solutions to conduct interviews with 100 registrants on their attitudes towards professional regulation and HRPAs as a professional regulatory body.
- The Regulatory Outcomes Scorecard report was presented to the Board at its June 28, 2018, meeting.

An updated functional diagram

For this Registrar’s Report, we have updated the functional diagram to more closely align with the statutory objects of HRPAs as set out in our *Act*.



Quarterly compliance update

At the December 11, 2017 meeting of the HRP Board of Directors, the Board passed a motion that the Registrar be instructed to include an update on levels of compliance in all subsequent Registrar's Reports.

At the January 2018 meeting of the Board, the Board approved an amendment to HRP's risk register which saw the lack of compliance with regulatory obligations on the part of registrants as the top risk for HRP.

The Regulatory Outcome Scorecard adopted by the Board at the June 2018 meeting of the Board defined two generalized precursors/enablers of regulatory performance:

1. Receptivity to governance and regulation by HRP, and
2. Public confidence in the regulation of the profession

Compliance levels may be seen as indicators of receptivity to governance and regulation by HRP. The three key compliance items tracked by the OOTR are:

1. Compliance with the requirement to notify Registrar of bankruptcies and insolvency events,
2. Compliance with the requirement to obtain professional liability insurance and notify the Registrar of such for registrants in independent practice, and
3. Compliance with the continuing professional development requirement for designated registrants.

The bottom line is that (1) compliance rates at HRP are unacceptably low, and (2) there is no evidence that compliance rates are improving.

Compliance with the requirement to notify Registrar of bankruptcies and insolvency events

There were no new notices of bankruptcies or insolvency events received by the Registrar in Q4 2018. Based on self-report in the 2018 HRP Member and Student survey, we would expect 41 bankruptcies and insolvency events to have occurred amongst HRP members in the last quarter, and 164 bankruptcies and insolvency events to have occurred amongst HRP members in the last year.

The compliance rate for the requirement to notify the Registrar of bankruptcies or insolvency events for 2018 was:

$$\frac{5}{164} = 3.0\%$$

Although the requirement to notify Registrar of bankruptcies and insolvency events is set out in the *Registered Human Resources Professionals Act, 2013*, it was not enacted until September 2016. It was hoped that low compliance rates for this requirement would start picking up, this data suggests that the compliance rate for this requirement is not on an upward trend.

Compliance with the requirement to obtain professional liability insurance and notify the Registrar of such for registrants in independent practice

The compliance rate for the requirement to obtain professional liability insurance and notify the Registrar of such for registrants in independent practice. The compliance rate for this requirement is calculated based on data sourced from the Annual Member and Student Survey, which is done in May of each year.

Summary table	2016	2017	2018
Total number of members and students	23,713	24,124	23,978 ¹
Number of survey respondents	3,508	2,472	2,334 ²
Number of survey respondents in independent practice	269	160	148
Estimated number of members and students in independent practice	1,818	1,387	1,520
Actual number of members and students with professional liability insurance	529	531	572
Compliance rate for the Professional Liability Insurance requirement	.29	.38	.38

The total number of registrants authorized for independent practice on November 30, 2018 was 578, Thus, there is little to suggest that the compliance rate had changed since May 2018.

It could be that the compliance rate for the professional liability requirement is somewhat overstated by the fact that usually once somebody is authorized, they stay that way until they inform us that their policy has expired/been cancelled. Few registrants have informed us that their policy has expired/been cancelled. There are currently no checks and balances in place since the OOTR does not have the resources to ask registrants to submit proof of their insurance annually and do all the follow up/update their records with the new expiration date.

The compliance rate for the professional liability requirement will be updated again in May 2019 when the information from the 2019 Member and Student Survey becomes available.

Nonetheless, a compliance rate of 38% is much below what would be acceptable.

Compliance with the requirement for designated registrants to participate in Continuing Professional Development and to submit a completed CPD log every three years

There were 5960 designated members due to submit their CPD Log by May 31, 2018. A total of 5288 designated members submitted their CPD log as of November 30, 2018. 293 designated members were granted extensions to meet the CPD requirement as per the CPD extension policy. We can remove these extensions from the numerator and denominator

$$CPD\ Compliance\ rate = \frac{5288 - 293}{5960 - 293} = 88\%$$

¹ This is the number of registrants on the public register on April 2, 2018.

² This is the number of respondents to this question.

A compliance rate of 88% is much better than the compliance rate for the requirement to notify the Registrar of bankruptcies or insolvency events or the requirement to obtain professional liability insurance, but it is marginal, nonetheless. One in ten members subject to the continuing professional development requirement will fail to meet the requirement. (Imagine if one in ten physicians failed to meet their CPD requirement.)

178 designation were revoked due to CPD non-compliance. These individuals were reclassified as *practitioner* members.

Public register

Table 2: Registration by class based on fiscal year (November 30, 2017, to November 30, 2018)

Table 2 gives registration by class as of November 30, 2018, and year-over-year in comparison with November 30, 2017. Total registration now stands at 23,448, with 20,673 members and 2,775 students. Between November 30, 2017 and November 30, 2018, total registration grew by 1.4%.

The impact of registration class on retention is clearly evident.

Over all registration classes, retention stood at 86.4% with a turnover rate of 13.5%. There are clear differences between designated members, undesignated members, and students. For designated members, retention stood at 94.5% with a turnover rate of 5.5%. For undesignated members, retention stood at 75.4% with a turnover rate of 23.8%. For students, retention stood at 65.3% with a turnover rate of 33.8%.

Table 3: Registration by province as of November 30, 2018

Table 3 gives the registration by class across provinces. As of November 30, 2018, HRPA had 359 registrants residing in provinces other than Ontario. This represents a drop of 19 registrants HRPA registrants compared to a year ago. The biggest losses from Alberta, from 156 on November 30, 2017 to 101 on November 30, 2018.

Table 2: Registration by class based on fiscal year (November 30, 2017, to November 30, 2018)

			Registration loss			Net Growth	% Growth	Retention Rate	Turnover Rate	
	30-Nov-17	30-Nov-18	Registration gain	Resignations	Revocations					Total registration loss
Students (registered but not members)	2640	2775	1051	164	752	916	135	5.1%	65.3%	33.8%
Undesignated Members	5759	6144	1802	289	1128	1417	385	6.7%	75.4%	23.8%
Practitioner	5536	5892	1706	266	1084	1350	356	6.4%	75.6%	23.6%
Allied Professional	223	252	96	23	44	67	29	13.0%	70.0%	28.2%
Designated members	14717	14529	623	287	524	811	-188	-1.3%	94.5%	5.5%
Highest designation CHRP (including CHRP retired)	5395	5184	225	140	296	436	-211	-3.9%	91.9%	8.2%
Highest designation CHRL (including CHRL retired)	9053	9076	385	144	218	362	23	0.3%	96.0%	4.0%
Highest designation CHRE (including CHRE retired)	269	269	13	3	10	13	0	0.0%	95.2%	4.8%
Total members	20476	20673	2425	576	1652	2228	197	1.0%	89.1%	10.8%
Total registrants	23116	23448	3476	740	2404	3144	332	1.4%	86.4%	13.5%
Students as a proportion of registrants	11.4%	11.8%								
Designated members as a proportion of membership	71.9%	70.3%								
Designated members as a proportion of registration	63.7%	62.0%								

Table 3: Registration by province as of November 30, 2018

	Ontario	Alberta	Quebec	British Columbia	Nova Scotia	New Brunswick	Saskatchewan	Manitoba	Northwest Territories	Newfoundland and Labrador	Prince Edward Island	Nunavut	Yukon	Total (non-Ontario)
Students (registered but not members)	2744	10	10	2	2	3	1	0	0	0	0	0	0	28
Undesignated Members	5917	27	39	20	9	1	8	2	2	3	2	3	1	117
Practitioner	5672	26	36	20	9	1	8	2	1	2	2	3	1	111
Allied Professional	245	1	3	0	0	0	0	0	1	1	0	0	0	6
Designated members	14184	64	56	41	15	8	11	4	1	4	3	3	4	214
Highest designation CHRP (incl. CHRP retired)	5089	19	16	14	6	2	3	2	0	2	3	0	3	70
Highest designation CHRL (incl. CHRL retired)	8841	41	37	25	9	6	8	2	1	2	6	3	1	135
Highest designation CHRE (incl. CHRE retired)	254	4	3	2	0	0	0	0	0	0	0	0	0	9
Total members	20101	91	95	61	24	9	19	6	3	7	5	6	5	331
Total registrants November 30, 2018	22845	101	105	63	26	12	20	6	3	7	5	6	5	359
Total registrants November 30, 2017	22513	156	87	59	20	8	17	8	3	7	4	5	4	378
Year-over-year count	332	-55	18	4	6	4	3	-2	0	0	1	1	1	-19
Year-over-year percent	1%	-35%	21%	7%	30%	50%	18%	-25%	0%	0%	25%	20%	25%	-5%

List of Registrar's reports for 2018

Table 4: OOTR reports for 2018

Report	Date	Description
Fair Registration Practices Report	March 1	HRPA is required to file its annual Fair Registration Practices Report to the Office of the Fairness Commissioner no later than March 1 for the previous calendar year. HRPA is required to publish this report on its website. The report is also published by the Office of the Fairness Commissioner on its website.
Quarterly Registrar's Report	March 10 June 10 September 10 December 10	The Registrar's Reports give an account of Office of the Registrar activities in the previous quarter. The emphasis is on activity and outputs. The Registrar's Report includes summaries of complaints, discipline, and appeals initiated in the previous quarter. The quarterly Registrar's Report also includes a section on compliance.
Compliance Report	May 15	The compliance report gives estimates of the compliance rates for different registrant obligations such as compliance rates with the professional liability insurance requirement and the requirement to notify the Registrar if bankruptcies and insolvency events
HRPA Member and Student Survey	May 30	The HRPA Member and Student Survey includes a section on regulatory matters, but there are questions embedded in other sections of the survey that are important in to calculate compliance rates with the professional liability insurance requirement and the requirement to notify the Registrar if bankruptcies and insolvency events. The HRPA Member and Student Survey has included questions on perceptions of HRPA as a professional regulatory body and the degree of buy-in in regard to HRPA's regulatory mission and mandate.
Complaints Benchmarking Report	June 10	Using the data published in annual reports, this report looks at the rate of complaints per 1000 registrants for all professional regulatory bodies governed by public act in Ontario in the last year. The purpose of this report is to put HRPA's complaint rate in context.
Regulatory decision-making and adjudicative committee report	December 1	This report is intended to provide the Board with all the information it would need to exercise its oversight role in regard to HRPA's Regulatory decision-making and adjudicative committees.

OOTR activity summary

Table 5: 2018 Q4 OOTR activity by the numbers³

Activity	Count
Revocations for non-payment of dues*	2499
Applications referred to Experience Assessment Committee	1076
Number of exams administered	492
Certificates issued	412
Candidates completing Job Ready program	205
Number of CPD logs to be audited by CPD Committee	184
Designation revocations due to CPD non-compliance*	178
Resignations processed	53
Revocations for incomplete renewal*	50
Referrals to CHRE Review Committee	25
Designation revocations due to CPD audit non-compliance*	10
Referrals to Appeal Committee	7
Number of courses reviewed by the Academic Standards Committee	6
Regulatory Webinars Completed	5
Referrals to Registration Committee	2
Referrals to Complaints Committee	1
Regulatory Newsletters issued	1
Suspensions of registration due to non-payment of dues	0
Referrals to Review Committee	0
Referrals to Discipline Committee	0
Referrals to Capacity Committee	0

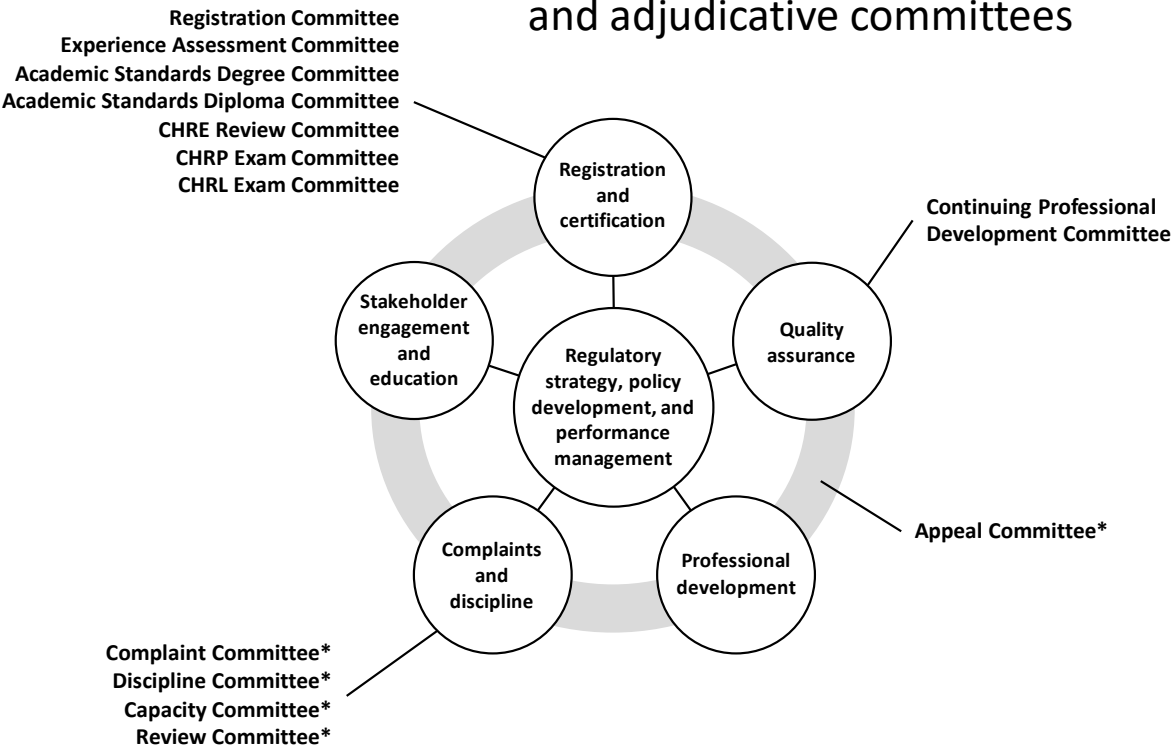
³ *Revocation numbers are accurate as of November 30, 2018. Exceptions have been made on a case-by-case basis if a revocation was the result of exceptional circumstances and as such some revocations have been lifted.

Table 6: 2018 Annual OOTR activity by the numbers

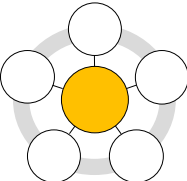
Activity	Count
Suspensions of registration due to non-payment of dues	3002
Revocations for non-payment of dues*	2499
Number of exams administered	2246
Applications referred to Experience Assessment Committee	1831
Participants in OOTR webinars	1213
Certificates issued	1131
Resignations processed	705
Candidates completing Job Ready program	646
Designation revocations due to CPD non-compliance*	178
Referrals to CHRE Review Committee	61
Revocations for incomplete renewal*	50
Number of courses reviewed by the Academic Standards Committee	40
Referrals to Registration Committee	22
Referrals to Appeal Committee	12
Referrals to Complaints Committee	14
Regulatory Webinars Completed	13
Referrals to Review Committee	13
Designation revocations due to CPD audit non-compliance*	10
Regulatory Newsletters issued	3
Number of CPD logs to be audited by CPD Committee	0
Referrals to Discipline Committee	0
Referrals to Capacity Committee	0

Function-by-function Review

HRPA’s regulatory decision-making and adjudicative committees

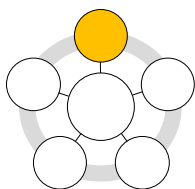


* Statutory committees are denoted by an asterisk



Strategy and coordination

- A report was presented to the Board in Q4 regarding the policy development process at HRPAs as the resource implications of establishing a policy development capability at HRPAs. The budget for hiring a policy analyst was subsequently approved and the Office of the Registrar is looking to fill the position in 2019.



Registration and certification

Registration Committee

Chair: Frank Tancredi

- There were three cases in progress prior to the start of Q4 (September 1, 2018 to November 30, 2018).
- There were two referrals to the Registration Committee between September 1, 2018 to November 30, 2018.
- The Registration Committee disposed of three cases in Q4 and the Registrar approved two.
- 22 cases were disposed of between December 1, 2017, and November 30, 2018 (two were carried over from Dec 1, 2016-Nov 31, 2017). Below is the breakdown of dispositions:

Approved for registration	16
Approved but with conditions	5
Not approved	1
Total	22

- In total, in the year between December 1, 2017, and November 30, 2018, 19 applications were referred to the Registration Committee, which is an increase from the 13 referrals in the previous year.

Experience Assessment Committee

Chair: Mark Seymour

- The big story with the Experience Assessment Committee is the surge in Validation of Experience applications as a result of a November 30, 2018 deadline. Candidates for the CHRL who submitted their Validation of Experience applications on or before November 30, 2018, if successful, would not be subject to any additional requirements such as being required to pass the CHRL Employment Law Exam.

	December	January	February	March	April	May	June	July	August	September	October	November	Total
2018	68		38	54	56	66	71	66	164	171	244	832	1830
2017	26	20	46	44	26	31	34	35	32	38	37	70	439

- In 2018, there were 1830 submissions to the Experience Assessment Committee. In 2017, the number was 439. This represents a 417% year-over-year increase in the number of submissions.
- Between September 1, 2018 to December 31, 2018, 402 applicants were provided with their results from the July 31st, August 31st and September 28th submission deadlines.

Q4	Applications	Pass rate
Validation of experience	379	59.1%
Alternate route	23	82.6%

- Pass rates don't reflect results from the October and November 2018 applications because those will be released in January and February/March 2019 respectively.
- Between October 31, 2018 and November 31, 2018, **1076** Validation of Experience and Alternate Route applications were received and processed in total (sent to the Experience Assessment Committee for review).
- We are merging the December 30, 2018 and January 31, 2019 submission deadline due to volume of applications received for the November 30, 2018 deadline. The December/January applications are still under review for completeness and only those applications that are complete will be forwarded to the Experience Assessment Committee. The applications that are complete will be reflected on the next Registrar's report.

Academic Standards Diploma Committee

Chair: John Hardisty

- There was one course approval application for schools or students referred to the Academic Standards Diploma Committee between September 1, 2018, and November 30, 2018. Upon review the course was not approved.

Academic Standards Degree Committee

Chair: Carolyn Capretta

- Between September 1, 2018, and November 30, 2018, three course approval applications for schools were received and two were approved. Between September 1, 2018, and November 30, 2018, two course approval applications for students were processed and both were not approved.

CHRE Review Committee

Chair: Bob Canuel

- The number of CHREs currently stands at 269.
- Between September 1, 2018 and November 30, 2018, 25 Phase II CHRE applications were reviewed by the CHRE Review Committee. Two (2) applications were successful and the CHRE designation was granted.

- 50 Phase II applications were submitted. Of those, 30 applications were submitted to meet the November 30, 2018 deadline. Up until November 30 an individual only needs to become a member and pay the application fee to be granted the CHRE designation. As of December 1, 2018, all individuals must be members and pay the CHRE application fee upon submission of a Phase II application.

Exams

2018 Exam schedule

	Window	
CHRP Employment Law Exam (ELE 1)	Jan 8 – Jan 22	Q1
CHRL Employment Law Exam (ELE 2)	Jan 15 – Jan 29	
CKE 1	Feb 12 to Feb 26	
CKE 2	March 5 – March 19	Q2
CHRP Employment Law Exam (ELE 1)	May 7 – May 21	
CHRL Employment Law Exam (ELE 2)	May 14 – May 28	
CKE 1	June 4 – June 18	Q3
CKE 2	June 25 – July 9	
CHRP Employment Law Exam (ELE 1)	Sept 10 – Sept 24	Q4
CHRL Employment Law Exam (ELE 2)	Sep 17 – October 1	
CKE 1	October 9 – October 23	
CKE 2	October 29 – November 12	

Certification Exams

Comprehensive Knowledge Exam 1 (CKE 1)	Candidates	Pass	Pass Rate	Reliability
Feb 2018	165	106	64.24%	.92
June 2018	203	119	58.62%	.90
October 2018	230	154	66.96%	.88
Total for fiscal 2017-2018	368	225	61.1%	

Comprehensive Knowledge Exam 2 (CKE 2)	Candidates	Pass	Pass Rate	Reliability
March 2018	181	114	62.98%	.93
June/July 2018	276	200	72.36%	.93
October/November 2018	305	222	72.87%	.93
Total for fiscal 2017-2018	457	314	68.7%	

CHRP Employment Law Exam	Candidates	Pass	Pass Rate	Reliability
January 2018	120	115	95.83%	.76
May 2018	122	119	97.5%	.72
September 2018	121	111	91.74%	.75
Total for fiscal 2017-2018	242	234	96.7%	

CHRL Employment Law Exam	Candidates	Pass	Pass Rate	Reliability
January 2018	202	174	86.14%	.76
May 2018	160	124	77.99%	.81
September 2018	195	167	85.64%	.75
Total for fiscal 2017-2018	362	298	82.3%	

Challenge Exams

- Challenge exams were held in February, May and September
- There was a total of 184 challenge exam writers

Breakdown of Challenge Exam results by month

Month	Registrants	Pass	Pass Rate
January 2018	60	39	65.0%
May 2018	71	40	56.3%
September 2018	53	35	66.0%
Total for Fiscal 2017-2018	184	114	62.0%

Breakdown of Challenge Exam results by subject

Subject	Registrants	Pass	Pass Rate
Training and Development	33	13	39.4%
Compensation	22	14	63.6%
Organizational Behaviour	19	14	73.7%
Finance and Accounting	23	9	39.1%
Recruitment and Selection	22	11	50.0%
Human Resources Management	18	14	77.78%
Human Resources Planning	14	12	85.71%
Occupational Health and Safety	20	18	90%
Labour Relations	13	9	69.23%
Total for Fiscal 2017-2018	184	114	61.96%

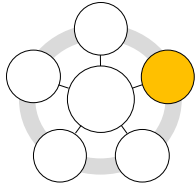
Job Ready Program

Between September 1, 2018 and November 30, 2018, 205 registrants completed the Job Ready Program and were granted the CHRP designation.

Issuance of Certificates

Certificates are issued for all three levels of designation: CHRP, CHRL, and CHRE. A certificate issuance commenced in November, and members were scheduled to receive their certificates by early-December. An email went out to 411 members in August notifying them that they could expect to receive their certificates during this issuance.

	CHRP	CHRL	CHRE	Total
February 2018	53	68	10	131
May 2018	254	94	8	356
August 2018	127	96	9	232
November 2018	208	203	1	412
Total 2018	642	461	28	1131



Quality assurance

Continuing Professional Development

Chair: Vito Montesano

- There were 5960 designated members due to submit their CPD Log by May 31, 2018. A total of 5288 designated members submitted their CPD log as of November 30, 2018.
- 293 designated members were granted extensions to meet the CPD requirement as per the CPD extension policy. We can remove these extensions from the numerator and denominator

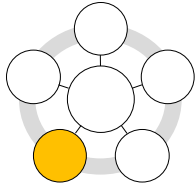
$$CPD \text{ Compliance rate} = \frac{5288 - 293}{5960 - 293} = 88\%$$

- A compliance rate of 88% is much better than the compliance rate for the requirement to notify the Registrar of bankruptcies or insolvency events or the requirement to obtain professional liability insurance, but it is marginal, nonetheless. One in ten members subject to the continuing professional development requirement will fail to meet the requirement.
- 178 designation were revoked due to CPD non-compliance. These individuals were reclassified as *practitioner* members.

2018 CPD Audit Results:

The CPD Audit for 2018 commenced on June 28, 2018. A total of 184 members were selected at random for the audit in February 2018. Of the 184 members:

- 10 members did not renew or resigned
- 148 members successfully passed the audit
- 9 members were granted an extension
- 17 members did not comply with the audit request. Of the 17 members:
 - 10 members were revoked for non-renewal and non-submission of the CPD log and supporting documents for the audit
 - 3 members submitted their CPD log, but did not submit their supporting documents for the audit review
 - 4 members were revoked for non-submission of their CPD log and supporting documents and renewed as practitioner members
- The audit was finalized on December 12, 2018 and achieved an 80% pass rate.



Complaints and discipline

Complaints Committee

Chair: Rahim Shamji

- There were six open complaints prior to the start of Q4 and all were subsequently disposed of in Q4 as well.
- In Q4, one new complaint was registered and is currently in the investigation stage. Details can be found in the chart below (see C-2018-14).
- Overall between December 1, 2017 and November 30, 2018, there were 14 complaints registered with HRP – the highest number of complaints in one year to date. This is up from six complaints for last year.
- It should be noted that of the 14 complaints registered, two complainant’s registered complaints against multiple members (five in total), therefore this may be a factor regarding the increase of the number of complaints received. Although the number of complaints has increased somewhat, the number of complainants has not.
- Additionally, in Q4, the Complaints Committee implemented a Risk Assessment Tool to assist in the decision making and writing process.

Table 7: Complaints registered in 2018

Case	Date complaint filed	Nature of allegations	Date of disposition of complaint and decision of Complaints Committee
C-2018-1	January 19, 2018	It is alleged that an organization has been conducting unlawful employment practices contrary to Employment Standards which the member should have made efforts to rectify or bring to the attention of the organization.	Allegations Dismissed
C-2018-2	January 19, 2018	It is alleged that an organization has been conducting unlawful employment practices contrary to Employment Standards which the member should have made efforts to rectify or bring to the attention of the organization.	Allegations Dismissed
C-2018-3	January 22, 2018	It is alleged that an organization has been conducting unlawful employment practices contrary to Employment Standards which the member should have made	Allegations Dismissed

		efforts to rectify or bring to the attention of the organization.	
C-2018-4	February 5, 2018	It is alleged that the member failed to process WSIB forms correctly and breached confidentiality by sharing the complainant's confidential medical information.	Dismissed - No evidence to support professional misconduct.
C-2018-5	March 8, 2018	It is alleged that the member has acted in a harassing, intimidating and threatening manner and her behaviour is unbecoming of an HR professional.	Oral Caution - The member was given an oral caution regarding the harassing and threatening behaviour toward the complainant as well as putting personal interests above the professional duty of an HR practitioner.
C-2018-6	May 1, 2018	It is alleged that the member has acted in a manner that is unbecoming of a Human Resources Professional, denying the applicant a chance to speak in a meeting or to meet with the member to discuss previous correspondence or to have a witness present in a proposed meeting.	Written Caution - The member was provided with a caution regarding employee relation best practices, the disclosure of confidential information and to remind you of the importance to ensure the interests of both the employer, employee and public are balanced.
C-2018-7	May 5, 2018	It is alleged that the member failed to submit the requested supporting documentation required of a member who answers yes to having experienced a bankruptcy or has filed for a consumer proposal on their annual renewal form.	Withdrawn.
C-2018-8	May 9, 2018	It is alleged that the member participated in several mediation and arbitration sessions despite the fact that the complainant did not want to participate in them. Additionally, the member was aware of a conflict of interest and did not declare it. The complainant alleges that the member knew her rights were being violated. The member acted in a dishonest manner.	Dismissed - No evidence to support professional misconduct.
C-2018-9	May 9, 2018	It is alleged that the member breached confidentiality by sending the complainant the salary and beneficiary information of two other employees that work for the same company.	Written Caution surrounding employee relations best practices and a reminder of the importance of confidentiality and ensuring both the interests of employees and employers are balanced.
C-2018-10	May 28, 2018	It is alleged that the member has engaged in several violations of the Rules of Professional	Written Caution regarding the member taking on duties above and beyond their competencies

		Conduct when dealing with the complainant's return to work after a leave of absence i.e. breach of confidentiality, legal requirements as an HR professional, dignity in the workplace etc.	and dealing with medical information.
C-2018-11	July 31, 2018	It is alleged that the member failed to submit the requested supporting documentation required of a member who answers yes to having been found guilty of an offence on his annual membership renewal form.	
C-2018-12	August 24, 2018	It is alleged that the member did not take the appropriate steps to ensure their actions or "in-actions" were legally and ethically compliant, acted outside of their scope of knowledge, did not initiate an investigation to accommodate the complainant and did not apply legislative requirements of the Ontario Human Rights Code.	
C-2018-13	August 24, 2018	It is alleged that the member did not take the appropriate steps to ensure their actions or "in-actions" were legally and ethically compliant, did not initiate an investigation to accommodate the complainant, did not apply legislative requirements of the Ontario Human Rights Code, did not report another HRPAs member's breach of HRPAs rules of professional conduct, and breached confidentiality by sending the complainant confidential information of another employee.	
C-2018-14	September 11, 2018	It is alleged that the member was incompetent in her role as an HR practitioner regarding the analysis of data, constructing facts, investigating concerns, upholding policies and recommending solutions.	

- In Q4, the Complaints Committee disposed of six complaints (more details in the table below):
 - Four dismissals, including one case rolled over from 2016 due to a parallel proceeding.
 - Two written cautions.

Table 8: Complaints Disposed of in Q4 2018

Case	Date of Decision	Nature of allegations	Date of disposition of complaint and decision of Complaints Committee
C-2016-6	October 15, 2018	The member is accused of having been in breach of her legal responsibilities as a fiduciary employee and her responsibilities pursuant to the HRP Code of Ethics, By-laws and Rules of Professional Conduct, specifically regarding conflict of interest and a breach of confidentiality.	Allegations Dismissed
C-2018-1	October 3, 2018	It is alleged that an organization has been conducting unlawful employment practices contrary to Employment Standards which the member should have made efforts to rectify or bring to the attention of the organization.	Allegations Dismissed
C-2018-2	October 3, 2018	It is alleged that an organization has been conducting unlawful employment practices contrary to Employment Standards which the member should have made efforts to rectify or bring to the attention of the organization.	Allegations Dismissed
C-2018-3	October 3, 2018	It is alleged that an organization has been conducting unlawful employment practices contrary to Employment Standards which the member should have made efforts to rectify or bring to the attention of the organization.	Allegations Dismissed
C-2018-9	September 11, 2018	It is alleged that the member breached confidentiality by sending the complainant the salary and beneficiary information of two other employees that work for the same company	Written Caution surrounding employee relations best practices and a reminder of the importance of confidentiality and ensuring both the interests of employees and employers are balanced.
C-2018-10	October 18, 2018	It is alleged that the member has engaged in several violations of the rules of professional conduct when dealing with the complainant's return to work after a leave of absence i.e. breach of confidentiality, legal requirements as an HR professional, dignity in the workplace etc.	Written Caution regarding the member taking on duties above and beyond their competencies and dealing with medical information.

Annual summary of complaints activity in 2018

	2017	2018				2018
	Total	Q1	Q2	Q3	Q4	Total
Number of complaints filed	6	4	6	3	1	14
Number of complaints closed	8	2	0	4	6	12
Average time to dispose of complaint(s) (days)	145	118	N/A	113	209	

The average time to dispose of complaints is on the high side due to the fact that three complaints required extensive legal and investigative resources that were sought by the Complaints Committee Panels.

Year	Number of registrants at end of reporting period	Complaints	Complaint Rate per 1000 registrants
2018	22334	14	.62
2017	23116	6	.26
2016	23155	9	.39
2015	22372	5	.22

Comparator group (excluding HRPAs)	2016			2017		
	n	Mean	Median	n	Mean	Median
All professions regulated by public act in Ontario	37	11.82	5.36	38	18.34	6.80
Non-health professions	11	14.29	2.49	11	15.66	2.45

- HRPAs received 14 complaints in 2018. The number of complaints does appear to have evidenced an increase for 2018. This increase needs to be put in perspective, however.
 - At a rate of 6.80 complaints per 1000 registrants (the median number of complaints per 1000 registrants across all professional regulatory bodies in Ontario), HRPAs would have received 157 complaints in 2017.
 - At a rate of 2.45 complaints per 1000 registrants (the median number of complaints per 1000 registrants across all non-health professional regulatory bodies in Ontario), HRPAs would have received 60 complaints in 2017.

Discipline Committee

Chair: Stephanie Izzard

There were no new referrals to the Discipline Committee in Q4.

There were no new referrals to the Discipline Committee in 2018.

Capacity Committee

Chair: Stephanie Izzard

There were no new referrals to the Capacity Committee in Q4.

There were no new referrals to the Capacity Committee in 2018.

Review Committee

Chair: Susan Bryson

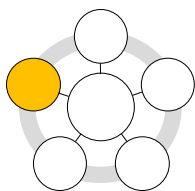
- There were no new notice of bankruptcy or insolvency events received by the Registrar in Q4 2018. There are eight (8) cases that are ready to be referred to the Committee. A panel is due to reconvene for 2 previously heard cases.

	2017	2018				2018
	Total	Q1	Q2	Q3	Q4	Total
Number of notices of bankruptcies or insolvency events receive by the Registrar	13	2	2	1	0	5
Number of cases reviewed by Review Committee	2	0	10	6	0	16

- There were no new notices of bankruptcies or insolvency events received by the Registrar in Q4 2018. Based on self-report in the 2018 HRPAs Member and Student survey, we would expect 41 bankruptcies and insolvency events to have occurred amongst HRPAs members in the last quarter, and 164 bankruptcies and insolvency events to have occurred amongst HRPAs members in the last year.
- The compliance rate for the requirement to notify the Registrar of bankruptcies or insolvency events for 2018 was:

$$\frac{5}{164} = 3.0\%$$

- Although the requirement to notify Registrar of bankruptcies and insolvency events is set out in the *Registered Human Resources Professionals Act, 2013*, it was not enacted until September 2016. It was hoped that low compliance rates for this requirement would start picking up, this data suggests that the compliance rate for this requirement is not on an upward trend.



Stakeholder engagement and education

Regulatory Affairs newsletter

The *Regulatory Affairs* newsletter is published pursuant to By-laws 13.08, 13.13, 13.18, and 13.19.

As set out in the By-laws, the Regulatory newsletter shall include but not be limited to:

- (a) Notices of annual meetings;
- (b) Election results; and
- (c) All information as set out in Section 13.08 and Section 13.13 with respect to discipline or review proceedings. Where there is a dissenting opinion prepared by a member of the panel and the decision, finding or order of the Discipline Committee or the Review Committee is to be published, in detail or summary, any publication will include the dissenting opinion.

The first issue for volume three of the Regulatory Affairs newsletter was published on March 12, 2018. The second issue for volume three of the Regulatory Affairs newsletter was published on June 11, 2018. The third issue for volume three of the Regulatory Affairs newsletter was published on September 12th, 2018.

Due to an internal grandfathering deadline of November 30th the fourth issue of the newsletter was postponed and is scheduled to be published the week of January 21, 2019.

OOTR Summer Webinars

In Q4 the OOTR hosted two webinars in “Understanding Regulation” and three in the “How-To” series for a total of five webinars. The following two tables outlines the webinar topics, number of registrants and attendees.

Understanding Regulation webinar series

This series provides members with various topics related to HRPAs’ mandate as a professional regulatory body.

Webinar topic	Date	Number of Registrants	Number of attendees
The Professional Liability Insurance Requirement Explained	November 1, 2018	103	51
Professionalism	November 6, 2018	215	112
Total		318	163

How-To webinar series

This series guides candidates through various Office of the Registrar processes and applications.

Webinar topic	Date	Number of Registrants	Number of attendees
The CPD Requirement Explained	October 18, 2018	144	71
Let's Talk Exam	October 25, 2018	127	71
Designation Update	October 30, 2018	225	114
Total		496	256



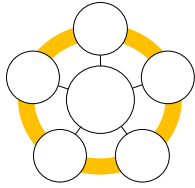
The LinkedIn series of articles

- Not to get in the way of the launch of the new strategy, the LinkedIn series was temporarily put on hold. There were no new articles in the LinkedIn series in Q4.
- 28 LinkedIn articles were published in 2018

Table 9: List of LinkedIn articles published in 2018

#52	The evolution of the objects of the HRPAs and predecessor organizations	December 1, 2017
#53	Spearheading professionalization: In Stage 5 professional regulatory bodies must take a leadership role	December 4, 2017
#54	What will it look like when we get there?	December 6, 2017
#55	What is the difference between a professional association that offers designations and a professional regulatory body?	December 8, 2017
#56	A better analogy for voluntary professional regulation	December 12, 2017
#57	Vision, mission, and strategy: How's it different for professional regulatory bodies?	December 14, 2017
#58	Why would anyone want to become a member of the HRPAs since the members only have obligations but no additional benefits in comparison with those who are not members?	January 5, 2018
#59	But members really don't want this regulation stuff... or do they?	January 12, 2018
#60	What is success as a professional regulatory body?	January 26, 2018
#61	What is HRPAs?	February 2, 2018
#62	Objects and goals	February 9, 2018
#63	A model which explains how members benefit from professional regulation	February 16, 2018
#64	The big confusion: HRPAs is an association but perhaps not in the way that most think it is	February 23, 2018
#65	When incidental outcomes are mistaken for purposes	March 2, 2018
#66	Seven reasons why members and students are confused about HRPAs's identity as a professional regulatory body	March 9, 2018

#67	WIIFM thinking is corrosive to professional regulatory bodies	March 16, 2018
#68	Bang for the buck: What does it mean for professional regulatory bodies?	April 11, 2018
#69	HRPA has the lowest rate of complaints of all professional regulatory bodies in Ontario: Is that good or bad?	April 17, 2018
#70	Members are not customers	April 24, 2018
#71	Compliance	May 1, 2018
#72	What is the difference between a designation and a profession?	May 8, 2018
#73	<i>"What does regulation actually mean for us in plain language?"</i>	May 17, 2018
#74	Who said education can't be regulation?	May 22, 2018
#75	The differences between professional regulatory bodies and professional associations revisited	May 29, 2018
#76	It's a focus, it's an agenda, it's a role... no, it's a mandate	June 5, 2018
#77	Proactive v reactive professional regulation	June 26, 2018
#78	From a compliance mindset to a mandate mindset	July 3, 2018
#79	What does the public think of Human Resource professionals?	July 17, 2018



Appeals

Appeals Committee

Chair: Melanie Kerr

16 appeals were filed with HRPAs between December 1, 2017 – November 30, 2018. This is up from 11 appeals filed last year. In addition, the appeals below were filed before December 1, 2017 and were dealt with in 2018:

- 1 appeal was filed in August 2017 and reviewed in January 2018
- 1 appeal was filed in September 2017 and withdrawn in December 2018
- 1 appeal was filed in November 2017 and reviewed in April 2018
- 1 appeal was filed in April 2014 and the pre-conference call is still to be scheduled for early 2019

In Q4, Kim Pepper stepped down as Committee Chair but remains a member of the Committee. As of October 1, 2018, Melanie Kerr stepped into the role of Committee Chair and Maureen Quinlan stepped into the role of Committee Vice-Chair. The Committee also welcomed three new designated members.

Eleven appeals were filed in Q4. The Committee Chair approved seven to move forward, three are still with the Committee Chair for review, and one is with the appellant as more information is required before submitting to the Committee Chair for review. There was a higher number of appeals filed regarding decisions rendered by the Experience Assessment Committee as there was a November 30, 2018 CHRL grandfathering deadline for Validation of Experience applications.

An appeal that was originally filed in 2014 remains on-going. A pre-hearing conference was scheduled for February 15, 2018 but was cancelled at the last minute by the appellant. The Panel Chair is currently trying to schedule the pre-hearing conference with a hearing to follow.

Table 10: 2018 Appeal Activity

	Date Appeal Filed	The nature of the appeal	The outcome of the appeal
A-2014-4	April 3, 2014	Complaints process is not fair and not without bias	A pre-hearing conference was scheduled in February 2018 but was cancelled last minute by the appellant. It is currently being rescheduled.
A-2017-10	August 11, 2017	Complaints Committee did not fairly review the submitted	Upheld decision of the Complaints Committee

		documents. The process and decision was discriminatory.	
A-2017-11	September 25, 2017	Experience Assessment Committee made an error in the assessment of application	The appellant withdrew their appeal
A-2017-13	November 6, 2017	CHRE Committee overlooked or under estimated the experience listed in the application	Upheld decision of the CHRE Committee
A-2018-1	December 6, 2017	Complaints Committee did not consider all facts of the complaint.	Upheld decision of the Complaints Committee
A-2018-2	December 15, 2017	Experience Assessment Committee did not consider all facts in the Validation of Experience application	Upheld decision of the Experience Assessment Committee
A-2018-3	January 17, 2017	Experience Assessment Committee failed to consider all facts, were biased, prejudiced and not impartial. The judgement applied by the panel was unfair and unreasonable and was discriminatory.	HRPA made an agreement with the appellant and the appellant withdrew their appeal
A-2018-4	April 20, 2018	Experience Assessment Committee did not consider the correct facts and did not apply the correct rule/policy for the application	Upheld decision of the Experience Assessment Committee
A-2018-5	July 27, 2018	Experience Assessment Committee made an error in the analysis of the application.	HRPA made an agreement with the appellant and the appellant withdrew their appeal
A-2018-6	September 5, 2018	Experience Assessment Committee made an error in assessing the application	HRPA made an agreement with the appellant and the appellant withdrew their appeal
A-2018-7	September 7, 2018	Complaints Committee failed to consider the correct facts and failed to apply the correct rule/policy in making their decision	The appellant withdrew their appeal
A-2018-8	September 10, 2018	Experience Assessment Committee made an error in assessment of application	Decision is currently being written
A-2018-9	September 18, 2018	Experience Assessment Committee made an error in assessment of application	Upheld the decision of the Experience Assessment Committee

A-2018-10	September 26, 2018	Experience Assessment Committee made an error in assessment of application	The appellant withdrew their appeal
A-2018-11	September 26, 2018	Experience Assessment Committee made an error in assessment of application	HRPA made an agreement with the appellant and the appellant withdrew their appeal
A-2018-12	November 12, 2018	Complaints Committee made an error in their decision-making process. The complaint needs to be reconsidered, this time with a clear understanding of the applicable legislation	Panel review date has been set for February 2019
A-2018-13	November 26, 2018	Experience Assessment Committee made an error in assessment of application	Appeal is currently with Committee Chair for review
A-2018-14	November 28, 2018	Experience Assessment Committee made an error in assessment of application	Appeal is currently with Committee Chair for review
A-2018-15	November 28, 2018	Experience Assessment Committee made an error in assessment of application	Appeal is with appellant as the request for appeal was incomplete and more information is needed before the appeal can be submitted to Committee Chair for review
A-2018-16	November 28, 2018	Experience Assessment Committee made an error in assessment of application	Appeal is currently with Committee Chair for review

It can be seen that most of the appeals are of decisions of the Experience Assessment Committee and of the Complaints Committee.

Decision of the CHRE Committee	1
Decision of the Experience Assessment Committee	14
Decision of the Complaints Committee	5
Total	20

Analysis of appeal decisions for 2018

Number of appeal decisions released in 2018	6
Decisions for HRPA	6
Decisions against HRPA	0
Requests for appeal withdrawn by appellant after making agreement with HRPA (no decision issued)	4
Requests for appeal withdrawn by appellant (no decision issued)	3

A total of six decision were issued by the Appeal Committee, all of which upheld the decisions of the original committee.