

Board of Directors Meeting Agenda

June 13, 2024 3:00 pm ET

Ottawa, Ontario and Online via Zoom

ITEM	TOPIC	PAGE	ACTION
1. Introductory Matters/Call to Order/ Approval of Agenda/Conflicts of Interest			
1.1	Call to Order (R. McHugh, Chair) – 3:00 p.m. Introductory Remarks	-	-
1.2	Conflicts of Interest (R. McHugh, Chair) – 3:05 p.m. Board members are to declare if they have any conflicts regarding matters on the agenda	-	-
1.3	Approval of Agenda (R. McHugh, Chair) – 3:05 p.m. Board members approve agenda as circulated or as amended if there are any additions or deletions	-	For Approval
2. Approval of Minutes			
2.1	Approval of Minutes (R. McHugh, Chair) – 3:05 p.m. Motion: Be it resolved that the Minutes of the March 22, 2024 Board meeting are approved. 1. Minutes – 2024-03-22 Board Meeting	4	For Approval
3. Reports			
	Committee and other reports (Various Presenters) – 3:10 pm Purpose – CPATA’s committees play a vital role in CPATA’s regulatory initiatives. Each Committee has a unique function, as described in the reports. To consider committee recommendations presented to the Board from time to time for approval, and to otherwise meet its fiduciary oversight duties, the Board receives regular reports from each Committee. Input – Committee reports (listed below)		For Information

	<p>Output – Board considers reports and recommendations from Committees for information and adoption.</p> <p>Going forward – Ongoing reports from Committees to advance CPATA governance and regulatory initiatives.</p> <p>Committee Reports:</p> <ol style="list-style-type: none"> Investigations Committee (V. Rees, General Counsel, Professional Regulation) 8 Discipline Committee (V. Rees, General Counsel, Professional Regulation) 10 Registration Committee (J. Slabodkin, Deputy Registrar) 11 Governance Committee (K. Bawa, Committee Chair) 14 Audit and Risk Committee (S. Walker, CFO, J. Strawczynski, CEO & Registrar) 16 <p>5a: March 31, 2024 Financial Statements 18 5b: Legislative Compliance Memo 24</p> <p>CEO Report – 3:30 pm</p> <ol style="list-style-type: none"> CEO Report (J. Strawczynski, CEO & Registrar) 27 		
4. Committee Appointments			
4.1	<p>Motion regarding Committee Appointments (R. McHugh, Chair) – 3:40 p.m.</p> <p>The motion for Committee appointments will be presented at the Board meeting.</p>	-	For Approval
5. Fiscal Responsibility			
5.1	<p>Appointment of Auditors (S. Walker, CFO J. Strawczynski, CEO & Registrar) – 3:50 pm</p> <p>MOTION: Be it resolved the Board reappoints Grant Thornton LLP as External Auditor for CPATA’s 2024 year-end audit.</p> <p>Purpose – The Board oversees CPATA’s operations and approves the appointment of the annual auditors for each fiscal year.</p> <p>Input – <i>Memo from Audit & Risk Committee (recommendation)</i></p> <p>Output – Grant Thornton LLP appointed external auditors for 2024 year-end audit (approved)</p> <p>Going forward – The appointment of external auditors for the following year to be reviewed in 2025.</p> <p>Materials: Memo from Audit & Risk Committee</p>	41	For Approval

Other Business

Other business – 3:55PM

In Camera – 4:00 pm

In camera discussions

For Information

1. New Policies
 - [Travel and Expense Policy](#) (revised May 2024)
2. Communications
 - [March Newsletter](#)
 - [April Newsletter](#)
 - [May Newsletter](#)

Future meetings – 2024

September 20/24 – Board Public meeting (Virtual)

November 7/24 – Board Public meeting (In person-Ottawa)

December 5/24 – Board Public meeting (Virtual)

**Public Board of Directors
Meeting
Held via Zoom
March 22, 2024
12 p.m. ET
Minutes**

BOARD MEMBERS:

Ruth McHugh, Chair
Iris Almeida-Côté
Jeff Astle
Amber Batool
Brigitte Chan
Tom Conway
Andrew Currier
Leonora Hoicka
Karima Bawa

STAFF:

Juda Strawczynski, CEO and Registrar
Jennifer Slabodkin, Director of Registration and Education,
Deputy Registrar
Sean Walker, CFO
Victoria Rees, General Counsel, Professional Responsibility
Andres Diaz, Director of Operations
Dana Dragomir, Director of Communications

GUESTS:

Tina McKay
Bob Plamondon (present between 12:22 p.m. and 1:04 p.m.)

1. **Introductory Matters/Call to Order/Approval of Agenda/Conflicts of Interest**

The meeting was called to order at 12:06 p.m. ET.

The Chair acknowledged that CPATA is the federal regulator of patent agents and trademark agents in the land we call Canada, the traditional and ancestral territory of many Indigenous Peoples. Ruth McHugh made opening remarks. No conflicts of interest were declared. The agenda was adopted unanimously.

2. Consent Agenda

Motion: Be it resolved that the Minutes of the December 14, 2023 Board meeting are approved.

Moved: Karima Bawa

Seconded: Amber Batool

Motion carried.

3. Reports

Victoria Rees gave an oral report on the work of the Investigations Committee and the Discipline Committee. She clarified that, following a decision of the Discipline Committee to suspend an agent's licence, CPATA takes several steps to protect the licensee's clients. Although the CPATA Act does not allow for the appointment of a custodian like many Law Societies' legislation, CPATA communicates directly with the licensee about their clients and CIPO is advised of the suspension so that they can contact the licensee's clients directly. Victoria Rees also confirmed that Discipline Committee decisions will be posted to CanLii for transparency and to aid in co-regulation efforts and that it remains a priority for them to be published quickly.

Bob Plamondon joined the meeting at 12:22.

Tina McKay gave an oral report on the work of the Registration Committee, including the fair registration practices. Tina McKay clarified that the self-assessment process was undertaken using the guide of the Ontario Fairness Commission. Juda Strawczynski mentioned that the federal government, in creating CPATA, noted the absence of fairness legislation at the federal level, and that CPATA is attempting to abide by the spirit of emerging provincial legislation although it is not subject to it.

Karima Bawa gave an oral report on the work of the Governance Committee.

Bob Plamondon gave an oral report on the work of the Audit and Risk Committee. Juda Strawczynski outlined the legislative compliance memo, providing an additional comment that CPATA has, since the publication of the memo, received the Final report on the follow-up to the recommendations from the Official Languages Commissioner, noting that CPATA met all of the Commissioner's recommendations and did so promptly. Sean Walker gave oral report on the January Financial Statements.

4. 2023 Audited Financial Statements

Sean Walker presented the memo from the Audit and Risk Committee and CPATA's

Audited Financial Statements for 2024.

The Board approves CPATA's Audited Financial Statements for the period ending December 31, 2023 as provided in this meeting package;

Further, be it resolved the Chair or Vice-Chair of the Board and the Chief Executive Officer are authorized to sign the statements on behalf of the College and the CEO is authorized to publish the statements on CPATA's website and distribute them as required.

Moved: Tom Conway
Seconded: Brigitte Chan
Motion carried.

Bob Plamondon left the meeting at 1:04p.m.

Following the meeting, an error in the Audited Financial Statements in the amount of \$5000 was brought to the attention of the Board, at which time to Board re-constituted in-camera and approved the corrected Audited Financial Statements.

5. **Reports**

Juda Strawczynski spoke about updates to the Regulatory Principles that Guide our Work document.

Victoria Rees gave an oral report on CPATA's Professional Responsibility Program.

Jen Slabodkin gave an oral report on CPATA's Professional Development and Competency initiatives.

Juda Strawczynski gave an oral report from the CEO outlining key initiatives and updates since the last Board meeting.

6. **Governance Policies**

Victoria Rees introduced CPATA's new Governance Policies. Regarding the Whistleblower Policy, she clarified that once CPATA has information from a whistleblower, it is incumbent on the organization to act upon it, regardless of the continued participation of the whistleblower, whose confidentiality will be protected to the extent possible. The Governance Policies will be finalized following the meeting, with small formatting and copyediting changes.

Iris Almeida-Côté left the meeting at 1:50 p.m.

Motion: Be it resolved that the CPATA Governance Policies together with its Appendices are approved.

Moved: Leonora Hoicka

Seconded: Andrew Currier

Motion carried.

Other business

Tom Conway spoke about outgoing director Jeff Astle, acknowledging his dedication and contributions to the IP community and to CPATA even before the College's inception.

Adjournment

It was resolved to end the public meeting at 2:00 p.m. ET and to move in-camera.



Ruth McHugh

Chair of the Board of Directors

Minutes approved on April 2, 2024

Report of the Investigations Committee

TO	CPATA Board of Directors
FROM	Kristin Dangerfield
DATE	June 13, 2024
REPORTING PERIOD	March to May 2024

Committee Role and Authority

The Act (s. 37) provides that, “The Investigations Committee must, on the basis of a complaint or on its own initiative, conduct an investigation into a licensee’s conduct and activities if it has reasonable grounds to believe that the licensee has committed professional misconduct or was incompetent.” The Committee considers whether to commence an investigation on its own initiative on the basis of information referred to it by the Registrar, or considers complaints filed by complainants and referred to it by the Registrar.

Until adoption of the amended By-laws on May 1, 2023, all complaints had to be referred to the Committee regardless of their merits. The new By-laws permit the Registrar to determine whether a complaint should be dismissed without referral to the Committee, and a policy is being developed setting out the factors to be considered. Otherwise, it is the Committee’s role to evaluate whether the results of an investigation provide reasonable grounds for the Committee to believe that a licensee has committed professional misconduct or was incompetent. If there is no such evidence, the Committee must dismiss the complaint. If there is such evidence, the Committee must make an Application to the Discipline Committee. It remains the case that the Act fails to give the Committee all the tools it needs to adopt a regulatory approach that is truly principled, proactive and proportional. For example, authority to counsel, caution or reprimand a licensee for violations of the Code are not available alternatives and so the existing toolkit does not meet well-accepted thresholds for professional misconduct or incompetence.

Committee Activity

From March to May 2024, the Committee held one regularly scheduled meeting. At the May 16 meeting, the Committee:

- Considered an appeal from a decision of the Registrar to dismiss a complaint, and determined that the decision to dismiss was reasonable, and the file remains closed

- Initiated new complaints against two agent-lawyers who have been interim suspended by a law society as a result of significant evidence of violations of their ethical duties and applicable trust safety regulations
- Reviewed an investigations report in relation to a complaint, and resolved to dismiss the complaint
- Received updates regarding the three Notices of Application before the Discipline Committee
- Received an update respecting the Judicial Review of a complaint dismissal that was heard in Federal Court on April 3, 2024 – the decision is pending
- Scheduled 3 meeting dates for the remainder of 2024

The Committee noted that Herman van Ommen had decided to retire from the committee as of the May meeting. He has served diligently and thoughtfully on the IC since it's inception in July 2021, and has provided valuable guidance and advice as the Committee developed and implemented its regulatory structure and policies. He was thanked for his excellent service and commitment to the interests of the public and CPATA.

Should the Board appoint the five new IC members recommended by the Governance Committee, training and orientation will be conducted at the July 18, 2024 meeting.

A handwritten signature in black ink that reads 'Kristin Dangerfield'.

Kristin Dangerfield

Chair of the Investigations Committee

Report of the Discipline Committee

TO	CPATA Board of Directors
FROM	Marcel Mongeon, Chair, Discipline Committee
DATE	June 13, 2024
REPORTING PERIOD	March to May 2024

Committee's Role and Authority

Section 51 of the Act provides that the Discipline Committee must hold an oral hearing for every application made by the Investigations Committee in order to determine whether a licensee committed professional misconduct or was incompetent. Hearings are open to the public, and by default will be conducted with the parties via Zoom and concurrently streamed on YouTube for those wishing to observe the proceedings.

The Discipline Committee held its first meeting in January 2022, and as previously reported, dedicated 2022 to developing its procedures and policy framework. In January 2023, the Committee approved the final key policies for its Toolkit [[link](#)]. Throughout 2022, the Committee engaged in training in IP practice fundamentals and administrative law principles. The College created the part-time role of Discipline Proceedings Coordinator, with responsibilities shared between two existing CPATA staff.

Committee Activities

The Discipline Committee next meets as a whole in June 2024. At this meeting, the committee will discuss panel proceeding experiences to date, further consider development of additional policies to help streamline its processes and those of the parties in preparation for proceedings. Work will get underway on two new policies in the coming months. There will be one more meeting of the whole committee in October.

Pre-hearing conferences in the matters of **Mathieu Audet**, **Imran Siddiqui** and **Eric Fincham** are ongoing, with two being held in May and one re-scheduled for June.

Marcel Mongeon

Chair of the Discipline Committee

Report of the Registration Committee

TO	CPATA Board of Directors
FROM	Tina McKay, Chair, Registration Committee
DATE	June 13, 2024
REPORTING PERIOD	April – June 2024

Committee Role and Authority

The Registration Committee assists the Registrar in administering the College’s licensing requirements. The Committee:

- sets the standards for the qualifying examinations and the evaluation of licensees; and
- when requested by an applicant or a licensee, reviews decisions made by the Registrar under the By-laws.

Inaugural Administration of the Knowledge Examinations

CPATA’s vision is to ensure public access to a globally respected body of patent agents and trademark agents who are highly skilled, ethical, and current in their knowledge. The Committee has been focused on this vision through supporting the multi-year competency initiative.

After developing technical competency profiles which set clear standards for patent agents and trademark agents, CPATA began to review and redevelop the qualifying examinations, relying heavily on input from the professions in the process, to improve defensibility and fairness. The new examinations:

- test against the technical competencies.
- are comprised of the knowledge exams (to assess the patent and trademark-related knowledge concepts specified in the profiles) and the skills exams (to assess the application of skills required for patent agent and trademark agent practice specified profiles).
- are more transparent, fair, and defensible.
- allow CPATA to appropriately assess whether a candidate demonstrates the minimum level of competency required of an entry-level agent.

In 2023, the Committee adopted its policy for how it would set pass marks for the new examinations. The new pass marks (also known as cut scores or passing standards) are based on defensible standard-setting methodologies appropriate for high-stakes professional qualifying examinations.

Following the examinations and a robust standard-setting process, at the April 15, 2024, meeting, the Committee approved the pass marks for each Knowledge Examination after considering the standard

setting report prepared and provided by the psychometric consultant and having a robust discussion.

The report:

- provided a process overview, which described the modified Angoff methodology and how it was implemented; and
- invited the Committee to consider important information (including an evaluation of the pass mark results, standard error calculation of the pass mark, the reliability calculation, relevant exam-specific considerations, and relevant standard-setting specific considerations).

On May 1, CPATA released the exam results to candidates. Each candidate received a performance report, which provided the following information:

- overall result (competency demonstrated or competency not yet demonstrated);
- performance details (above the standard, just meets the standard, approaches the standard, or below the standard);
- performance for each knowledge area (meets or below); and
- frequently asked questions that were designed to provide clarity on the results.

On the 2024 Trademark Knowledge Examination administered on March 5, 2024, 50/58 (86%) candidates demonstrated competency. On the 2024 Patent Knowledge Examinations administered on March 19, 2024, 74/77 (96%) candidates demonstrated competency.

The Committee understands that CPATA has previously communicated background information to the professions about the new examinations and standard-setting processes, including:

[CPATA's Registration Committee Establishes Standard-Setting Methods to Determine Pass Marks for the New Qualifying Examinations Starting in 2024](#)

[More information about the Patent Knowledge Examination Results](#)

[More information about the Trademark Knowledge Examination Results](#)

The Committee was pleased to see that setting clear standards for the profession improved candidates' abilities to demonstrate competency on the Knowledge Examinations. These candidates are now eligible to write the Skills Examinations in Fall of 2024.

Professional Foundations Competency Profile

This year, CPATA is developing a Professional Foundations Competency Profile to define the professional skills (such as communication, file management, etc.) that complement an agents' technical knowledge. This Professional Foundations Profile will apply to both patent agents and trademark agents and will be a companion document to the Technical Competency Profiles.

Development is wrapping up. The next step will include internal and external consultation. The Committee is expecting to review the profile at its December 2024 meeting.

Fair Registration Practices – Implementation of Recommendations

The Committee reviewed the list of recommendations and suggested timelines for implementing them, as presented by the Deputy Registrar, Director of Registration & Education.

Committee Chair and Recruitment

It has been an honour to serve for three years as the inaugural Chair of CPATA's Registration Committee. A tremendous amount of work has been completed and significant strides in the competency initiative and fair registration practices have been made. However, as of the June 13, 2024, Board meeting, I will be stepping down as Chair, but I wish to remain on the Committee to facilitate the transition. A new Chair will need to be appointed and Mark Pioro, current Vice-Chair, has confirmed his interest in taking on this role.

Further, in September 2023, the patent agent position on the Committee became vacant. In addition, the current terms for the non-CIPO Committee members end in 2024. Staff will be discussing with each current member whether they wish to seek re-appointment for another term.

The Committee has expressed the need to appoint a new Committee Chair and the need to seek new appointees to the Committee and understands that recruitment efforts will be undertaken in due course.

Sincerely,



Tina McKay

Chair of the Registration Committee

Report of the Governance Committee

TO	CPATA Board of Directors
FROM	Karima Bawa
DATE	June 13, 2024
REPORTING PERIOD	April to June 2024

Committee Role

The Governance Committee is responsible for providing advice and recommendations to the Board on a variety of governance issues, including Board effectiveness, governance practices, nominations and elections processes, and committee appointments.. The Governance Committee supports the Board in meeting CPATA's Regulatory Objectives, Standards and Principles, and operating in accordance with best practices.

The Committee had a busy meeting on May 10, 2024 and has brought forward to the Board information and recommendations for the Board's consideration and approval of appointment to the following Committees.

Committee Appointments

- i. **Registration Committee** – the appointment of a new Chair, in addition to the recruitment process will be undertaken in the fall for a new patent agent member.
- ii. **Investigations Committee** – the committee recommends the appointment of five new members of the Investigation Committee to expand the size, replace a retiring member (Herman van Ommen), and otherwise fill needs in accordance with the Skills Matrix: with three non-licensees and two licensees, one patent agent and one trademark agent.
- iii. **Governance Committee** – the appointment of a new Chair as my term as Chair will end when a new Ministerial Director appointment is made in the coming weeks and the appointment of a new Director to replace Leonora Hoicka, whose term ends today.
- iv. **Audit and Risk Committee** – the appointment of a new Director to replace the retiring Jeff Astle.

Committee Activity

The committee has had an extremely productive year to date, in particular with regard to making significant amendments to the Board Governance Policies, approved by the Board at the last meeting.

The 2024 CEO evaluation will be undertaken primarily by Boyden through a review process that is part of their original retainer for CEO recruitment, as well as the CEO's reports in the fall regarding the Strategic Framework, the Annual Plan and Budget progress. Board evaluation currently takes place by way of post-meeting self-evaluation surveys, and in camera discussions during each meeting where any issues can be addressed as they arise. Draft Board and Director self-evaluations are under development and will be considered in the fall, along with consideration of committee terms for appointment. The GC recommends that exit surveys be conducted with outgoing Directors, which will provide valuable insight as well.

Karima Bawa

Chair of the Governance Committee

Report of the Audit and Risk Committee

TO	CPATA Board of Directors
FROM	Bob Plamondon
DATE	June 13, 2024
REPORTING PERIOD	April to May 2024

Committee Role and Authority

The purpose of the Audit & Risk (A&R) Committee is to assist the Board in fulfilling its fiduciary obligations and oversight responsibilities relating to financial planning, the audit process, financial reporting, the system of corporate controls and risk management, and when required, to make recommendations to the Board for approval.

The Committee must demonstrate strong and principled advice to foster confidence in the College's financial integrity.

Committee Activities

Since the last update to the Board in March 2024, the Committee met on May 16, 2024.

At the meeting, the Committee:

1. Reviewed the Minutes and Action Log from the March 18th meeting.
2. Reviewed the internal financial statements (January to March 2024) and supporting information with a comparison to budget and forecast for the remainder of the year for 2024. The Committee recommended approval of the Financial reports for distribution to the Board.
3. The Committee had extensive discussion around membership renewals, the favourable results and positive variance to budget, and the importance of adhering to the expense budget to accelerate the building of financial reserves.
4. Reviewed and approved the Legislative Compliance memo and Checklist from the CEO & Registrar and CFO.
5. Discussed proposed amendments to the College's Travel and Reimbursement policy. This policy was also reviewed by the Board of Directors in May and is being finalized for use very soon.

6. Reviewed the Financial Areas Updates memo from the CEO & Registrar and CFO. The memo highlighted a number of areas including:
 - a. the College's Insurance policy renewals for April/May 2023 to 2024.
 - b. Licence Renewal Fee revenue to date compared against budget.
 - c. Purchase of a Guaranteed Investment Certificate (\$2.5M) in May 2024.
 - d. Discussion around the External Auditors for 2024.

Upcoming Committee meetings focus

- June 25, 2024 – This meeting will mostly focus on the College's Enterprise and Regulatory Risk program and will include a detailed review of the Risk Register and Heat Map. Recommendations on improvements and changes to the risk program will be discussed and the Register will be revised as required.
- Review at a summary level the key points of the College's insurance policies (Cyber, Directors and Officers, General Liability)
- Review of the Legislative Compliance memo and Checklist from the CEO & Registrar and CFO.
- Review of the most recent internal financial reports as they become available.



Robert Plamondon

Chair of the Audit and Risk Committee

College of Patent Agents and Trademark Agents

Financial Reports - Board and A&R Committee
as of March 31, 2024



Prepared on
May 10, 2024

Statement of Financial Position

As of March 31, 2024

	TOTAL	
	AS OF MAR. 31, 2024	AS OF MAR. 31, 2023 (PY)
Assets		
Current Assets		
Cash and Cash Equivalent		
1010 RBC Chequing Account	3,539,275	2,081,080
1500 G.I.C	0	
Total Cash and Cash Equivalent	\$3,539,275	\$2,081,080
1230 Other current assets	0	0
1400 Prepaid expenses	3,365	7,545
Total Current Assets	\$3,542,640	\$2,088,625
Non-current Assets		
Property, plant and equipment	\$5,232	\$7,475
Total Non Current Assets	\$5,232	\$7,475
Total Assets	\$3,547,872	\$2,096,099
Liabilities and Equity		
Liabilities		
Current Liabilities		
Accounts Payable (A/P)		
2000 Accounts Payable (A/P)	97,742	112,341
Total Accounts Payable (A/P)	\$97,742	\$112,341
Credit Card		
	\$3,234	\$1,892
2010 Accrued Payables	16,250	0
2015 Accrued Liabilities - Comm & Reg Remuneration	(1,050)	60,000
2050 GST/HST Payable (Receivable)	299,215	161,102
2150 Payroll liabilities	0	
Total Current Liabilities	\$415,390	\$335,335
Deferred Revenue		
2200 Deferred Revenue - Payments Received	3,516	3,753
2210 Deferred License Fees - Class 1	2,394,075	1,438,125
2211 Deferred License Fees - Class 2	27,656	17,700
2213 Deferred License Fees - Class 3	28,994	
2214 Deferred License Fees - Class 4	14,562	
2220 Deferred Application Fees	0	0
2250 Deferred Exam Fees	0	0
Total Deferred Revenue	\$2,468,803	\$1,459,578
Total Liabilities	\$2,884,193	\$1,794,913
Net Assets		
Unrestricted Net Assets		
	292,298	304,884
Excess (Deficit) of Revenues over Expenditures	371,381	(3,698)
Total Net Assets	\$663,679	\$301,186
Total Liabilities and Equity	\$3,547,872	\$2,096,099

Budget vs. Actuals

January - March, 2024

	TOTAL			
	ACTUAL	BUDGET	OVER BUDGET	% OF BUDGET
Income				
4000 Licence Fee Income				
4010 Licensee fees - Class 1	798,025	749,700	48,325	106.00 %
4011 Class 1 Licence Fee Income - PY Adj	1,000		1,000	
4012 Class 2 Active Agent Fees		36,000	(36,000)	
4020 Class 2 Agent Fees	9,219	6,450	2,769	143.00 %
4030 Class 3 Licence Fees	9,665	11,700	(2,035)	83.00 %
4040 Class 4 Inactive Agent fees	4,854		4,854	
Total 4000 Licence Fee Income	822,763	803,850	18,913	102.00 %
4050 Exam fees		64,750	(64,750)	
4051 Knowledge Exam Fee	47,607		47,607	
4055 Exam re-correction request	3,200	15,000	(11,800)	21.00 %
Total 4050 Exam fees	50,807	79,750	(28,943)	64.00 %
4070 Application fee income	31,450	19,740	11,710	159.00 %
4060 Certificate & Letters Fees	1,600	750	850	213.00 %
Total 4070 Application fee income	33,050	20,490	12,560	161.00 %
Total Income	\$906,620	\$904,090	\$2,530	100.00 %
GROSS PROFIT	\$906,620	\$904,090	\$2,530	100.00 %
Expenses				
5500 Wages & Benefits	209,403	238,621	(29,218)	88.00 %
6005 Professional and consulting fees				
6010 Professional fees - Accounting Services	25,000	25,000	(0)	100.00 %
6015 Audit Fees	(85)	0	(85)	
6020 Professional fees - Communications		5,200	(5,200)	
6030 Legal Fees	97,350	76,750	20,600	127.00 %
6035 General Counsel, Prof Reg		33,000	(33,000)	
6215 Discipline Support Fees		2,500	(2,500)	
Total 6030 Legal Fees	97,350	112,250	(14,900)	87.00 %
6050 Professional fees - Planning		3,625	(3,625)	
6060 Translation expenses	10,215	28,750	(18,535)	36.00 %
6210 Consulting - Communications	4,940	10,000	(5,060)	49.00 %
6230 Consulting - Human Resources		2,500	(2,500)	
Total 6005 Professional and consulting fees	137,420	187,325	(49,905)	73.00 %
6200 Technology and Systems Expenses				
6270 IT Consultants - Network & General	2,919	3,188	(269)	92.00 %
6280 IT Consultant - License Systems	17,100	46,926	(29,826)	36.00 %
6290 IT Consultant - Website	8,360	3,000	5,360	279.00 %
Total 6200 Technology and Systems Expenses	28,379	53,114	(24,735)	53.00 %
6500 Board & Committee Governance Expenses				
6501 Board of Directors Travel & Meeting Expenses				
6502 Board - Meeting expenses		3,750	(3,750)	
6520 Board - Travel		10,000	(10,000)	
6525 Board - Meal costs		1,250	(1,250)	

College of Patent Agents and Trademark Agents

Budget vs. Actuals

January - March, 2024

			TOTAL	
	ACTUAL	BUDGET	OVER BUDGET	% OF BUDGET
Total 6501 Board of Directors Travel & Meeting Expenses		15,000	(15,000)	
6510 Board - Remuneration	21,650	21,650	0	100.00 %
6610 Committees - Member Compensation	17,250	34,532	(17,282)	50.00 %
Total 6500 Board & Committee Governance Expenses	38,900	71,182	(32,282)	55.00 %
6700 Registration & Exam Expenses				
6710 Consulting - Admissions	22,500	61,250	(38,750)	37.00 %
6720 Reg Programs - Member Compensation	5,240	35,375	(30,135)	15.00 %
6730 Exam Software costs	10,481	29,828	(19,347)	35.00 %
Total 6700 Registration & Exam Expenses	38,221	126,453	(88,232)	30.00 %
7010 Bank fees and interest	525	800	(275)	66.00 %
7020 Credit Card Processing Fees	58,483	64,844	(6,361)	90.00 %
Total 7010 Bank fees and interest	59,007	65,644	(6,637)	90.00 %
7135 Insurance				
7140 Insurance - D&O	9,533	9,535	(2)	100.00 %
7150 Insurance - General Liability	446	448	(3)	99.00 %
7170 Insurance - Cyber	2,810	2,813	(3)	100.00 %
Total 7135 Insurance	12,789	12,796	(7)	100.00 %
7205 Office Expenses				
6295 Payroll provider Fees	185	250	(65)	74.00 %
7130 Dues and memberships	3,894	1,005	2,889	387.00 %
7215 Office - General expenses	988	2,750	(1,762)	36.00 %
7225 Telephone-Cell phone	67	240	(173)	28.00 %
7300 Software costs - Administration	5,536	7,449	(1,913)	74.00 %
Total 7205 Office Expenses	10,670	11,694	(1,024)	91.00 %
7310 Staff Travel and Training expenses				
6330 Staffing Training		11,514	(11,514)	
7320 Staff Travel	555	8,800	(8,245)	6.00 %
7325 Meals and entertainment	14		14	
Total 7310 Staff Travel and Training expenses	568	20,314	(19,746)	3.00 %
Total Expenses	\$535,357	\$787,143	\$ (251,786)	68.00 %
NET OPERATING INCOME	\$371,263	\$116,947	\$254,316	317.00 %
Other Income				
4220 Interest earned	542	6,250	(5,708)	9.00 %
Total Other Income	\$542	\$6,250	\$ (5,708)	9.00 %
Other Expenses				
8000 Amortization	424	900	(476)	47.00 %
Total Other Expenses	\$424	\$900	\$ (476)	47.00 %
NET OTHER INCOME	\$118	\$5,350	\$ (5,232)	2.00 %
NET INCOME	\$371,381	\$122,297	\$249,084	304.00 %

College of Patent Agents and Trademark Agents

Statement of Operations by Department

January - March, 2024

	ADMINISTRATION & OPERATIONS	BOARD & GOVERNANCE	COMMUNICATIONS & STAKEHOLDER RELATIONS	REGULATIONS - COMPLAINTS	REGULATIONS - REGISTRATION	TOTAL
REVENUES						
4000 Licence Fee Income						\$0
4010 Licensee fees - Class 1	798,025					\$798,025
4011 Class 1 Licence Fee Income - PY Adj	1,000					\$1,000
4020 Class 2 Agent Fees	9,219					\$9,219
4030 Class 3 Licence Fees	5,452					\$5,452
4031 Class 3.1 Licence Fees	4,213					\$4,213
Total 4030 Class 3 Licence Fees	9,665					\$9,665
4040 Class 4 Inactive Agent fees	4,854					\$4,854
Total 4000 Licence Fee Income	822,763					\$822,763
4050 Exam fees						\$0
4051 Knowledge Exam Fee	47,607					\$47,607
4055 Exam re-correction request	3,200					\$3,200
Total 4050 Exam fees	50,807					\$50,807
4070 Application fee income	31,450					\$31,450
4060 Certificate & Letters Fees	1,600					\$1,600
Total 4070 Application fee income	33,050					\$33,050
Total REVENUES	\$906,620	\$0	\$0	\$0	\$0	\$906,620
Total Income	\$906,620	\$0	\$0	\$0	\$0	\$906,620
EXPENDITURES						
5500 Wages & Benefits	208,036	1,367				\$209,403
6005 Professional and consulting fees						\$0
6010 Professional fees - Accounting Services	25,000					\$25,000
6015 Audit Fees	(85)					\$ (85)
6030 Legal Fees	698		338	92,002	4,313	\$97,350
6060 Translation expenses			10,215			\$10,215
6210 Consulting - Communications			4,285		656	\$4,940
Total 6005 Professional and consulting fees	25,612		14,837	92,002	4,969	\$137,420
6200 Technology and Systems Expenses						\$0
6270 IT Consultants - Network & General	2,919					\$2,919
6280 IT Consultant - License Systems	17,100					\$17,100
6290 IT Consultant - Website			8,360			\$8,360
Total 6200 Technology and Systems Expenses	20,019		8,360			\$28,379
6500 Board & Committee Governance Expenses						\$0
6510 Board - Remuneration		21,650				\$21,650
6610 Committees - Member Compensation						\$0
6611 A&R Committee Remuneration		4,700				\$4,700
6612 Discipline Committee Remuneration		10,475				\$10,475
6614 Registration Committee Remuneration		150				\$150
6615 Governance Committee Remuneration	0	1,925				\$1,925
Total 6610 Committees - Member Compensation	0	17,250				\$17,250
Total 6500 Board & Committee Governance Expenses	0	38,900				\$38,900
6700 Registration & Exam Expenses						\$0
6710 Consulting - Admissions					22,500	\$22,500
6720 Reg Programs - Member Compensation	3,000				2,240	\$5,240
6730 Exam Software costs	9,576				904	\$10,481
Total 6700 Registration & Exam Expenses	12,576				25,644	\$38,221
7010 Bank fees and interest	525					\$525
7020 Credit Card Processing Fees	58,483					\$58,483
Total 7010 Bank fees and interest	59,007					\$59,007
7135 Insurance						\$0
7140 Insurance - D&O	9,533					\$9,533
7150 Insurance - General Liability	446					\$446
7170 Insurance - Cyber	2,810					\$2,810
Total 7135 Insurance	12,789					\$12,789
7205 Office Expenses						\$0
6295 Payroll provider Fees	185					\$185
7130 Dues and memberships	3,894					\$3,894
7215 Office - General expenses	988					\$988
7225 Telephone-Cell phone	67					\$67
7300 Software costs - Administration	3,556	1,800	179			\$5,536
Total 7205 Office Expenses	8,691	1,800	179			\$10,670
7310 Staff Travel and Training expenses						\$0
7320 Staff Travel	555					\$555
7325 Meals and entertainment	14					\$14
Total 7310 Staff Travel and Training expenses	568					\$568
8000 Amortization	424					\$424
Total EXPENDITURES	\$347,723	\$42,067	\$23,376	\$92,002	\$30,613	\$535,781
OTHER INCOME						
4220 Interest earned	542					\$542
Total Other Income	\$542	\$0	\$0	\$0	\$0	\$542
EXCESS (DEFICIT) OF REVENUE OVER EXPENDITURES	\$559,439	\$ (42,067)	\$ (23,376)	\$ (92,002)	\$ (30,613)	\$371,381

College of Patent Agents and Trademark Agents

Statement of Cash Flows

January - March, 2024

	JAN. 2024	FEB. 2024	MAR. 2024	TOTAL
OPERATING ACTIVITIES				
Net Income	(125,159)	(22,963)	519,504	\$371,381
Adjustments to reconcile Net Income to Net Cash provided by operations:				\$0
1400 Prepaid expenses	4,263	4,263	4,263	\$12,789
1605 Computer Equipment - Accum Amort	141	141	141	\$424
2000 Accounts Payable (A/P)	(47,226)	14,673	29,033	\$ (3,521)
2025 RBC Credit Card	825	48	1,251	\$2,124
2010 Accrued Payables	(5,362)		(2,660)	\$ (8,022)
2015 Accrued Liabilities - Comm & Reg Remuneration	5,000	13,875	(91,925)	\$ (73,050)
2050 GST/HST Payable (Receivable)	3,855	76,332	(80,187)	\$0
2060 GST/HST Payable (Receivable):GST/HST Suspense		28,595	299,215	\$327,810
2200 Deferred Revenue - Payments Received	0	396	3,120	\$3,516
2210 Deferred License Fees - Class 1	75,900	686,475	1,631,700	\$2,394,075
2211 Deferred License Fees - Class 2	573	5,156	21,927	\$27,656
2213 Deferred License Fees - Class 3	829	7,939	20,226	\$28,994
2214 Deferred License Fees - Class 4	596	5,842	8,125	\$14,562
2250 Deferred Exam Fees	6,650	33,250	(39,900)	\$0
Total Adjustments to reconcile Net Income to Net Cash provided by operations:	46,043	876,985	1,804,329	\$2,727,357
Net cash provided by operating activities	\$ (79,116)	\$854,021	\$2,323,833	\$3,098,738
NET CASH INCREASE FOR PERIOD	\$ (79,116)	\$854,021	\$2,323,833	\$3,098,738

Memorandum

TO	Audit & Risk Committee, Board of Directors
FROM	Juda Strawczynski, CEO & Registrar and Sean Walker, CFO
DATE	May 16, 2024
SUBJECT	Legislative Compliance memo

This memo is written to the Board of Directors of the College of Patent Agents and Trademarks Agents (CPATA) to provide an update on CPATA's legislative compliance reporting and remittance requirements.

GST/HST

CPATA is required to file GST/HST returns for each quarter by the end of the following month. The most recent return for the period of January 1 to March 31, 2024, was filed with CRA on April 23. For the Quarter we had an amount payable to CRA of \$300,000 attributable to the HST received on License and exam fees paid to CPATA.

Payroll Statutory Deductions

CPATA has employees and Board members who receive remuneration for their positions on the Board. As a result, CPATA is required to withhold and remit statutory deductions from payroll for the various federal government programs. These include Canada Pension Plan (CPP), Quebec Parental Insurance Plan (QPIP), Quebec Pension Plan (QPP), Employment Insurance (EI) and Income Tax (CRA and Revenu Quebec). CPATA is a monthly remitter for these Statutory deductions and must remit to the Canada Revenue Agency (CRA) and Revenu Quebec by the 15th of the month after the employees are paid.

CPATA is up to date with payroll remittances to CRA and Revenu Québec as of the end of April 2024.

Annual Federal filing requirements with CRA

CPATA will be required to file a Not-for-Profit Organization (NPO) Information Return (T1044) for 2023 with CRA within 6 months of the year ending December 31, 2023, by June 30, 2024. CPATA is not a taxable entity so income tax will not be required, however, the returns must still be filed. Grant Thornton prepared and mailed the return in late April on CPATA's behalf and confirmation will be provided once received from CRA.

Annual Report and Audited Financial Statements

CPATA's Annual Report was delivered to the Minister of Innovation, Science and Industry as required by s. 25¹ of the CPATA Act. The report was due March 31st and was tabled in Parliament by the Minister on May 6, 2024. We are also required (By-law 30) to publish a report (on website) on Board and Committee expenses paid during the year. This report has been prepared and was published along with the Audited Financial Statements on the CPATA Website before March 31 and was also provided to the Minister.

Privacy Act and Access to Information Act

CPATA is subject to the Privacy Act and the Access to Information Act. In accordance with section 94 of the Access to Information Act and section 72 of the Privacy Act, in early September 2023, CPATA reported on its activities in two reports to be tabled in Parliament by the Minister on our behalf. These reports have been posted on CPATA's website as well.

Official Languages Act

CPATA is of the view that it is in full compliance with the *Official Languages Act*.

The Official Language Commissioner issued its Report on the Follow-up to the Recommendations, which concludes that CPATA has implemented all 3 of the recommendations. The Commissioner also remarked as follows: "The Commissioner would like to acknowledge the College of Patent Agents and Trademark Agents for its promptness in implementing the recommendations and in taking the necessary measures to comply with its obligations under the Act." One of the recommendations included regular internal training on Official Languages Act obligations. CPATA staff have received training about CPATA's official languages obligations and has further training in May addressing active offer and access to legal services.

Likewise, CPATA's Official Languages Policy (in effect as of 2022) was integrated into CPATA's new Governance Policies as an Appendix, upgrading its status from an operational policy.

Acknowledgement of Compliance

By signing below, Juda Strawczynski, CEO & Registrar and Sean Walker, CFO (outsourced) acknowledge that the statements made in this letter are accurate and that CPATA is in compliance with all statutory legislative requirements included in the Certificate below.



Juda Strawczynski
CEO & Registrar



Sean Walker, CPA, CGA, CIA
CFO (Outsourced)

¹ **25 (1)** On or before March 31 of each year, the College must submit to the Minister a report on the College's activities during the preceding calendar year.

(2) The Minister must cause a copy of the report to be tabled in each House of Parliament on any of the first 15 days on which that House is sitting after the day on which the Minister receives it.

**Legislative Compliance Certificate
CONFIRMATION OF STATUTORY OBLIGATIONS
For the period: ending April 30, 2024**

	OBLIGATION TO BE FULFILLED	CONFIRMED
1.	Excise Tax Act (Canada) GST/HST <ul style="list-style-type: none"> Quarterly report and remit required net goods and services tax 	Yes
2.	Employment Insurance Act (Canada) <ul style="list-style-type: none"> Deduct, withhold, submit employer's and employee's EI premiums (handled by Wagepoint) 	Yes
3.	Canada Pension Act (Canada) <ul style="list-style-type: none"> Deduct, withhold, submit employer's and employee's CPP contributions (handled by Wagepoint) 	Yes
4.	Income Tax Act (Canada) <ul style="list-style-type: none"> Deduct, withhold, submit in respect of salaries (handled by Wagepoint) 	Yes
5.	Income Tax Act (Canada) <ul style="list-style-type: none"> Provide Employees and other remunerated by the College with Statements of Remuneration Paid (T4 and T4A's) File the statements with CRA by February 28 	Yes
6.	Act Respecting the Régie De L'Assurance Maladie Du Québec - Employer's Health Tax/Health Services Fund (Quebec) <ul style="list-style-type: none"> Report and remit EHT/HSF 	Yes
7.	Act Respecting Parental Insurance - Provincial Parental Insurance Plan (QPIP - Quebec) <p>Report and remit EHT/HSF</p>	Yes
8.	Income Tax Act (Canada) <ul style="list-style-type: none"> File an Annual Non-Profit Organization (NPO) Information Return (T1044) by June 30 	Yes
9.	CPATA Act (Canada) <ul style="list-style-type: none"> CPATA's Annual Report is delivered to the Minister of Innovation, Science and Industry by March 31 	Yes

CEO Report

TO	CPATA Board of Directors
FROM	Juda Strawczynski
DATE	June 13, 2024
REPORTING PERIOD	March 16 to June 1, 2024

Background

The purpose of this CEO Report is to provide the Board with an update on CPATA's operations and work to advance CPATA's priorities as identified in [CPATA's Strategic Framework for 2023-2025](#). This report focuses on operations and relationships as well as communications.

Operations Update (Organizational and Regulatory Infrastructure)

1.1 2024 Licence Renewals

The 2024 annual license renewal process generally went smoothly using our new Licensee Portal system. I would like to thank the team for their excellent support to licensees, maintaining an average response time of one business day in replying to inquiries.

CPATA budgeted conservatively for 2024. The renewal numbers exceeded conservative budget projections, such that CPATA surpassed its established budget revenue for 2024. Any surplus at the end of the year is expected to be put towards CPATA's reserves, so that CPATA can build its reserves faster.

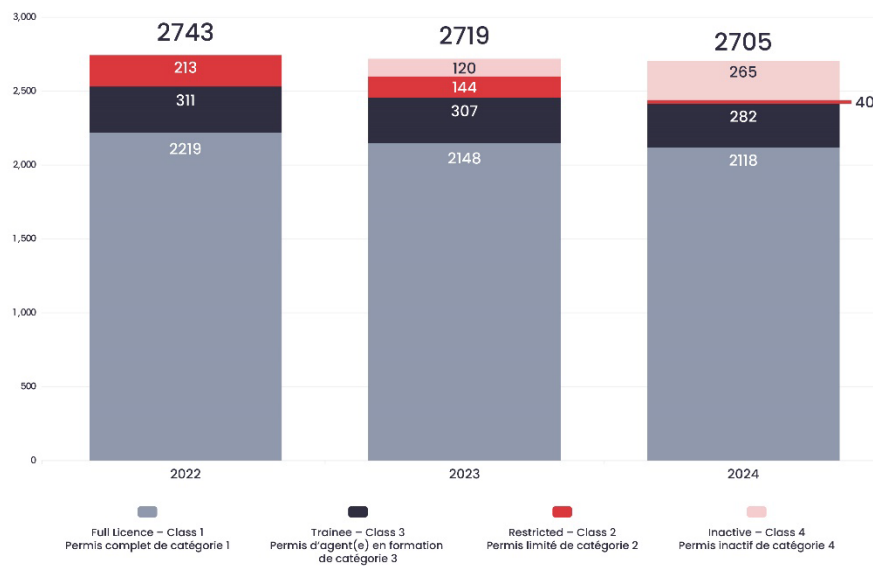
Compared to Annual Report 2023 numbers, as of May 6, 2024, CPATA saw:

- A slight increase in the number of C1 patent agent licences (906 from 887),
- A minor expected decrease in the number of C1 trademark agent licences (1212 from 1261). The total decrease in C1 trademark agent licences since 2022 is under 10%. This is a positive development given that there was a concern that many trademark agents registered with CIPO were not actively engaged in trademark agency practice.
 - Trademark agents who surrendered their licence or changed from the C1 licence have done so for a variety of reasons, including:
 - They retired
 - They no longer offer intellectual property services (ex: lawyers who changed practice areas)

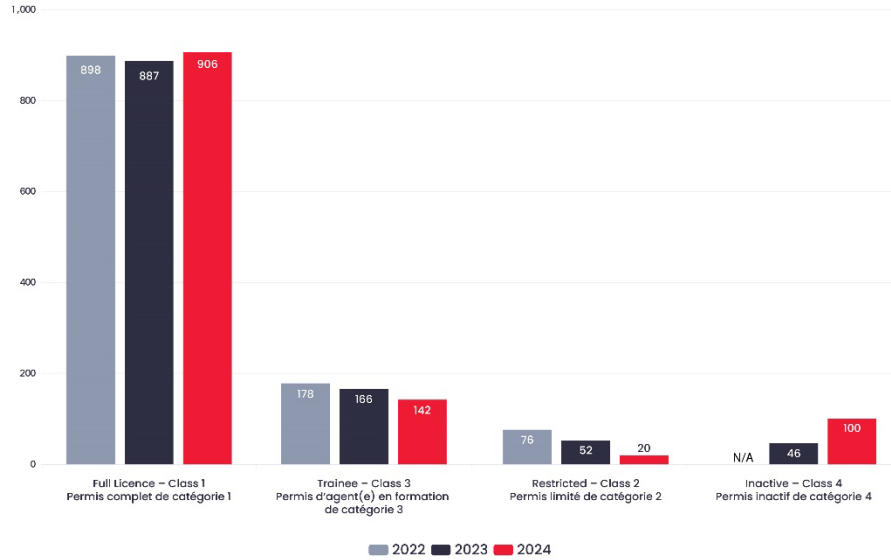
- They offer intellectual property services but do not file or prosecute trademark applications before CIPO, or they only did such work in the past on an occasional basis.
- A slight decrease in the number of C3 patent agents in training, which might be attributable to the changes made to the qualifying examinations which enabled some of these agents in training to progress more quickly through the licensure process
- A migration of licensees from the previous Class 2 licence class to the new Class 4 inactive licence following changes to these classes that came into effect in May 2023.

In total, there were 14 fewer licences than last year (2705 from 2719) and only 38 fewer licences (2705 from 2743) since 2022. Overall, the licence numbers after the 2024 renewal period indicates relative stability in the profession, and even demonstrates a trend towards increasing numbers on the patent side.

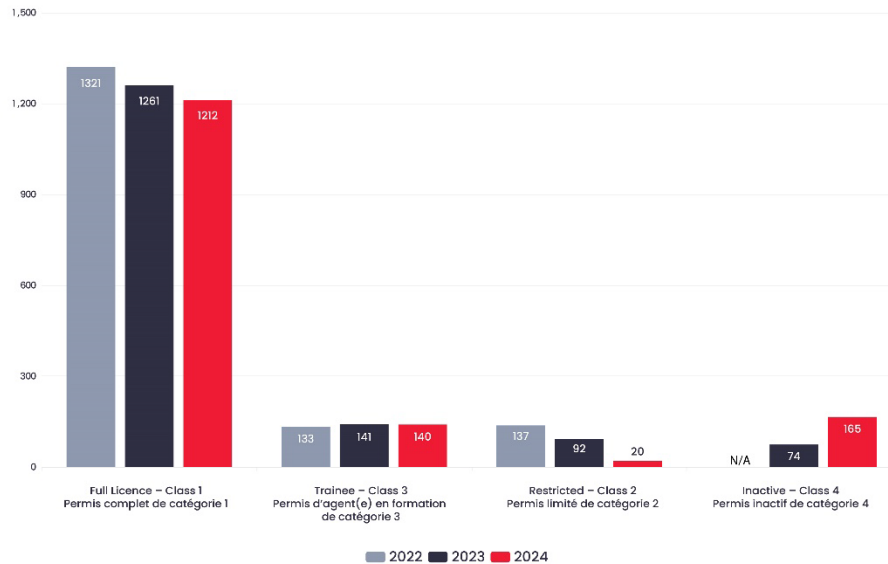
Total Licences



Patent Agents – Agent(e)s de brevets



Trademark agents – Agent(e)s de marques de commerce



1.2 Annual Work Plan Update

The 2024 annual work plan was presented to the Board in December 2023. The attached provides an update. CPATA is generally on schedule on all projects with fixed deadlines.

Relationships and Communications

CPATA is dedicated to building and maintaining relationships with licensees, government, the intellectual property community and other professional regulators. Highlights of CPATA's efforts from March to June include:

- Government
 - o CPATA CEO and Registrar joined CIPO's [Canadian IP Voices podcast](#) and [Balados Voix de la PI canadienne](#) to explain how CPATA regulates patent agents and trademark agents and to promote our enhanced Public Register.
 - o CPATA CEO and Registrar continued regular engagement with CIPO and ISED on a range of matters related to CPATA's mandate.
- IPIC
 - o CPATA Chair Ruth McHugh met with IPIC's President Paula Clancy and CEO Adam Kingsley to continue to strengthen working relationships.
 - o CPATA's CEO and Registrar continues to hold regular meetings with IPIC's CEO.
 - o CPATA's CEO and Deputy Registrar are working with IPIC's conference planners with respect to CPATA's presentation and participation in IPIC's Annual Conference.
- IP community engagement
 - o CPATA CEO and Registrar had a first meeting with Intellectual Property Ontario (IPON) CEO Dan Herman, and discussions with IPON staff related to patent agent and trademark agent regulation.
 - o Staff conducted outreach to intellectual property organizations and consumer groups to introduce CPATA's review of pathways to licensure.
- Professional regulators and professional regulation communities of practice
 - o CPATA CEO and Registrar had an introductory meeting with the German Chamber of Patent Attorneys.
 - o CPATA CEO and Registrar was a panelist at the Council on Licensure, Enforcement & Regulation's May 3rd regional "Navigating Change – Empowering Regulatory Leaders for Seamless Transitions" symposium. Agenda [here](#).

Juda Strawczynski

CEO and Registrar

Project Milestone	Project Description / Deliverables	Start	End	Strategic Framework Component	Status
Stakeholder engagement	Continue regular stakeholder engagement and outreach to licensees, IPIC, government, CIPO, other regulators, etc.	Jan-24	Dec-24	Relationships and Communications	2024 outreach to date includes: <ul style="list-style-type: none"> - In person CPATA update meetings with CIPO and ISED (Jan) - CEO and Chair meetings with IPIC CEO and Chair - Outreach to IP ecosystem partners (IAC, IPON etc.) re pathways initiative - Presentations by CEO at CNAR seminar and CLEAR regional symposium - Ongoing discussions with law societies, Federation of Law Societies of Canada regarding a range of areas of shared regulatory interest
Complaints and Discipline	Continue to receive and investigate complaints as they arise Evaluation of major cases and proceedings (micro reg. risk asst) (ongoing)	Jan-23	Ongoing	Professional Regulation	Ongoing
UAP	Continue to consider UAP matters as they arise and determine appropriate regulatory responses	Ongoing	Ongoing	Professional Regulation	Ongoing
Code of Conduct education	Content for licensee education with respect to Code of Conduct Ethics inquiry articles Launch of new Ethical Analyses and Guidance webpage with enhanced search functionality to facilitate access to proactive ethical advice to licensees.	Apr-24	Ongoing	Professional Development and Competency	Program development in progress

Project Milestone	Project Description / Deliverables	Start	End	Strategic Framework Component	Status
Competency Profiles	Develop, validate and publish Professional Foundations Competency Profiles	Mar-22	Dec-24	Professional Development and Competency	Patent agent and trademark agent professionals were recruited to serve on this project, and met through spring 2024 to advise staff and CPATA's psychometrician in the development of the draft Professional Foundations profile. The draft (in English and French) will be shared with CPATA's Board, Committees, and ultimately will be the subject of consultation with the professions starting this fall.
Enhancing apprenticeships	Analysis of current apprenticeship model to determine if changes are needed Research re best practices in apprenticeship and experiential learning ; outreach to profession determine strengths, weaknesses, opportunities to enhance apprenticeships; potential changes to "Approved Training Program Policy"	Jan-23	TBD	Professional Development and Competency	Continued research about experiential learning and outcomes; focus groups started and full consultation starting June 2024

Project Milestone	Project Description / Deliverables	Start	End	Strategic Framework Component	Status
<p>Exam administration</p>	<p>Develop and administer fair and psychometrically defensible qualifying examinations</p> <p>2023 Examinations (Transitional):</p> <ul style="list-style-type: none"> · Trademark Agent Qualifying Examination Parts A and B; · Patent Agent Qualifying Examination Papers A, B, C and D <p>2024 Examinations (New):</p> <ul style="list-style-type: none"> · Trademark Knowledge Examination · Patent Knowledge Examination · Trademark Agent Skills Examination · Patent Agent Skills Examination <ul style="list-style-type: none"> · Scheduling · Recruitment · Development · Review · Testing · Registration · Marking · Results 	<p>Jan-24</p>	<p>Ongoing</p>	<p>Professional Development and Competency</p>	<p>Patent and trademark knowledge exams administered</p> <p>Skills exams to be administered fall 2024</p>
<p>Exams: Policy development</p>	<p>Develop and administer fair and psychometrically defensible qualifying examinations</p> <ul style="list-style-type: none"> · Test specifications · Cut-score methodologies · Development and Administration Policies 	<p>Jan-23</p>	<p>Jun-24</p>	<p>Professional Development and Competency</p>	<p>Complete</p>

Project Milestone	Project Description / Deliverables	Start	End	Strategic Framework Component	Status
Explore potential new pathways to licensure	Identify and implement pathways to licensure to improve access to become an agent <ul style="list-style-type: none"> Consultations and outreach to understand potential of new pathways that would meet competencies 	Jan-23	TBD	Professional Development and Competency	Continued research about experiential learning and outcomes; focus groups started and full consultation starting June 2024
Foreign Practitioners – renewals	Annual completion of declarations confirming eligibility and payment of fees to continue to be included on Public Register Determine if online renewals are possible; else proceed with pdf forms.	May-24	Jun-24	Organizational and Regulatory Infrastructure	System configuration complete. FP renewals ongoing until July 2nd.
2024 licensee renewals	Online licence renewal for eligible PA and TM agents Renewal configuration	Feb-24	Apr-24	Organizational and Regulatory Infrastructure	Complete
Application portal	Automate PA and TM applications via the Application Portal Define requirements Application configuration in Workbench	Apr-24	Dec-24	Organizational and Regulatory Infrastructure	Development of application portal in progress. Currently configuring application forms in the Licensee Portal.
Budget 2025 and multi-year budgets	Develop 2025 budget and framework and move towards multi-year (3+) annual budget with A&R Comm and Board of Directors input	Jun-24	Ongoing	Organizational and Regulatory Infrastructure	To revise. This project is poorly described. The intent is to develop Budget 2025 and begin to develop longer-term financial planning (rather than setting multi-year budgets, which would not be appropriate given the need for agility).

Project Milestone	Project Description / Deliverables	Start	End	Strategic Framework Component	Status
CPATA insurance renewal	Review Insurance requirements and available coverage. - General Liability - Cyber coverage - D&O (inc. Excess) Insurance renewals for all programs – input from A&R Comm	Mar-24	Apr-24	Organizational and Regulatory Infrastructure	Complete. Coverage in place at reasonable cost.
Emergency Response	Describe how CPATA will respond to, operate during and recover from an emergency that may limit access to a virtual office, records and equipment. Emergency Preparedness Plan (EPP)	Jan-24	Sep-24	Organizational and Regulatory Infrastructure	A first draft of the EPP has been developed that includes a call tree in case of an emergency. Next steps: Vulnerability Worksheet and continue to develop EPP
Enterprise & Regulatory Risk Management	Maintain Enterprise and Regulatory Risk Management systems Regular review of enterprise risk framework(s)	Sep-23	Jan-24	Organizational and Regulatory Infrastructure	Risk Matrix to be reviewed June 2024 by ARC

Project Milestone	Project Description / Deliverables	Start	End	Strategic Framework Component	Status
Performance Excellence	Set individualized staff goals and continuous feedback Soft-launch new form CEO Open door Quarterly staff check-ins	Jan-23	Ongoing	Organizational and Regulatory Infrastructure	Staff performance excellence program launched; annual PEP plans to run approximately spring to spring annually on the go-forward. 2024 goal setting meetings held with staff
Staff training	Provide staff with annual trainings through lunch and learns, online modules etc., in the following areas: <ul style="list-style-type: none"> · Official Languages · Privacy/ATI · Professional Regulation and IP trends · EDI and Indigenous Reconciliation · Technology · Emergency response plans and records mgt · HR and Professional Development 	Jun-23	Jun-24	Organizational and Regulatory Infrastructure	Lunch and learns to date: <ul style="list-style-type: none"> - Official languages - Design thinking

Project Milestone	Project Description / Deliverables	Start	End	Strategic Framework Component	Status
<p>EDI and Indigenous Reconciliation Strategy</p> <p>1. Inclusion in the profession</p> <p>2. Agent training</p> <p>3. CPATA's organizational approaches</p>	<p>Develop CPATA approaches based on 3 areas of interrelated activity:</p> <ol style="list-style-type: none"> CPATA governance and operations: govern and run CPATA in a manner that is dedicated to EDI and Indigenous Reconciliation Trademark and patent agent competencies and standards: Education and training re cultural competency, consistent with TRC Calls to Action Entry into the profession: Efforts towards building and sustaining a trademark and patent agent profession that is reflective of Canada's population; removes unreasonable barriers to entry <p>Draft EDI and Reconciliation framework and implementation (ongoing)</p>	<p>Jan-24</p>	<p>Ongoing</p>	<p>Organizational and Regulatory Infrastructure</p>	<p>Ongoing</p> <ul style="list-style-type: none"> - Review of report of pay inequality in patent agent and trademark agent professions to better understand current environment and barriers - Discussions with EDI experts and review of different EDI strategies by different Canadian professional regulators

Project Milestone	Project Description / Deliverables	Start	End	Strategic Framework Component	Status
Annual Report 2024	Develop and submit CPATA's Annual Report to the Minister in both English and French	Jan-24	Mar-24	Governance	Complete. AR submitted to the Minister and tabled in Parliament as required, and available on CPATA's website.
Board and Committee Meetings (Public, CotW)	Board and Committee meetings · English and French Board materials to enable effective public interest decision-making and transparency · Committee materials to enable effective decision-making	Jan-24	Dec-24	Governance	Ongoing
Board and Committee training and education	Assess Board and Committee training and education needs and develop appropriate (no to low cost) education as required	Jan-24	Ongoing	Governance	Ongoing 2024 Director education and programming schedule developed New online Director training library launched June 2024 Director in person training (all Director orientation)
Board elections and new Director orientation	Licensees may vote to elect a Board director. Next elections are to be held spring 2024. Appoint Election Commissioner Candidate info session Candidate info online Election ballots and platform configuration Election results New Director orientation Candidate Survey	Jan-24	Jun-24	Governance	Election complete. New Director orientation June 2024.

Project Milestone	Project Description / Deliverables	Start	End	Strategic Framework Component	Status
Board evaluation 2024	Board self evaluation framework to be developed and implemented	Jan-24	Dec-24	Governance	Ongoing. Board evaluation conducted after each Board meeting. Board Chair to hold offboard interviews with outgoing Directors for purposes of evaluation and continuous Board improvement.
Committee Appointments 2024	Committee vacancies are filled according to Skills Matrices Investigations Committee Other appointments TBD	Jan-24	Dec-24	Governance	Ongoing as required. Committee recruitment processes for statutory committees running smoothly with communications and outreach to encourage diverse applicants, and strong candidates applying. Governance Committee consideration of Director appointments as needed with recommendations to the Board.
CPATA AGM 2024	CPATA AGM (Ottawa) in person event	Jun-24	Jun-24	Governance	Scheduled for June 13, 2024
CPATA audit	Annual Financial Audit · Audited Financial Statements · Audit report	Sep-23	Mar-24	Governance	Complete and audited financial statements published.
Governance policies	Board Governance Policies reflect current goals and practices	Jul-23	Jun-24	Governance	Updated Board Governance policies adopted March 2024.
Performance Measurement Framework / Outcomes Measurement	Continue to develop a framework that measures and reports, in a standardized manner, how we are acting in the public interest. Dashboard development and implementation	Jan-23	Dec-24	Governance	Ongoing

Project Milestone	Project Description / Deliverables	Start	End	Strategic Framework Component	Status
Record retention policy	<p>Develop a document management strategy that will provide an information governance structure that successfully manages the College's information. As a federal organization, this structure must be compliant with the regulations of Library and Archives Canada (LAC).</p> <ul style="list-style-type: none"> · Disposition Authorization from LAC · Records Classification and Retention Schedule 	Apr-23	Jun-24	Governance	LAC will assess CPATA "readiness" for a new disposition authorization at the end of June or beginning of July.
Regulatory reporting: Privacy and Access to Information - Statistical Reports	<p>Provide data on the performance of CPATA's access to information (ATI) and privacy programs Submission to TBS</p>	May-24	May-24	Governance	To complete summer 2024.
Regulatory reporting: Privacy and Access to Information - Annual Reports	<p>Submit Annual reports to Parliament concerning the administration of the Access to Information Act and the Privacy Act.</p> <p>Tabling of the reports to Parliament</p> <p>Publication on CPATA's website</p>	Jun-24	Aug-24	Governance	To complete summer 2024.

Memorandum

TO	Board of Directors
FROM	Audit & Risk Committee, CFO and CEO & Registrar
DATE	June 4, 2023
SUBJECT	Appointment of External Auditors for 2024 year-end

MOTION:

Be it resolved: The Board appoints Grant Thornton LLP as External Auditor for CPATA's 2024 year-end audit.

Information:

CPATA has engaged Grant Thornton as external auditors for the past four years (2020 to 2023 inclusively) and has a positive working relationship with their team. They have met the tight timelines required to complete the audit work and financial statement information in advance of the March 31st deadline for reporting to the Minister's office.

Part of the Audit and Risk Committee's mandate is to recommend to the Board the appointment of the External Auditor. The Board oversees CPATA's operations and approves the appointment of the annual auditors for each fiscal year¹. The Committee met on May 16, 2024 to discuss Grant Thornton's performance on the audit and annual audit fees.

The CFO reached out to Grant Thornton to acquire a quote for the audit for 2024. The quote has been received of \$20,500 which is a \$1,000 (5%) increase over the prior year. We feel that this quote is reasonable and there isn't a need to go to the market with a Request for Proposal (RFP) for Audit services this year.

The Committee has decided to bring forward the recommendation to again appoint Grant Thornton.

Recommendation:

The Audit & Risk Committee recommends the appointment of Grant Thornton as the External Auditor for the 2024 fiscal year ending December 31, 2024.



**Bob Plamondon, FCPA FCA, ICD.D,
Audit & Risk Committee Chair**

¹**CPATA By-Laws 6 (1)** The Board has the following duties on behalf of the College:

- (a)** on an annual basis, appoint an independent auditor to audit the accounts of the College and approve the audited financial statements;