

Board of Directors Meeting Agenda

Via Zoom [and in person – Ottawa]

DATE	May 26, 2023
TIME	8:30 am ET

ITEM	TOPIC	TIME	SPEAKER	PAGE #	ACTION
1. Introductory Matters/Call to Order/ Approval of Agenda/Conflicts of Interest					
1.1	Call to Order – Introductory Remarks	8:30 am	T. Conway	-	-
1.2	Conflicts of Interest – Board members are to declare if they have any conflicts regarding matters on the agenda	8:35 am	T. Conway	-	-
2. Election of the Chair of the Board of Directors					
2.1	New Chair Motion: Be it resolved that Ruth McHugh is elected Chair of the Board of Directors for a two year term.	8:40 am	T. Conway	-	Approve
2.2	Chair’s Remarks	8:40 am	R. McHugh	-	
3. Consent Agenda					
3.1	Consent Agenda – Consent agenda matters are proposed to be dealt with by unanimous consent and without debate. Directors may seek clarification or ask questions without removing a matter from the consent agenda. Any Director may request a consent agenda	8:45 am	Chair		Approve

	<p>item be moved to the regular agenda by notifying the Chair or the CEO prior to the meeting, or by addressing the issue at the meeting.</p> <ol style="list-style-type: none"> 1. Minutes – 2023-03-02 Board Meeting 2. Minutes – 2023-03-24 Board Meeting 3. Report of the Audit & Risk Committee 4. Report of the Investigations Committee 5. Report of the Discipline Committee 6. Professional Responsibility Program Report 7. Report of the Registration Committee 8. Regulatory Principles that Guide Our Work <p>Motion: Be it resolved that: a) The Minutes of the March 2 and March 24, 2023 Board meetings are approved; and b) CPATA adopts its Regulatory Principles that Guide Our Work 2023 Report. This document will continue to be used as a benchmark against which CPATA can measure itself against regulatory best practices. The Board will review and update the report on an annual basis.</p>			<p>5 8 10 12 14 16 19 21</p>	
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4. CPATA’s Strategic Plan

4.1	<p>Strategic Plan 2023-2025</p> <p>Motion: Be it resolved that the Board approve the Strategic Plan 2023-2025 as presented.</p>	9:00 am	J. Strawczynski	25	Approve
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5. Report of the Governance Committee

5.1	<p>Report of the Governance Committee</p> <p>Motion: Be it resolved that:</p>	9:30 am	K. Bawa and J. Strawczynski	27	Approve
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	<p>a) Karima Bawa is appointed Chair of the Governance Committee;</p> <p>b) The revised Terms of Reference of the Governance Committee as set out in the Governance Committee report are approved.</p>				
5.2	<p>CEO 2023 Goals</p> <p>The CEO will work with the Board to set goals. The following are three draft goals for 2023 for discussion:</p> <ol style="list-style-type: none"> 1. A successful CEO transition 2. Establishing a clear strategic plan that creates the blueprint for building governance, regulatory and operational best practices 3. Continuing efforts to build strong working relationships with staff, the Board and external partners and stakeholders 	9:35 am	J. Strawczynski	-	Discussion

6. Other Business: Future Meetings

The July 6, 2023 Committee of the Whole meeting is cancelled.

The August 17, 2023 public Board meeting will be rescheduled to September 2023 to coincide with Committee of the Whole meetings.

The 2024 meeting schedule is under review.

9:45 am

Chair

In Camera

In camera discussions

9:50 am

For Information

1. [Registrar's Policy on Confirming Identity](#)
2. [Registrar's Policy on Approved Training Programs](#)
3. Call for Expressions of Interest from Qualified Legal Services Providers ([English](#) / [French](#))
4. March 31, 2023, Financial Statements and Financial Highlights (page 35)
5. 2023-05-01 Legislative Compliance Memo (page 37)

Future meetings

2023

Cancelled: July 6/23 – Committee of the Whole

Rescheduled: August 17/23 – Board-Public meeting

September 21/23-Committee of the Whole and public Board meeting [date and time to be confirmed]

November 9/23 – Board-Public meeting

December 14/23 – Board Public meeting

2024

NOTE: Dates currently under review.

January 18/24 – Committee of the Whole

March 7/24 – Board-Public meeting

April 18/24 – Committee of the Whole

May 29-31/24 AGM & Public Meeting Ottawa

Public Board of Directors Meeting
Held via Zoom
March 2, 2023
12 noon ET
Minutes

BOARD MEMBERS:

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

Partial attendance: Karima Bawa
Regrets: Brigitte Chan

STAFF:

Juda Strawczynski, CEO and Registrar
Sean Walker, CFO
Jennifer Slabodkin, Director of Registration and Education, Deputy Registrar
Andres Diaz, Operations Manager
Dana Dragomir, Communications Officer

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

The meeting was called to order at 12:02 ET.

The Chair acknowledged that the meeting was held with directors present across Canada in lands preserved by Canada's Indigenous peoples for thousands of years.

The Chair welcomed two new directors to its Board of Directors, Iris Almeida-Côté and Amber Batool, appointed by the Honourable François-Philippe Champagne, Minister of Innovation, Science and Industry. He noted that Ruth McHugh will take over as Chair after CPATA's AGM in May. He thanked licensees for submitting their professional liability insurance information by the end of 2022 and congratulated all Class 3 licensees who passed the 2022 qualifying examinations. The Chair invited everyone to attend CPATA's AGM on Thursday May 25 from 4 – 5 p.m. in-person or virtually.

No conflicts of interest were declared.

2. Consent Agenda

The Chair noted the items on the consent agenda. The year of the Governance Committee report will be corrected to '2023.'

On a consensus, the Chair declared the consent agenda approved.

3. **CPATA Governance**

3.1 Amending the Audit and Risk Committee Terms of Reference

Ruth McHugh, Chair of the Governance Committee, reported that the recommendation of the Governance Committee was to allow up to two Directors serve on the Audit and Risk Committee, balancing the Committee between Director and non-Director members, permitting enhanced Board input into the Committee's work, promoting alignment between the Board and Committee and avoiding the need to recruit for the Committee at this time.

Be it resolved that the Terms of Reference for the Audit and Risk Committee be amended to permit up to two Directors to serve on the Committee.

MOVED: Leonora Hoicka

SECONDED: Andrew Currier

Motion carried.

3.2 Amending the Governance Committee Terms of Reference

Ruth McHugh explained that the Terms of Reference were previously missing two key clarifications: that the Chair and members of the Governance Committee are appointed by the Board, and that the Committee Chair is a Director and is a voting member of the Committee.

Be it resolved that the Terms of Reference for the Governance Committee be amended to provide that the Committee Chair is a Director of the Board.

MOVED: Iris Almeida-Côté

SECONDED: Leonora Hoicka

Motion carried.

3.3 Amending the Discipline Committee Terms of Reference and Skills Matrix

Juda Strawczynski clarified that the changes to these Terms of Reference were mostly small housekeeping changes, including additions to the skill requirements for the position around bilingualism and IP knowledge, modifications to the Chair's ability to delegate and the creation of a Discipline Proceedings Coordinator role. He further explained that the Discipline Committee has an ongoing training regimen, in response to a question about the non-licensee committee members' understanding of the Manual of Patent Office Practice.

Be it resolved that the Terms of Reference and Skills Matrix for the Discipline Committee be amended as per the revised versions appearing in the Board Meeting Package.

MOVED: Amber Batool

SECONDED: Iris Almeida-Côté

Motion carried.

4. **CPATA as a Modern Regulator**

4.1 Patent Agent and Trademark Agent Technical Competency Profiles

Jennifer Slabodkin presented the new competency profiles as well as the process undertaken for their development. She addressed a question about the content of the to-be-developed professional foundations profile, specifically the inclusion of elements that transcend changes to legislation such as bargain theory, historical basis, foreign law and international treaties. The Board made a suggestion that

the working groups for the development of the foundations profile could include non-licensee professionals as well.

Be it resolved that that the Board adopt the Technical Competency Profiles for Patent Agents and Trademark Agents, as presented and recommended by the Registration Committee.

MOVED: Leonora Hoicka

SECONDED: Karima Bawa

Motion carried.

4.2 Unauthorized Practice Update

Juda Strawczynski gave an update on CPATA's preliminary experiences regarding unauthorized practice, stating that UAP is a tricky area to right-touch regulate, given legislative restrictions, shared responsibility with federal partners and the significant cost of action. He stated that CPATA's approach will continue to be to monitor unauthorized practice matters, learn from them as they arise, and continue to consider appropriate approaches that are based on protecting against dangers to the public.

Adjournment

On a motion made and carried unanimously, it was resolved to end the public meeting at 1:08 p.m. ET, and to move in-camera.

The meeting adjourned at 1:08 p.m. ET



Tom Conway

Chairman of the Board of Directors

Minutes approved on May 16, 2023

Public Board of Directors Meeting
Held via Zoom
March 24, 2023
3 p.m. ET
Minutes

BOARD MEMBERS:

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

STAFF:

Juda Strawczynski, CEO and Registrar
Sean Walker, CFO
Jennifer Slabodkin, Director of Registration and Education, Deputy Registrar
Andres Diaz, Operations Manager
Dana Dragomir, Communications Officer

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

The meeting was called to order at 3:08 p.m. ET.

The Chair acknowledged that the meeting was held with directors present across Canada in lands preserved by Canada's Indigenous peoples for thousands of years.

No conflicts of interest were declared.

2. **CPATA Governance**

Sean Walker, CFO, presented CPATA's Audited Financial Statements prepared by Grant Thornton. The Board asked questions about the nature of fees for government relations, discipline and legal costs. Juda Strawczynski explained that outsourcing legal services is a way for the College to reduce costs, as it is more economical than hiring expertise in-house. Most of the legal spend in 2022 was related to investigations, policy development, by-law drafting and advice during the regulatory start-up phase.

The Board approves CPATA's Audited Financial Statements for the period ending December 31, 2022 as provided in the 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: Jeff Astle

SECONDED: Ruth McHugh

Motion carried.

Adjournment

On a motion made and carried unanimously, it was resolved to end the public meeting at 3:36 p.m. ET, and to move in-camera.

The meeting adjourned at 3:38 p.m. ET



Tom Conway

Chair of the Board of Directors

Minutes approved on May 16, 2023

Report of the Audit and Risk Committee

TO	CPATA Board of Directors
FROM	Bob Plamondon
DATE	May 26, 2023
REPORTING PERIOD	January to April 2023

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 unshakeable confidence in the College's financial integrity.

Committee Activities

Since the beginning of January 2023, the Committee has met three times on January 19, March 15 (and May 1 - next reporting period).

At the January 19 meeting, the Committee:

1. Met with the external auditors from Grant Thornton LLP to discuss the planning for the December 31, 2022, year-end audit.
2. Reviewed the internal financial statements and supporting information.
3. Reviewed and approved the Legislative Compliance memo from the CEO & Registrar and CFO.
4. Reviewed and finalized the Committee's Macro Agenda/Work plan for 2023.
5. Had a general discussion about the Risk Register and risk practices.

At the March 15 meeting the Committee:

1. Met with the external auditors from Grant Thornton LLP and reviewed the “Report to the Audit & Risk Committee – Audit Results” and the Audited Financial Statements for the year ended December 31, 2022.
2. Held an in-camera session with members of the Grant Thornton team (CFO & Registrar and CEO not present)
3. Recommended the approval of the financial statements to the Board of Directors for its March 24, 2023, meeting.
4. Reviewed the internal financial statements and supporting information with a comparison to budget and prior year.
5. Reviewed and approved the Legislative Compliance memo from the CEO & Registrar and CFO.
6. Had a discussion about proposed by-law revisions with a financial impact.

Upcoming Committee Activities

At the May 1 meeting the Committee, will (has):

1. Reviewed the College’s insurance renewals for 2023/2024 (Cyber, Director & Officer, General Commercial Liability).
2. Discussed the revised by-laws and any financial impacts.
3. Reviewed and approved internal financial statements and reports for circulation to the Board.
4. Reviewed and approved the Legislative Compliance reporting package.

In addition, the Committee has planned an extended meeting on June 19th to spend time reviewing and updating the College Risk Register and related heat map.

The Committee has discussed and plans to assist the CFO and CEO & Registrar in the drafting of financial policies in the area of Financial Reserves (i.e., Operating and Discipline) and investments. A review of existing policies will also be conducted.



Robert Plamondon

Chair of the Audit and Risk Committee

Report of the Investigations Committee

TO	CPATA Board of Directors
FROM	Kristin Dangerfield
DATE	May 26, 2023
REPORTING PERIOD	January to April 2023

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; e.g., authority to counsel, caution or reprimand a licensee for violations of the Code which do not meet well-accepted thresholds for professional misconduct or incompetence.

Committee Activity

From January to the end of April 2023, the Committee held two regularly scheduled meetings in January and March, and one special meeting. At these meetings, the Committee:

- Provided directions with respect to one new complaint
- Finalized the Notices of Application and confirmed the Record of Investigation in the matter of its Application respecting Mathieu Audet [[link to NOAs](#)]
- Finalized the Policy on Complaints Investigation, and reviewed the Guidelines for Conduct of Investigations
- Provided input respecting the draft By-law amendments

The Investigations Committee has four more regularly scheduled meetings for 2023.



Kristin Dangerfield

Chair of the Investigations Committee

Report of the Discipline Committee

TO	CPATA Board of Directors
FROM	Marcel Mongeon
DATE	May 26, 2023
REPORTING PERIOD	January to April 2023

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 also engaged in training in IP practice fundamentals and administrative law principles. With adoption of the amended By-laws on May 1, 2023, the Discipline Committee has authority to consider requests for review of dismissal decisions by the Investigations Committee, and will therefore be developing a policy to support this new process in due course. The College created the part-time role of Discipline Proceedings Coordinator, the responsibilities to be shared by two existing CPATA staff, and the Chair assisted with development of procedures relating to this administrative support work.

Committee Activities

At the Committee's meeting in January, it was decided that we would reduce our future meetings from monthly to 2-3 in 2023, given that we have completed our policy framework and will begin holding hearings. It is our intention to have a meeting early in 2024 dedicated to education and further policy development.

We have received two Applications from the Investigations Committee: Alpesh Patel [\[link\]](#) and Mathieu Audet [\[link\]](#). The latter will be conducted in French. Our first Pre-hearing Conference took place in April. Once dates are set for these matters, the respective Notices of Application on CPATA's website will be updated.

The Discipline Committee has requested the appointment of two additional members. I understand that following the recruitment process that was commenced in March, recommendations will be forthcoming to the Governance Committee at its next meeting.



Marcel Mongeon

Chair of the Discipline Committee

Professional Responsibility Program Report

TO	CPATA Board of Directors
FROM	Victoria Rees, Professional Responsibility, Manager
DATE	May 26, 2023
REPORTING PERIOD	January to April 2023

Professional Responsibility Program

The Professional Responsibility Program for CPATA is comprised of:

- Ethics guidance and education
- Agent Conduct Inquiries
- Complaints
- Providing support to the Investigations and Discipline Committees (see Committee reports)
- Unauthorized practice concerns
- Other PR related matters

Ethics Guidance and Education

As part of its commitment to be proactive and supportive to licensees while protecting the public, CPATA created a means by which licensees can better understand their ethical obligations as they apply to specific circumstances or scenarios. Licensees can submit an ethics inquiry form, call or email the College with their ethics inquiry and expect a response within 24-48 hours. This advice is geared toward supporting but not replacing a licensee's own professional judgment. Staff maintain a database to record the nature of the inquiries, the relevant rules in the Code of Professional Conduct for Patent Agents and Trademark Agents, and the guidance provided. Licensees are advised that de-identified summaries of their inquiries may be used to educate others.

In 2022, we received 30 ethics inquiries. For this 4 month reporting period, we have received 12 ethics inquiries.

Agent Conduct Inquiries (ACI)

CPATA developed the ACI process as a means to engage in early resolution of conduct concerns without need of filing a formal complaint (which until May 1 required referral to the Investigations

Committee). Anyone can submit an ACI through the online form, and expect acknowledgement within 24 hours and a response within 48–72 hours. CPATA consultants communicate with inquirers to identify their concerns, consider whether they are within CPATA’s jurisdiction and mandate, and offer guidance, options and, if possible, early resolution through consensual engagement with both parties. This process has significantly reduced the number of complaints filed.

In 2022, we received and responded to 12 ACIs. For January to April 2023 alone, that number is 10, which represents a significant increase.

Complaints

The role of the Registrar and staff with respect to complaints is evolving. Initially the Registrar had no authority to review and dismiss complaints and all complaints were processed for referral to the Investigations Committee. With the new By-laws, the Registrar has been given this authority, and policy development to support this role is underway.

In 2022, 3 complaints were received from complainants, and the IC initiated 3 complaints of its own. From January to April 2023, 2 complaints have been filed by complainants to date and none have been initiated by the IC on its own.

Unauthorized Practice Concerns

The Board is well aware of concerns with unauthorized practice expressed in the past number of months. CPATA is taking a measured and risk-focused approach to these matters.

In 2022, we received one UAP complaint, which was investigated and a warning issued. From January to April 2023, we have received 5 UAP complaints. Two provided insufficient information to evaluate the concerns. Two were investigated and determined not to support the allegations of unauthorized practice by an agent.

Other PR Matters

The Board is aware that an application for Judicial Review has been filed by Prof. Andrew Olkowski in relation to the dismissal of his complaint against patent agent Ted Yoo by the Investigations Committee

in November 2022. We are expecting a date to be set shortly for this hearing in Federal Court, likely by audiovisual means.



Victoria Rees

Professional Responsibility, Manager

Report of the Registration Committee

TO	CPATA Board of Directors
FROM	Tina McKay
DATE	May 26, 2023
REPORTING PERIOD	January – April 2023

Committee Role and Authority

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

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

Committee Activity

At the March 31, 2023, meeting, the Registration Committee:

1. Approved the test specifications for the redeveloped qualifying examinations, based on the report developed and provided by Principia Assessments.

Test specifications outline what an exam will measure in terms of content domain (e.g., areas and weights), as well as guidelines on how the content is to be measured. Such guidelines are expressed in terms of structure (e.g., format, length, and cognitive level) and context (e.g., the circumstances in which examination questions are framed and that can influence their interpretation).

The test specifications will be translated and published on the CPATA website.

2. Considered cut-score methodologies and recommendations for the Knowledge and Skills Examinations.

The Committee requested additional information from Principia Assessments and a decision on the approach to cut-score methodologies was deferred to the June Committee 2023 meeting.

3. Discussed the pre-recorded training session on the rule against bias.
4. Received an update on the Fair Registration Practices self-audit report that is currently underway.

Though CPATA does not have legislated fair registration practice obligations as a federal regulator, the Committee embraced the importance of harnessing the spirit of fair registration principles (transparency, objectivity, impartiality, and fairness) in our registration policies and procedures.

In support of our dedication to fair registration practices, an audit against the Ontario Fairness Commissioner's most recent guide is being conducted by registration staff, and the Chair and Vice Chair of the Registration Committee. The report will be presented to the Board at a future meeting.

5. Received an update regarding the new by-law provisions related to requesting a review of a Registrar's decision.
6. Received the 2022 qualifying examination initial correction result statistics.

The full 2022 qualifying examination report is being developed by registration staff and will include re-correction statistics.



Tina McKay

Chair of the Registration Committee

Regulatory Principles That Guide Our Work as of May 2023

Based on Harry Cayton’s *Checklist for Regulatory Boards, November 2021*

CPATA’s initial assessment: 2022

CPATA Board Review: 2023

<p>1. Be clear about your purpose as a regulator; keep the public interest as your unremitting focus.</p>
<p>Adopted Regulatory Objectives (which as ‘living documents’ may evolve over time), Standards and Principles to guide all regulatory work.</p> <p>Material presented to the Board for decisions is always connected to public interest and, if applicable, the Ros</p>
<p>IN PROGRESS:</p> <ul style="list-style-type: none"> - The Board Policy on ‘Public Interest’ is the subject of consultation. Once feedback is received and incorporated as applicable, the draft will be returned to the Board for approval later in 2023.
<p>2. Set long-term aims and shorter-term objectives</p>
<p>Long-term – Development of Strategic Framework 2023-2025 Short-term – Business Plan</p>
<p>3. Agree how to deliver and monitor those aims and objectives</p>
<p>First Monitoring Report presented March 2022</p>
<p>IN PROGRESS:</p> <ul style="list-style-type: none"> - Board will receive regular reports from the CEO on strategic plan, business plan and risk register. - Board will continue to receive reports from Board Committees quarterly. - Outcomes measurement to be developed so there is reporting on all regulatory work and the approved objectives.
<p>4. Have competencies for board members whether elected or appointed and apply them to everyone though a selection or nominations process, induction, and regular appraisal</p>
<p>Board adopted a Skills and Attributes Matrix Shared with ISED to assist with Board Appointments; shared with candidates for elected Directors</p>

Regulatory Principles That Guide Our Work as of May 2023

Based on Harry Cayton's *Checklist for Regulatory Boards*, November 2021

CPATA's initial assessment: 2022

CPATA Board Review: 2023

IN PROGRESS:

- Directors will engage in self-evaluation based on skills matrix.
- Board will obtain education to continuously improve on collective and individual competencies.
- In addition to competencies for board members, with respect to Committees, skills matrices were developed, and are reviewed annually and updated as needed.

5. Have a code of conduct for board members and enforce it

Adopted [Board Policy No. 3](#).

IN PROGRESS:

- CPATA is in the progress of updating its Board policies. It expects to review Board policies annually (and update as needed).

6. Declare conflicts of interest, keep a register of interests, and ensure that decisions are not tainted by partiality or bias

Conflicts check a part of each agenda.

IN PROGRESS:

- A 'register of involvement' is being developed to be included with individual director reporting on their skills, attributes and knowledge matrix to proactively identify director involvement in other initiatives, as an early warning system to help reduce the risks of conflicts.

7. Behave with respect and courtesy towards board members and others

Based on Board surveys, Committee and staff engagement, Directors, Committee members and staff are acting at high levels of respect, courtesy and professionalism.

8. Commit to corporate decision-making and to corporate responsibility for decisions made.

IN PROGRESS:

- Governance Committee exploring a Board Evaluation process.

Regulatory Principles That Guide Our Work as of May 2023

Based on Harry Cayton's *Checklist for Regulatory Boards*, November 2021

CPATA's initial assessment: 2022

CPATA Board Review: 2023

9. Appoint a competent CEO and trust them
Annual performance reviews and clear lines of accountability are in place. In 2022, the Board oversaw a national search based on an approved position description resulting in the hiring of a new CEO & Registrar for 2023 together with a transition plan for exiting and incoming CEOs.
10. Ask for reports that include what you need to know not everything you might want to know
The CPATA Board has received reports on key areas of policy and operational development since inception. The nature of reporting to the Board will continue to evolve to meet this standard. Reporting should be consistent and reflect information such as how the issue impacts the public interest, costs, impact/effect on current policy, and if stakeholder consultation has taken place.
IN PROGRESS: <ul style="list-style-type: none">- CPATA continues to evolve its reporting. Starting in 2023, CPATA expects to develop quarterly reports from Committees to the Board, as well as a reporting schedule for key Board oversight areas. Staff are using a Board report template to develop report consistency. It is expected that the information / depth of Board reports will continue to evolve.- In 2023 CPATA staff developed and have started to use a Decision Matrix to evaluate policies and programs that considers whether an issue falls within CPATA's jurisdiction, how the issue impacts the public interest, and embeds key decision-making considerations including costs/effects on current policies, stakeholder engagement. This approach is used to inform Board reporting.
11. Make clear decisions and follow-up on their implementation
Board resolutions are typically circulated in advance, and adopted subject to Board revisions. They are reported on by the CEO.
12. Provide the resources needed to deliver your objectives
Board approves the budget which is designed around planned activities and approved programs. The Board approves the Budget after it is prepared by staff, and reviewed by the Audit and Risk Committee. The budgets to date have been developed to enable CPATA to launch its core operations.

Regulatory Principles That Guide Our Work as of May 2023

Based on Harry Cayton's *Checklist for Regulatory Boards*, November 2021

CPATA's initial assessment: 2022

CPATA Board Review: 2023

IN PROGRESS:

Future budgets are expected to be designed around planned activities found in a multi-year Strategic Plan. The Board will also be moving towards multi-year budget planning.

13. Make independence, fairness, and justice for the public and registrants the core values of registration and complaints and discipline

CPATA Act established independent Investigation and Discipline Committees, Board established independent Registration Committees – all have final decision-making authority. Directors do not participate in regulatory decision-making.

IN PROGRESS:

Establishing an appropriate reporting regime so that Regulatory Committees provide regular reports to the Board that account for 'independence, fairness, and justice for the public and registrants'.

14. Continue to keep the public interest as your unremitting focus

Links and reference to the public interest is an aspect of all Board policy decisions.

IN PROGRESS:

Draft Policy on Public Interest is currently subject to consultation before it returns to the Board for approval.

CPATA Regulatory and Strategic Framework 2023–25

Purpose	To regulate patent agents and trademark agents in the public interest, in order to enhance the public’s ability to secure the rights provided for under the Patent Act and the Trademarks Act (<i>CPATA Act</i> , s.6)
Vision	Public access to a globally respected body of patent agents and trademark agents who are highly skilled, ethical, and current in their knowledge
Regulatory Objectives	<p>To advance its role as a risk-focused, modern public interest regulator, the College has adopted as its Regulatory Objectives that it will strive to:</p> <ol style="list-style-type: none"> 1. protect and promote the public interest in patent and trademark services; 2. protect those who use patent and trademark services; 3. promote innovation in the delivery of patent and trademark services and the protection of intellectual property rights; 4. improve access to and promote competition in the provision of patent and trademark services; 5. promote the independence of the patent and trademark profession; and 6. oversee the ethical and competent delivery of patent and trademark services by licensees. 7. promote equity, diversity and inclusion in the patent and trademark profession and in the delivery of patent and trademark services.

CPATA's Regulatory and Strategic Framework 2023-25

Priorities: Strengthening the regulatory foundations	Organizational and regulatory infrastructure	Professional Development and Competency	Professional Regulation	Relationships and Communications	Governance
Strategic Initiatives	<p>Infrastructure Continue to build necessary regulatory infrastructure ex: Agent portal and annual reporting (Ongoing); Records retention policy</p> <p>Compliance, regulatory and ERM</p> <ul style="list-style-type: none"> - Continue to meet federal legislative requirements - Continue to refine compliance and enterprise risk policies (Ongoing) <p>EDI and Indigenous Reconciliation</p> <p>Develop CPATA's Equity, Diversity and Inclusion, and Indigenous strategies (2024)</p>	<p>Competencies</p> <p>Develop IP agent competencies (2023-24)</p> <p>Exams</p> <p>Update to assess competencies (2024)</p> <p>Licensing paths</p> <p>Begin exploration of potential new entryways into practice (Start 2023)</p> <p>CPD</p> <p>Consider policy approach to CPD (2024)</p>	<p>Code of Conduct</p> <p>Educate (2023), evaluate (start 2024) and update (TBD)</p> <p>Continue to develop complaints and discipline experience (with types of cases informing next steps)</p> <p>IP Agent Privilege</p> <p>Support the continued evolution of IP agent privilege in a manner that protects clients in the public interest (Ongoing)</p> <p>Unauthorized practice (UAP)</p> <ul style="list-style-type: none"> - Continue to monitor and address - Consider developing a formal UAP framework (2023-24) 	<p>Relationships</p> <p>Develop relationships with IP agents, associations, organizations, post-secondary institutions, legal service regulators (Ongoing)</p> <p>Government</p> <p>Continue working with the Government of Canada (GoC) and CIPPO to properly carry out our mandate (Ongoing)</p> <p>Communicate the value of Canada's approach</p> <p>Communicate the value of agent regulation to IP agents, government and others (Ongoing)</p>	<p>Fiscal responsibility</p> <ul style="list-style-type: none"> - Set appropriate fees and build contingency fund (2023-2025) - Develop Reserves and Investment Policies (2024) - Develop multiple year budget (2024) <p>Effective Board governance</p> <ul style="list-style-type: none"> - Refine nominations processes, update By-laws and governance policies (2023-24) - Enhance Director / Cttee education (Ongoing) <p>Board Composition</p> <ul style="list-style-type: none"> - Hold IP Agent Director elections (2024) - Work with GoC re GIC appointments (2024)

Report of the Governance Committee

TO	CPATA Board of Directors
FROM	Ruth McHugh
DATE	May 26, 2023
REPORTING PERIOD	March – May 2023

Committee Role

The Governance Committee examines corporate governance practices, including Board practices and performance, and make recommendations with respect to the Board. It also assists the Board to fulfill its roles regarding Board and Committee succession.

These responsibilities include:

1. Effectiveness – Assessing and making recommendations regarding Board effectiveness and leading the processes for orientation, evaluation and continuing education of Directors, committee Chairs and the Chair of the Board.
2. Governance – Reviewing and monitoring governance practices of the Board and management with a view to enhancing the College’s performance.
3. Nominating – Assessing the requirements for membership on the Board, advising the Board on information to be provided to the Minister’s Office regarding the College’s needs, managing/overseeing the process for nominating candidates for Ministerial appointments to the Board and nominating candidates for committee membership.
4. Elections – Oversees elections in accordance with the By-laws, oversees that elections to the Board are held when required.

Committee Activity

At the May 4, 2023, meeting, the Governance Committee met and:

1. Discussed succession planning for the Chair of the Committee and the process for nominating and recommending Committee appointments to the Board.
2. Reviewed the Committee workplan.
3. Received an update on revisions to the Board Governance policies.

4. Approved the Committee's revised terms of reference and approved the plan to redistribute the work of the Nominating and Board Development Committee (following the Board's decision to dissolve the NBDC to streamline governance processes).
5. Discussed and provided feedback on the CEOs' 2023 draft goals.

For Decision

The Board is invited to adopt the Governance Committee's revised Terms of Reference. The new GC ToRs are attached as appendices to this report in final form and in track changes showing the revisions from the previous terms of reference.

MOTION: Be it resolved that the revised Terms of Reference of the Governance Committee as set out in the Governance Committee report are approved.

Ruth McHugh

Chair of the Governance Committee

GOVERNANCE Committee

Terms of Reference

INTRODUCTION CPATA regulates the patent and trademark profession in accordance with the Act, Regulations, By-laws, Registrar's Policies, and the Regulatory Objectives, Standards and Principles. It is an independent and risk-focused public interest regulator.

CPATA is committed to selecting Board and committee members based on a set of identified skills and attributes, to ensure the Board and committees have the knowledge and attributes to carry out the work effectively, are diverse in all respects, and who strive to attain the vision of CPATA for a modern regulator as outlined in Board Policy No 2, CPATA's Regulatory Objectives, Standards and Principles.

CPATA committees assist the Board to meet its governance and fiduciary obligations. Unless a specific authority is granted, a committee has no independent authority.

Committees develop and document, for Board approval, and follow an annual work plan which includes processes in support of their responsibilities.

'Director' means a member of the College's Board of Directors.

ROLE

The Governance Committee¹ examines corporate governance practices, including Board practices and performance, and make recommendations with respect to the Board. [It also assists the Board to fulfill its roles regarding Board and Committee succession.](#)

These responsibilities include:

1. Effectiveness – Assessing and making recommendations regarding Board effectiveness and leading the processes for orientation, evaluation and continuing education of Directors, committee Chairs and the Chair of the Board.
2. Governance – Reviewing and monitoring governance practices of the Board and management with a view to enhancing the College's [performance.](#)
3. Nominating – [Assessing the requirements for membership on the Board, advising the Board on information to be provided to the Minister's Office regarding the College's needs, managing/overseeing the process for nominating candidates for Ministerial appointments to the Board and nominating candidates for committee membership.](#)
4. Elections – Oversees the [elections in accordance with the By-laws, oversees that elections to the Board are held when required.](#)

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¹ Established by By-law s. 42

RESPONSIBILITIES Subject to the powers and duties of the Board, the Governance Committee will perform the following duties.

Board Effectiveness

The Committee:

- a. Monitors the Board orientation and onboarding process, and, where appropriate, recommends changes;
- b. Identifies areas for Directors' ongoing updating of skills and knowledge of the College and its businesses, and recommends skills development and education for the Board as a whole or for individual directors based on their assigned responsibilities;
- c. Annually reviews and evaluates the performance of the Board as a whole and individual Directors in accordance with the procedures established by the Board from time to time; and
- d. Oversees the annual reviews and evaluation of the performance of college committees, their chairs against the terms of reference and the standards established for the role of committee chairs.
- e. Oversees the annual review and performance management of the CEO & Registrar in accordance with the procedures established by the Board from time to time. The annual review will include a review of the CEO's salary and compensation structure and may include recommended adjustments to the Board. The review will include a review of the plans for CEO succession.

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Deleted: for the Nominating and Board Development Committee

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Deleted: Board approved CEO succession plan.

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Board Governance

The Committee:

- a. Provides a forum for Directors to express their views and concerns regarding the operation of the College, independent of Management and the full Board; Reviews the College's structures and procedures to ensure the Board is able to, and in fact does, function independently of Management.
- b. Reviews and considers corporate governance best practices in Canada and makes recommendations to the Board regarding their consideration or adoption as appropriate; and
- c. At the request of the Chair of the Board or the Board, undertakes corporate governance initiatives as may be necessary or desirable to contribute to the success of the College.
- d. Monitors compliance with the Code of Conduct and reports to the Board when necessary.
- e. Annually
 - i. Reviews CPATA's governance policies and, where appropriate, recommends revisions to the Board;
 - ii. Oversees the filing of attestations by directors and committee members of compliance with the Code of Conduct.

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- iii. Reviews terms of reference, skills matrices, and work plans of all committees and advises the Board on any governance issues arising from committee work
- iv. Reviews, and brings forward to the board, communications to licensees and the Government of Canada (in the case of public member appointments) regarding the skills sought in nominees for directors.

Board and Committee Nominations

The Committee:

- a. Assesses the capabilities that will be required by the Board and its Committees by overseeing maintenance of a "skills and attribute matrix".
- b. Oversees tracking of term limits of Directors and Committee members.
- c. Identifies gaps to be filled and plan for the orderly succession of the Chair of the Board, Directors and Committee members to maintain required capabilities.
- d. Develops [for the Board's approval] a formal and transparent procedure for recommending candidates for appointment to the Board to the Minister;
- e. Develops a formal and transparent procedure for calls for nominations for non-Director appointments to Committees.
- f. Recommends committee members and committee chairs and names for potential Board appointments to the Board for approval.

Election of Directors

The Committee:

- i. In accordance with the By-laws, oversees that elections to the Board are held when required.

Deleted: <#>In collaboration with the Nominating and Board Development Committee, identifies the skills and qualifications required of members of the various Board-appointed Committees, statutory committees, and Chair appointments. ¶

Receives from the Nominating and Board Development Committee identification of appropriate candidates for appointment and/or recommendation for appointment to committees or the board. ¶



MEMBERSHIP AND VOTING

The Governance Committee has up to 5 members, at least three of whom are Directors.

Non-voting participants:

- Chief Executive Officer (CEO) is an ex officio member of the Committee.

A Committee member who, without excuse satisfactory to the Chair, is absent from two consecutive meetings of the Committee is deemed to have resigned, which resignation will create a vacancy on the Committee to be filled.

The Board, by a vote of two-thirds of those present, may at pleasure remove a member of the Committee, but the Board will not consider a motion to remove a committee member unless the Committee member is given notice of the motion and is provided an opportunity to present to the Board.

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CHAIR

The Chair and members of the Governance Committee are appointed by the Board. The Committee Chair is a Director and is a voting member of the Committee.

FREQUENCY OF MEETINGS AND MANNER OF CALL

Meetings are scheduled in advance and occur at least quarterly, or otherwise at the direction of the Chair or the CEO. Additional meetings may be scheduled by the CEO in consultation with the Chair. Meetings will be held by audio-visual means, or on direction of the Chair, in person. If necessary, votes may be cast by email or other electronic means.

Deleted: At least once a year the CEO, Governance and Nominating & Board Development Committee must meet to review their ongoing work, lessons learned, and plan where there are shared or complementary responsibilities.¶

QUORUM

Quorum of the Committee is three

RESOURCES

The Committee is supported by the CEO and Deputy Registrar.



REPORTING

The Committee develops, documents, and adopts for Board approval an annual work plan and reports to the Board by providing a high-level summary of the Committee's activities at [quarterly](#) Board meetings. The summary details what the Committee have been working on (since it last reported to the Board), what the Committee is bringing forward for discussion or approval, and key issues that the Committee is focused on.

The Committee evaluates its work consistent with the Board's approved process for committee evaluation.

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DATE

Approved: 2021-10-05

Revised: 2022-05-27, 2022-08-18, 2023-05-04

To be revised: [v](#)

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College of Patent Agents and Trademark Agents

Statement of Financial Position

As of March 31, 2023

	TOTAL		
	AS OF MAR. 31, 2023	AS OF MAR. 31, 2022 (PY)	CHANGE
Assets			
Current Assets			
Cash and Cash Equivalent			
1010 RBC Chequing Account	2,081,079.71	2,135,623.76	-54,544.05
Total Cash and Cash Equivalent	\$2,081,079.71	\$2,135,623.76	\$ -54,544.05
1230 Other current assets	0.00	0.00	0.00
1400 Prepaid expenses	7,545.21	31,435.83	-23,890.62
Total Current Assets	\$2,088,624.92	\$2,167,059.59	\$ -78,434.67
Non-current Assets			
Property, plant and equipment			
1600 Computer Equipment	11,566.00	9,610.78	1,955.22
1605 Computer Equipment - Accum Amort	-4,091.50	-2,162.54	-1,928.96
Total Property, plant and equipment	\$7,474.50	\$7,448.24	\$26.26
Total Non Current Assets	\$7,474.50	\$7,448.24	\$26.26
Total Assets	\$2,096,099.42	\$2,174,507.83	\$ -78,408.41
Liabilities and Net Assets			
Liabilities			
Current Liabilities			
Accounts Payable (A/P)			
2000 Accounts Payable (A/P)	112,719.48	81,960.36	30,759.12
Total Accounts Payable (A/P)	\$112,719.48	\$81,960.36	\$30,759.12
Credit Card	\$1,892.25	\$1,215.75	\$676.50
2010 Accrued Payables	-378.00	20,323.22	-20,701.22
2015 Accrued Liabilities - Committee Remuneration	69,975.00	9,575.00	60,400.00
2050 GST/HST Payable	0.00	157,184.17	-157,184.17
2060 GST/HST Suspense	160,964.46	0.00	160,964.46
Total 2050 GST/HST Payable	160,964.46	157,184.17	3,780.29
Total Current Liabilities	\$345,173.19	\$270,258.50	\$74,914.69
Non-current Liabilities			
2200 Deferred Revenue - Payments Received	3,753.00	10,419.50	-6,666.50
2210 Deferred License Fees	1,438,125.00	1,511,125.00	-73,000.00
2211 Deferred License Fees - Class 2	17,700.00		17,700.00
2220 Deferred Application Fees	0.00		0.00
2250 Deferred Exam Fees	0.00	0.00	0.00
Total Non-current Liabilities	\$1,459,578.00	\$1,521,544.50	\$ -61,966.50
Total Liabilities	\$1,804,751.19	\$1,791,803.00	\$12,948.19
Net Assets			
Net Assets - Beginning	304,883.65	245,017.31	59,866.34
Current year excess (deficit) of revenue over expenses	-13,535.42	137,687.52	-151,222.94
Total Net Assets	\$291,348.23	\$382,704.83	\$ -91,356.60
Total Liabilities and Net Assets	\$2,096,099.42	\$2,174,507.83	\$ -78,408.41

College of Patent Agents and Trademark Agents Budget vs. Actuals and vs. Prior Year January - March, 2023

	Actual Jan - Mar 2023			Budget 2023			over Budget 2023			Jan - Mar., 2022 (PY)		Change (2023 - 2022)	
Income													
4000 Service/Fee Income													
4010 Licensee fees - CPATA fees	479,375			512,500			(33,125)			497,500		(18,125)	
4020 Class 2 Inactive Agent Fees	5,900			5,000			900			4,925		975	
4030 Class 3 License Fees	1,496			3,000			(1,504)					1,496	
Total 4010 Licensee fees - CPATA fees	\$ 486,771	\$	\$	520,500	\$	\$	(33,729)	\$	\$	502,425	\$	(15,654)	
4050 Exam fees	(1,750)			0			(1,750)					(1,750)	
4055 Exam re-correction request	7,400						7,400					7,400	
Total 4050 Exam fees	\$ 5,650	\$	\$	-	\$	\$	5,650	\$	\$	-	\$	5,650	
4070 Application fee income	25,200			32,800			(7,600)			20,450		4,750	
4060 Certificate & Letters Fees	300			563			(263)			375		(75)	
Total 4070 Application fee income	\$ 25,500	\$	\$	33,363	\$	\$	(7,863)	\$	\$	20,825	\$	4,675	
Total 4000 Service/Fee Income	\$ 517,921	\$	\$	553,863	\$	\$	(35,941)	\$	\$	523,250	\$	(5,329)	
Expenses													
5500 Wages & Benefits							0					0	
Total 5500 Wages & Benefits	\$ 193,911	\$	\$	191,888	\$	\$	2,023	\$	\$	146,443	\$	47,468	
6005 Professional and consulting fees				1,250			(1,250)					0	
6010 Professional fees - Accounting Services	20,000			20,000			0			27,796		(7,796)	
6200 Consulting - Admissions	41,400			29,300			12,100			10,699		30,701	
6210 Consulting - Communications	11,779			8,250			3,529			30,000		(18,221)	
6230 Consulting - Human Resources	8,420			2,500			5,920			21,764		(13,344)	
6270 IT Consultants - Network & General	2,758			3,000			(242)			2,976		(218)	
6290 IT Consultant - Website	3,945			2,700			1,245			10,641		(6,696)	
Total 6005 Professional and consulting fees	\$ 88,302	\$	\$	67,000	\$	\$	21,302	\$	\$	103,876	\$	(15,574)	
6015 Audit Fees	0			0			0			0		0	
6030 Legal Fees	101,059			107,750			(6,691)			37,058		64,001	
6060 Translation expenses	18,936			10,000			8,936			15,916		3,020	
6280 IT Consultant - License Systems	15,713			18,050			(2,338)			7,500		8,213	
6505 Board and Committee Expenses													
6500 Board - Meeting expenses				500			(500)					0	
6510 Board - Remuneration	26,525			15,450			11,075			9,575		16,950	
6610 Committees - Member Compensation	23,900			13,275			10,625			0		23,900	
6615 Reg Programs - Member Compensation				16,950			(16,950)					0	
6620 Committee - Travel							0					0	
Total 6505 Board and Committee Expenses	\$ 50,425	\$	\$	46,175	\$	\$	4,250	\$	\$	9,575	\$	40,850	
7005 Advertising							0					0	
7010 Bank fees and interest	767			682			85			581		187	
7020 Credit Card Processing Fees	40,125			35,000			5,125			44,946		(4,821)	
Total 7010 Bank fees and interest	\$ 40,892	\$	\$	35,682	\$	\$	5,210	\$	\$	45,526	\$	(4,634)	
7130 Dues and memberships	2,524			4,450			(1,927)			402		2,122	
7135 Insurance													
7140 Insurance - D&O	9,482			9,482			0			7,948		1,535	
7150 Insurance - General Liability	398			399			(1)			344		55	
7160 Insurance - Mandatory Liability				0			0			1,339		(1,339)	
7170 Insurance - Cyber	2,727			2,727			0			2,116		611	
Total 7135 Insurance	\$ 12,607	\$	\$	12,608	\$	\$	(1)	\$	\$	11,746	\$	861	
7205 Office Expenses													
6295 Payroll provider Fees	233			150			83			126		107	
7210 Office - Furniture				2,750			(2,750)			124		(124)	
7215 Office - General expenses	1,280						1,280			979		301	
7225 Telephone-Cell phone	156						156					156	
7300 Software costs - Administration	4,135			4,582			(447)			5,393		(1,258)	
Total 7205 Office Expenses	\$ 5,803	\$	\$	7,482	\$	\$	(1,679)	\$	\$	6,621	\$	(818)	
Total 7320 Staff Travel	\$ 639	\$	\$	-	\$	\$	639	\$	\$	178	\$	460	
Total Expenses	\$ 530,810	\$	\$	501,085	\$	\$	29,725	\$	\$	384,842	\$	145,968	
Net Operating Income	\$ (12,889)	\$	\$	52,777	\$	\$	(65,666)	\$	\$	138,408	\$	(151,297)	
Other Expenses													
8000 Amortization	647			825			(178)			721		(74)	
Total Other Expenses	\$ 647	\$	\$	825	\$	\$	(178)	\$	\$	721	\$	(74)	
Net Income	\$ (13,535)	\$	\$	51,952	\$	\$	(65,488)	\$	\$	137,688	\$	(151,223)	

Memorandum

TO	Audit & Risk Committee, Board of Directors
FROM	Juda Strawczynski, CEO & Registrar and Sean Walker, CFO
DATE	May 1, 2023
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, was filed with CRA on April 24 with payment made the same day.

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 2023.

Statements of Remuneration – T4's and T4A's are required to be sent to CRA and employees, Board and Committee members by the end of February. These have been filed with CRA and Revenu Quebec and copies have been provided to employees, Board members and Committee members. We have received confirmation of acceptance of filing the T4's and T4A's from CRA and are awaiting confirmation from Revenu Quebec.

We are working to transfer authorization for the Revenu Quebec account from Darrel to Juda, however, it has been a slow and difficult process. We are waiting on confirmation that the letter sent has been received.

Annual Federal filing requirements with CRA

CPATA will be required to file a Not-for-Profit Organization (NPO) Information Return (T1044) for 2022 with CRA within 6 months of the year ending December 31, 2022 by June 30, 2023. CPATA is not a taxable entity so income tax will not be required, however, the returns must still be filed. Grant Thornton will prepare and mail the return on CPATA's behalf and confirmation will be provided once received from CRA.

Annual Report and Audited Financial Statements

CPATA's Annual Report is due to be delivered to the Minister of Innovation, Science and Industry as required by s. 25¹ of the CPATA Act. The report is due by March 31st and will be tabled in Parliament by the Minister. 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, 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

The bilingual Licensee Portal and Online Register launched on September 29, 2022, making all of CPATA's channels and publications fully bilingual. CPATA has been in touch with the Office of the Official Languages Commissioner to request model "Official Language Policies" and suggested employee training programs, in response to the Commissioner's recommended steps. Regarding hearings, CPATA hearings will be conducted in the language of preference of the person subject to the charge. Decisions will be translated into the other language for public consultation. CPATA is well on its way to full compliance with the Official Languages Act.

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. Please also see the included 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, 2023**

	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 	TBD – Grant Thornton
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