

Registrar’s Report for Q4 2020

November 30, 2020

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Trend and Issues in Professional Regulation

Richard Steineke presented on *Trends in Regulatory Governance* at the September 29, 2020, Board development session. This section updates some of the threads in Richard's presentation:

1. Alberta: The other shoe drops
2. The College Performance Measurement Framework (CPMF) launches
3. Infonex presentation '*Measuring Up: Meeting the Challenges in Regulatory Performance Measurement*'

Alberta: The Other Shoe Drops

In the Trends and Issues section of the Q3 2020 Registrar's Report, two Alberta items were highlighted: the Alberta government discussion paper titled *Proposals to Amend the Health Professions Act to Improve Regulatory Effectiveness and Efficiency*, and important changes at the College and Association of Registered Nurses of Alberta (CARNA). As it turns out, the Government of Alberta intended to act quickly and the changes at CARNA were a harbinger of things to come.

Bill 30, the Health Statutes Amendment Act, 2020, (Alberta) was passed on July 29. This Act altered the composition of boards of directors of the health professions' tribunals, college councils, and committees (such as complaints reviews), by increasing public membership on these oversight bodies to 50 percent. But there was more to come.

Bill 46, the Health Statutes Amendment Act, 2020, (Alberta) was introduced on November 5, 2020. If passed, it will introduce sweeping changes to the regulation of health professions in Alberta. Some highlights of *Bill 46, the Health Statutes Amendment Act, 2020*:

- Strengthening the protection of patients by regulating health-care aides.
- Separating regulatory colleges from professional associations and allowing for the amalgamation of some smaller colleges.
- Establishing a centralized, public-facing online registry of health professionals to help Albertans find a health provider.
- Delivering better results for Albertans by allowing authorized health organizations and professionals to share health information in Alberta Netcare more efficiently and support better patient outcomes.
- Keeping legislation current and increasing penalties for unauthorized use of patient health information.
- Repealing the outdated *Hospitals Act* and moving all applicable parts into the *Health Facilities Act*.
- Changing the name of the *ABC Benefits Corporation Act* to the *Alberta Blue Cross Act* to reflect the familiar name of the organization.
- Updating some administrative items under the *Health Professions Act* to support best practices and improve responsiveness.

<https://edmontonjournal.com/news/politics/omnibus-bill-would-keep-health-care-association-leaders-out-of-governing-boards>

The College Performance Measurement Framework (CPMF) Launches

The College Performance Measurement Framework (CPMF) is seen by many as Ontario's response to the developments in B.C. and Alberta. The progress of the CPMF was chronicled in the Q4 2019 Registrar's Report and the Q1 2020 Registrar's Report. HSPA was a member of the task force which developed the CPMF and the Framework itself was influenced by HSPA's Gold Standard Assessment Framework.

On September 1, 2020, the Ministry of Health implemented a 'soft launch' of the College Performance Measurement Framework (CPMF) to all of Ontario's 26 health regulatory colleges. The official launch occurred in October 2020. The ministry asked each College to start completing the CPMF Reporting Tool and post the completed CPMF report on its website by March 31, 2021 and to send a copy to the ministry.

The purpose of the first CPMF reporting cycle is to provide baseline information on the structures and processes each College currently has in place along with the activities that are currently being undertaken respecting the CPMF Standards and to demonstrate a College's commitment to continuously improve its performance.

The ministry will not review and assess the degree to which a College has implemented the CPMF Standards to publicly report on how well each College is performing. However, the ministry will:

- Meet with each College to discuss its report, provide performance feedback and potentially set expectations to improve.
- Draft and post a report on the ministry website that will summarize the CPMF results at a system level (as opposed to the performance of each college).

Before starting the second CPMF reporting cycle in October 2021, the ministry together with the Colleges, the public and experts will evaluate and refine the CPMF based on the results and feedback received during the first reporting iteration. It is envisioned that for the second reporting cycle Colleges will be only asked to report back on improvements identified during baseline reporting, any changes in comparison to baseline reporting and any changes resulting from the refined Standards, Measures and Evidence.

Interestingly, in a recent interview, Harry Cayton expressed a certain skepticism as to the ultimate success of the CPMF because, in his opinion, it does not focus enough on outcomes and quite a lot on measuring process. Nonetheless, Cayton thought of it as a step in the right direction.

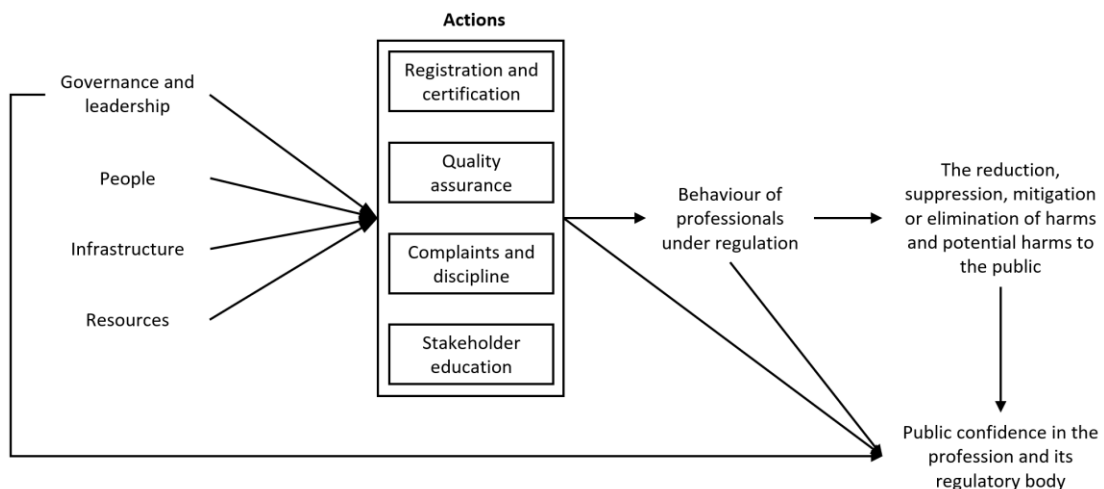
Infonex presentation ‘Measuring Up: Meeting the Challenges in Regulatory Performance Measurement’

As noted above, Harry Cayton criticized the CPMF for not being sufficiently focused on outcomes. Somewhat ironically, the measurement frameworks developed by Cayton at the Professional Standards Authority (UK), as well as other practice-based measurement approaches, have also been criticized for not being sufficiently focused on outcomes. (As it turns out, there are different interpretations of what is an ‘outcome’.) Since HRPAs was a pioneer in practice-based performance measurement for professional regulatory bodies, it is fitting that HRPAs is at the forefront of exploring how practice-based measurement can be extended to also incorporate outcomes and root causes.

On October 6, 2020, at the Infonex Professional Regulation and Discipline conference, Claude Balthazard, HRPAs’s Registrar and VP Regulation, co-presented with Shenda Tanchak, Principal Consultant, Magnetic North Consulting on the topic ‘Measuring Up: Meeting the Challenges in Regulatory Performance Measurement.’

The Professional Standards Authority’s (UK) *Standards of Good Regulation* has become the most widely reference performance measurement framework for professional regulatory bodies not only in the UK but in Canada as well. The Professional Standards Authority’s (UK) *Standards of Good Regulation* is a practice-based model that focuses on four regulatory functions: (1) registration, (2) guidance and standards, (3) education and training, and (4) fitness to practice. The Professional Standards Authority’s model has been criticized, however, for not including the backgrounds of regulatory practices nor the outcomes of regulatory actions. Claude presented a model and approach that allows professional regulatory bodies to extend the Professional Standards Authority’s model both backwards, into the backgrounds of regulatory action, and forwards, into the proximal outcomes of regulatory action.

Figure 1: Extending the PAS Standards of Good Regulation model

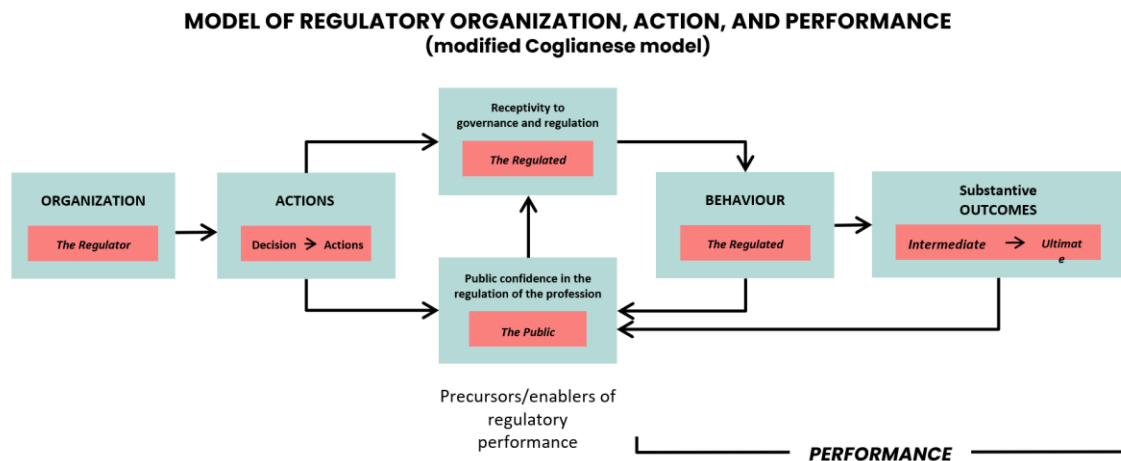


Three key models

This small section is important in that it explains how three models often referred to in the Registrar’s Report are linked.

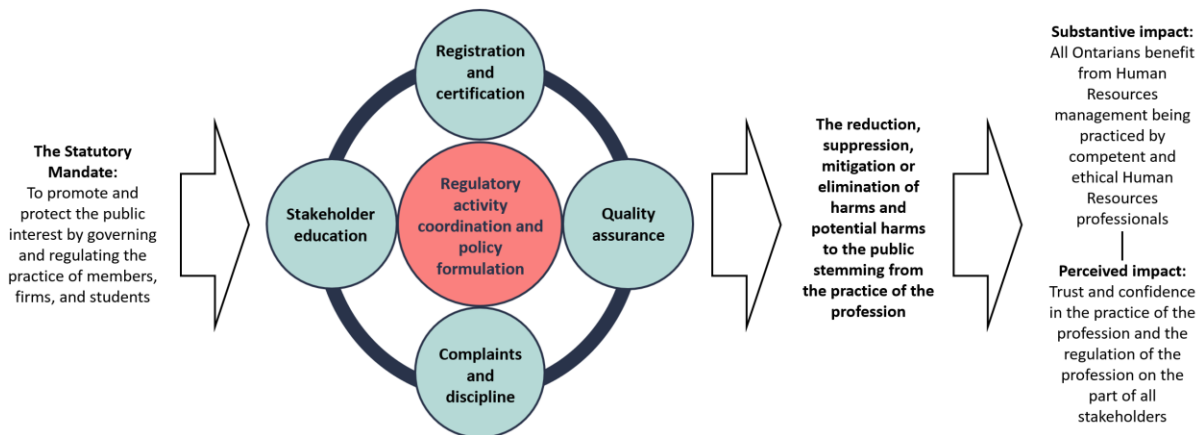
Three key models drive regulatory work at the HRP. The first is the model of regulatory organization, action, and performance, which is a modified version of Coglianese’s (2015) model. The important aspect of this model is that professional regulatory bodies have an impact by influencing the behaviour of the regulated.

Figure 2: Causal model of regulatory organization, action, and performance



The second model is the HRP’s Regulatory Framework. This model is related to the first model in that it gives detail to the *action* box. Regulatory functions are traditionally divided into four functions: registration and certification, quality assurance, complaints and discipline, and stakeholder education.

Figure 3: HRP’s Regulatory Framework



At his presentation to the Board on September 29, 2020, Richard Steinecke referred to the four types of regulatory activity: restrictive regulation, reactive regulation, proactive regulation, and transparent regulation. These are just different ways of referring to the same model as HRPAs have been using for some time.

Figure 4: Mapping Steinecke’s regulatory activity model to HRPAs’ Regulatory Framework

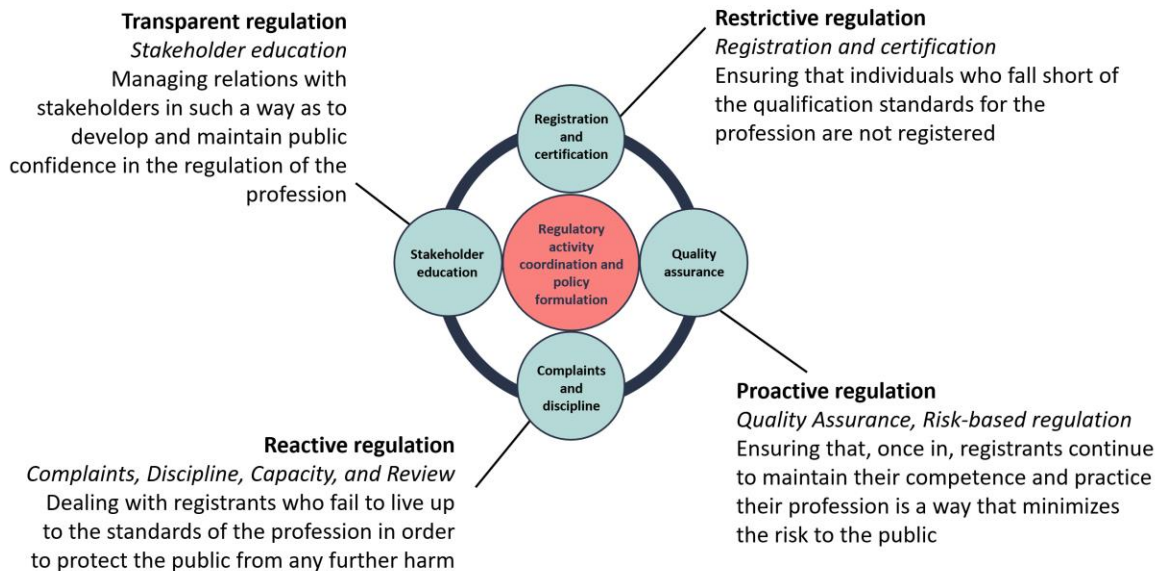
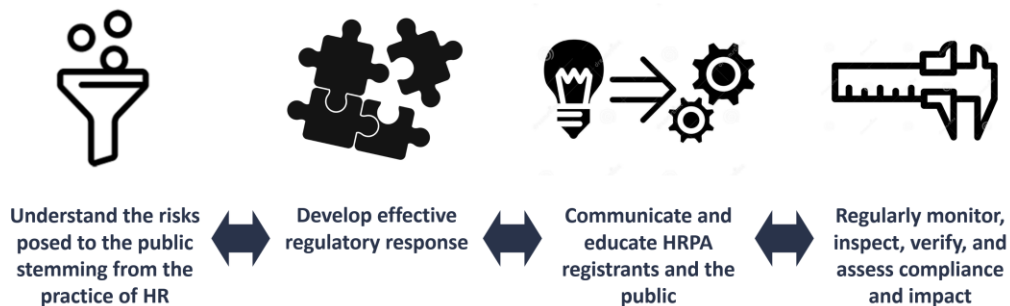


Figure 5: The Risk-based Regulation Backbone



So where does the work of regulatory committees come into play?

Regulatory committees play different roles. Pre-adjudicative, adjudicative, and assessment committees make decisions about individual cases based on established standards and criteria. Most standing regulatory committees support registration and certification processes. Most statutory regulatory committees support complaints and discipline processes (including capacity and review processes). It is worth noting that regulatory committees play less of a role in quality assurance and stakeholder education processes. This reflects the shift from the ‘gatekeeper and police’ model of professional regulation to the ‘risk manager’ model of professional regulation.

The third model gives a specific perspective on how these four regulatory functions are deployed. Risk-based regulation is a specific way of pulling these regulatory activities together in the service of risk-reduction. In doing so, risk-based regulation adds a fifth function—that of regulatory activity coordination and policy formulation.

Annual Report on Compliance

Risk #4 on the Enterprise Risk Register is *widespread non-compliance on the part of members, firms, and students*.

Table 1: Risk Assessment Severity Score for Risk #4

Inherent Risk Assessment			Residual Risk Assessment (2019)			Residual Risk Assessment (2020)		
Likelihood	Impact	Severity Score	Likelihood	Impact	Severity Score	Likelihood	Impact	Severity Score
3.50	3.00	10.50	3.50	2.50	8.75	3.50	3.00	10.50

Of the thirty risks tracked by the Enterprise Risk Register, Risk #4 is tied for third place. One of the Key Risk Indicators for this risk is:

- a. Typical compliance measures: compliance with Professional Liability Insurance requirement, compliance with the requirement to notify Registrar of bankruptcies or other insolvency events

Of course, compliance is much broader than compliance with the Professional Liability Insurance requirement and with the requirement to notify the Registrar of bankruptcies or other insolvency events.

Professional regulatory bodies simply cannot achieve their objectives by controlling the conduct and practice of the professionals they regulate. The only way professional regulatory bodies can reach their objectives is when professionals ‘*carry a bit of the professional regulatory body with them*’ whenever and wherever they practice the profession. For the most part, professional regulatory bodies are *influencers*, not *controllers*. In the end, regulated professionals are the implementors of professional guidance and practice standards.

Compliance does not refer to the extent to which registrants ‘obey orders’ of their professional regulatory body, but the extent to which they have internalized the professional guidance issued by their professional regulatory body and applied this guidance in everyday professional practice.

There is no ‘heavy-handed’ enforcement of most of these requirements because there is no way to identify which registrants are subject to any given requirement and which registrants are non-compliant. Especially since the probability that a complaint is filed is very low, HRPAs depend primarily on the ‘honour system’ for compliance.

There are three requirements for which the level of compliance is known or for which evidence can be used to estimate overall compliance with the requirement even without being able to ascertain whether individual members, firms, or students comply with the requirements. These are: (1) the CPD requirement, (2) the requirement to obtain and maintain professional liability insurance for registrants in independent practice and (3) the requirement to notify the Registrar of any insolvency event (i.e., bankruptcy or consumer proposal).

The compliance rates here are not an indication of the extent to which registrants comply with 'heavy-handed' enforcement but the extent to which they voluntarily abide by a requirement established by their professional regulatory body.

Professional Liability Insurance

The requirement for HRPAs registrants in independent practice to obtain professional liability insurance and to notify the Registrar of such has been in place since 2009. The Professional Liability Insurance Requirement requires:

1. That the registrant obtain Professional Liability Insurance
2. That the Registrant notify the Registrar that they have obtained Professional Liability Insurance
3. That this information is kept up to date

Estimating the actual Professional Liability Insurance compliance rate is relatively straightforward.

$$PLI \text{ compliance rate} = \frac{\text{Number of registrants authorized for independent practice on the public register}}{\text{Number of registrants subject to the PLI requirement}}$$

The numerator is simply the number of registrants who have complied with the Professional Liability Insurance Requirement. This is indicated in the public register as being "authorized for independent practice." Currently, 641 registrants are authorized for independent practice on the public register. The denominator is the number of HRPAs registrants in independent practice. Based on the Professional Regulation survey results, 8.65% of HRPAs respondents indicated that they were in independent practice and thus subject to the Professional Liability Insurance requirement. With 24,230 registrants, one would estimate that 2,096 registrants are in independent practice.

$$PLI \text{ compliance rate} = \frac{\text{Actual number of PLI notifications}}{\text{Expected number of PLI notifications}} = \frac{641}{2,096} = 30.6\%$$

Insolvency events

The requirement to notify the Registrar of any insolvency event is entrenched in the Act. The rationale for members to notify the Registrar of insolvency events is that there are additional risks to others stemming from the insolvency event. For instance, HR professionals often have broad access to corporate records, financial accounts, pension & benefit accounts, and payroll-related accounts--that broad access increases the possible risk to an employer should an HR professional be under intense financial pressure. Historical cases of fraud demonstrate the link between financial desperation and misconduct. HR professionals who have experienced an insolvency event may also find it difficult to maintain their independence and maybe improperly influenced by creditors¹.

¹ That is why, for instance, 'bankrupts' are not allowed to sit on HRPAs Board of Directors.

The compliance rate for the requirement to notify the Registrar of insolvency events is calculated as follows:

$$\text{Insolvency event compliance rate} = \frac{\text{Actual number of notifications}}{\text{Expected number of notifications}}$$

The numerator is the actual number of notifications received by the Registrar. In 2020, the Registrar received two notifications of insolvency events. The expected number of notifications is calculated by taking the incidence rate for insolvency events in the general population and multiplying the number of members by this rate.

Based on the data published by the Office of the Superintendent of Bankruptcies, the consumer insolvency rate in Ontario in 2019 was 3.8 per 1000. The insolvency rate for 2020 is not yet available but quarterly results so far indicate something close to 3.4 per 1000. At a rate of 3.4 insolvency events per 1000, with 23,768 members, one would have expected about 81 insolvency events in the last 12 months. The actual number of notifications at HRPAs in the previous twelve months was two.

$$\text{Insolvency event compliance rate} = \frac{\text{Actual number of notifications}}{\text{Expected number of notifications}} = \frac{2}{81} = 2.5\%$$

Table 2: Compliance Rate for the Requirement to Notify the Registrar of Insolvency Events

	2016	2017	2018	2019	2020
Total sample	3,677	2,496	2330	n/a	1,313
Yes (in sample)	31	20	18	n/a	0
No (in sample)	3,646	2,476	2312	n/a	1,213
% insolvency in sample	0.84%	0.80%	.77%	n/a	0.00%
% in population	0.36%	0.34%	0.34%	0.38%	0.34%
Member count ²	20,842	21,445	21,273	23,085	23,768
Expected number of insolvencies	75	73	72	88	81
Actual number of notifications	n/a	3	10	2	2
Compliance rate	n/a	4.1%	13.9%	2.3%	2.5%

One could argue that HRPAs members are, for some reason, less likely to experience an insolvency event than the general population. An interesting observation is that in the years 2016 to 2018, the insolvency rate amongst survey respondents was significantly *higher* than the insolvency rate for the Ontario general population aged 18 or over. The question was not asked in 2019. Therefore, there is no reason to believe that the insolvency rate amongst HRPAs members is less than that for the general population.

² The requirement to notify the Registrar of any insolvency event applies only to members and not to students. The member count here does not include students. Also, the member count is taken as the member count on the day the survey was launched.

The evidence indicates that self-reports of compliance overestimate actual compliance by a fair margin

On the recent Member and Student Survey, 68% of respondents indicated that they would notify the Registrar of any insolvency event should they experience one—the actual compliance rate, is likely closer to 2.5%. On the recent Member and Student Survey, 74% of survey respondents who identified themselves as subject to the Professional Liability Insurance requirement indicated that they had complied with the requirement, the actual compliance rate is likely closer to 30.6%.

Table 3: Compliance rates based on self-report v. compliance rates based on evidence

	Compliance rate based on self-report	Compliance rate based on evidence
Reporting of insolvency events	68%	2.5%
Obtaining PLI and notifying the Registrar of such	74%	30.6%

There are likely many reasons for the discrepancy between self-reports of compliance and actual compliance.

For instance, regarding the requirement for members to notify the Registrar of any insolvency event, we are dealing with an event which, for most respondents, has not happened—it is a hypothetical event. It may be that individuals simply do not have a good idea as to how they would act if this were to happen to them.

This does not explain the overestimation of actual compliance for the Professional Liability Insurance requirement, however. Here, one explanation might be that survey respondents were not comfortable in admitting that they were not in compliance with the Professional Liability Insurance requirement, even though the survey was anonymous.

This does suggest that self-reports of compliance cannot be taken as evidence for compliance.

When are registrants likely to comply?

The compliance rates for the requirement to notify the Registrar of insolvency events (2.5%) and the requirement for registrants in independent practice to obtain professional liability insurance and to notify the registrar of such (30.6%) stand in contrast to the compliance rate for the Continuing Professional Development requirement (96.1%).

There are some key differences:

1. That one is subject to the CPD requirement is easily established,
2. Whether one has complied with the requirement is easily established
3. The consequences are enforced

Unfortunately, HRPAs depends on self-report to establish whether a requirement applies.

For instance, one could search names in the database maintained by the Superintendent of Bankruptcies. But such searches must be done one name at a time. This would be prohibitively expensive to do.

Let us imagine, now, that verifying whether someone has registered a bankruptcy or insolvency event with the Superintendent of Bankruptcies was easy to do and inexpensive, and that it became entirely feasible for HRPA to do this on an annual basis—one would expect the compliance rate to shoot up.

Establishing whether a registrant is offering HR services as an independent practitioner is even more difficult to do when registrants are practicing part-time in addition to their main employment.

Compliance rates are very low, at least when no means of verification are available

Sometimes, professional regulation is about getting professionals to do certain things in service of keeping the public safe that they would not necessarily do on their own. If professional regulatory bodies only asked professionals to do what they would have already done, there would be no need for a professional regulatory body. But that does not mean that this must be perceived as an imposition or a burden.

One implication of the low compliance rates is that when there is no means of verification in place, is that it is difficult to assume that registrants will comply with a requirement unless there is a means of verification.

In fact, in the recent Member and Student survey, a sizeable minority of respondents were open about their non-compliance. For instance, 32% of members indicated that they would be unlikely to report an insolvency event to the Registrar were they to experience one and 26% of registrants in independent practice would not obtain professional liability insurance.

In situations where there is a significant risk to the public, and to the extent possible, verification mechanisms must be included in any initiative. However, HRPA will not be able to achieve acceptable levels of compliance through enforcement, the only solution is to develop a culture of compliance or 'good professional citizenship'. The idea is that whether one agrees with a particular rule or requirement, one complies out of respect for one's professional regulatory body or out of respect for the profession.

Renewal 2020

Starting in December of each year and into early January there is a mostly manual preparation step. The renewal dues information is adjusted for registrants who no longer qualify for reduced dues³ (i.e., recent graduates in the *Practitioner* registration class and Internationally Educated Professionals who qualify for the Internationally Educated Professionals discount).

On or about January 15th of each year, a renewal invoice is generated for all individuals registered with HRP A on that day. The invoice amount is based on each individual's registration class on that day. Renewal invoices are also generated for individuals who join HRP A after January 15th but before June 1st at the time of initial registration.

Students, however, have a 'push through' program whereby starting April 1st, initial registration includes registration for the following year. Students who join HRP A between April 1st and May 31st are not issued a renewal invoice⁴.

Changes in registration class are processed as they occur. However, renewal invoices are not updated or reissued until the next renewal cycle. For instance, an individual who is registered in the *Practitioner* class on January 15th and who completes all requirements for the *CHRP* after that date will be moved to the *CHRP* registration class immediately upon completion of the *CHRP* requirements (and this change in registration class will be reflected immediately in the public register), however, the invoice will remain a *Practitioner* invoice. This means that for some registrants, their registration class when the invoices were generated and their registration class when the renewal period ended will not be the same.

For every renewal invoice issued, there are three eventual outcomes: (1) the registrant renews, (2) the registrant resigns, or (3) the registrant is revoked. The suspension–revocation process was developed because of the necessity to provide proper notice when HRP A terminates the registration of a registrant who has not renewed and has not indicated their intention to resign.

The renewal period ends with the revocation deadline, at which time all outstanding invoices are voided. After the revocation deadline, individuals cannot renew but they may rejoin.

Changes to the Renewal Deadlines as a Result of COVID-19

In response to the COVID-19 pandemic, HRP A extended its renewal deadline from May 31, 2020, to July 31, 2020, for the 2020–21 renewal cycle. The suspension and revocation deadlines were moved accordingly.

³ These reduced dues are not the same as the Renewal Dues Assistance Program which is a separate matter.

⁴ The reason why 'push through' registration has not been put in place for other registration classes is the amount of administrative work involved.

Table 4: Changes in Renewal Deadlines as a Result of COVID-19

Milestone	From	To
Registration opens	March 1, 2020	March 1, 2020
Renewal deadline	May 31, 2020	July 31, 2020
Suspension	July 15, 2020	September 8, 2020
Revocation	September 30, 2020	November 13, 2020

'Push-through' Registrations

As noted above 'push through' are individuals who first register with HRPAs in the *Student* registration class after April 1 up to and including May 31st. These registrants are not issued a renewal invoice as they are 'automatically' registered for the next registration year. The best way to handle 'push through' registrations is to consider them as renewals.

Between April 1, 2020, and May 31, 2020, there were 153 'push-through' registrations, all in the *Student* registration class. By the end of the renewal window, 35 of these registrants remained in the *Student* registration class and 118 had moved to the *Practitioner* registration class.

Renewal Rate

Renewal rates are calculated as follows:

$$\text{Renewal rate} = \frac{\text{Number of renewals}}{\text{Number of renewal invoices issued}}$$

Renewal Progress

Figure 1 below gives the weekly renewal counts from the start of the renewal period (March 1, 2020) through to the revocation deadline (November 13, 2020).

- 29% of all renewals occurred in the two weeks before the deadline.
- This year there were two peaks—one at the usual deadline of May 31, 2020, and the other at the extended deadline of July 31, 2020. This pattern is unlikely to be repeated.

Figure 6: Renewal Counts by Week: March 1, 2020, to November 13, 2020

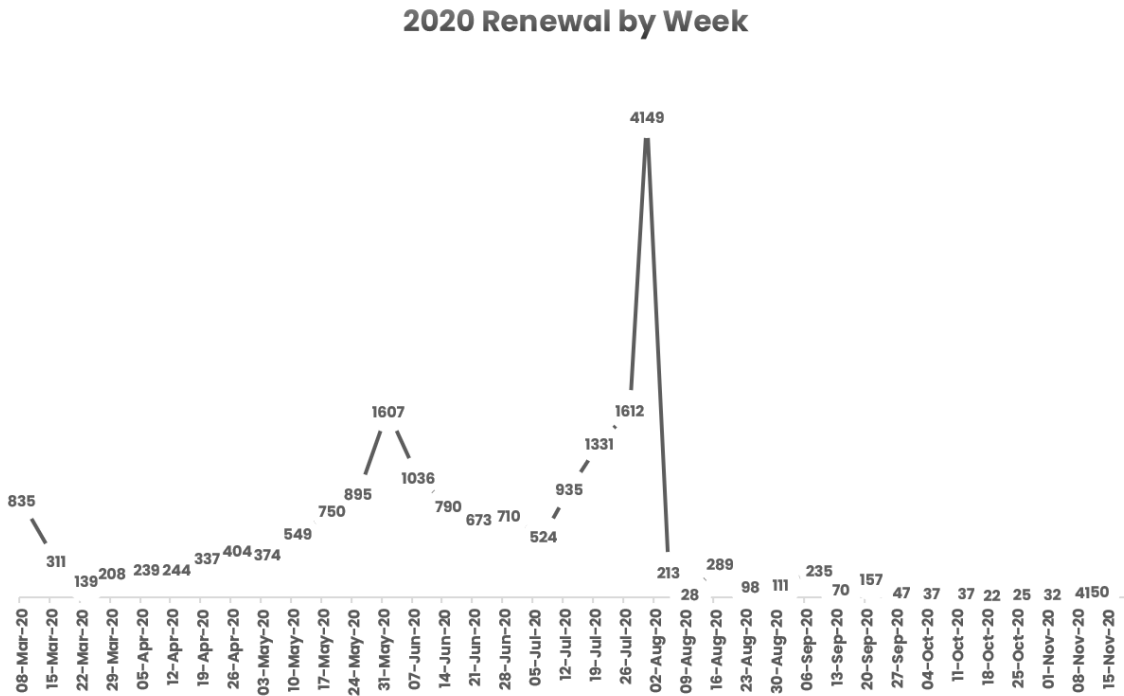


Table 5: Renewal Progress

invoices issued	Renewal Deadline July 31, 2020			Suspension September 8, 2020				Revocation November 13, 2020			
	Renewals	Resignations	On-time renewal rate	Renewals	Resignations	Suspensions	Renewal rate	Renewals	Resignations	Revocations	Renewal rate
24,175	18,652	297	77%	19,626	539	3,872	81%	20,340	617	3,212	84%

- The on-time renewal rate was 77%.
- Of the 20,340 registrants who would eventually renew, 18,652 renewed on-time (92%). This means that 1,688 registrants renewed after the renewal deadline (with most paying late fees⁵).
- The ultimate renewal rate was 84%.

⁵ There is a published process and criteria under which registrants renewing after the deadline can apply for an exemption from late fees.

Renewal Rates by Registration Class

Renewal rates by registration class are given in Table 6 below.

Renewal invoices are generated on or about January 15 of each year. For individuals who join HRPAs between January 15 and May 31, a renewal invoice is generated at the time of initial registration. The renewal window closes with revocation which is normally September 30 but was November 13 this year because of the extension to the renewal deadline. Some individuals will transfer from one registration class to another during this renewal window. However, renewal invoices are not updated.

Registration tables in the Public Register section of this report are based on registration class at the end of the quarter (which for this quarter was November 30, 2020).

Renewal rates are based on registration class at the time the renewal invoice was generated. The table below allows us to consider renewal in any class is considered a renewal. Therefore, the renewal rates are not impacted by the fact that a registrant has changed class after the renewal invoice was issued.

For purposes of Table 6 below, the number of 'push-through' registrations is added to the *Student* registration class for 'renewal invoices issued' count and in the appropriate registration class at revocation.

The Impact of the Recent Graduate Discount on Renewal Rates

For two renewal cycles after a registrant in the *Student* class has ceased to be a student, they will be invoiced at the student rate⁶. This is called the *recent graduate discount*.

⁶ Provided they don't obtain a designation. If they obtain a designation, their invoice at the next renewal cycle will be at the relevant designated member rate.

Table 8: Renewal Rates by Registration Class

Registration class at time renewal invoice was generated	Renewal invoices issued	Registrant class at the close of the registration window						Non-registrant	Renewal rate
		CHRE	CHRL	CHRP	Practitioner	Allied Professional	Student		
Certified Human Resources Executive (CHRE)	269	246	0	0	2	0	0	21	92%
Certified Human Resources Leader (CHRL)	9,652	3	8,928	0	93	0	0	628	93%
Certified Human Resources Professional (CHRP)	4,821	0	63	4,357	18	0	0	393	92%
Practitioner	8,344	2	57	447	5,291	1	1	2,545	69%
Allied Professional	277	0	1	9	0	177	0	90	68%
Student	812	0	2	41	466	1	144	158	81%
Total	24,175	251	9,051	4,854	5,870	179	145	3,835	84%

- The table above considers that some registrants will move from one registration class to another during the renewal period.
- The renewal rate for designated members was 92%, the renewal rate for non-designated members was 69%, and the renewal rate for students was 81%.

Table 6: Invoices Issued at the Student Rate by Registration Class at the Time the Renewal Invoice was Issued

Registration class	Renewal invoices issued at the Student price level
Certified Human Resources Executive (CHRE)	0
Certified Human Resources Leader (CHRL)	0
Certified Human Resources Professional (CHRP)	0
Practitioner	907
Allied Professional	0
Students	654
Total	1,561

Does this make a difference in terms of renewal rates? The answer is that it does not.

Table 7: Comparing the Renewal Rates for Practitioners Paying the Student rate (i.e., recent graduates) and the Renewal Rate for Practitioners Paying the Normal Practitioner Rate

Registration class at time renewal invoice was generated	Invoices issued	Non-registrant	Renewal rate
<i>Practitioner (Student rate)</i>	907	276	70%
<i>Practitioner (normal Practitioner rate)</i>	7,437	2,245	70%
<i>Practitioner total</i>	8,344	2,521	70%

- The renewal rate for *Practitioners* paying the *Student* rate (i.e., recent graduates) is virtually the same as the renewal rate for *Practitioners* paying the *normal Practitioner* rate.

Of course, this does not mean that the recent graduate discount has had no impact. One could argue that the renewal rate for recent graduates would have been worse if the discount did not exist.

Table 9: Retention Rates by Registration Class for the Last Four Years

	2017	2018	2019	2020
Designated members	95%	95%	95%	93%
Certified Human Resources Executive (CHRE)	94%	95%	95%	92%
Certified Human Resources Leader (CHRL)	96%	96%	96%	93%
Certified Human Resources Professional (CHRP)	93%	92%	94%	92%
Non-designated members	69%	75%	77%	69%
Practitioner	70%	76%	78%	69%
Allied Professional	55%	70%	75%	67%
Total members	88%	89%	90%	84%
Student	69%	65%	66%	81%
Total registrants	85%	86%	87%	83%

- Overall, retention has dropped about 3% year-over-year
- Retention for designated members has dropped about 2%, but retention for non-designated members has dropped about 8%.
- The retention rate for Students would appear to have jumped by 15%, but we need to be careful here because of the significant changes in this registration class (i.e., the 'Student registration class clean-up').

Renewal Dues Assistance Program (RDAP)

The Renewal Dues Assistance Program (RDAP) is an update to the *Reduced Dues and Member Disability Assistance Program (MDAP)* which had been in place previously. The most notable difference between RDAP and previous programs is that the RDAP program offers more levels of dues relief than the previous approach. The amount of dues assistance can vary from 20% (where a registrant pays 80% of normal dues) to 100% (where a registrant pays 0% of normal dues).

RDAP is available upon renewal only. It is not available on initial registration.

Because of the already deep discount in place for Students, these registrants are not eligible for the RDAP program.

Table 10: RDAP Usage by Registration Class

Registration class	Renewal invoices issued	RDAP count	RDAP usage as a percent of registration in the class
Certified Human Resources Executive (CHRE)	269	10	3.7%
Certified Human Resources Leader (CHRL)	9,652	648	6.7%
Certified Human Resources Professional (CHRP)	4,821	404	8.4%
Practitioner	8,344	475	5.7%
Allied Professional	277	0	0.0%
Total	23,363	1,537	6.6%

- 1,537 registrants availed themselves of the RDAP program.
- Approximately 6.6% of eligible individuals (i.e., renewing members) availed themselves of renewal dues assistance
- No individuals registered in the Allied Professional class availed themselves of dues assistance

For Table 10 below, the denominator is the total registration count and not renewal invoices issued as in the table above. Total registration count is a better baseline for making comparisons with previous years. This gives us the percentage of registrants (on November 30 of each year) who have availed themselves of dues assistance.

Table 11: Renewal Dues Assistance Usage for the Last Four Years

	2017	2018	2019	2020
Reduced Dues Program	660	464	967	---
Member Disability Assistance Program (MDAP)	41	34	97	---
Renewal Dues Assistance Program (RDAP)	---	---	---	1,538
Total	701	498	1,064	1,537
Registration (November 30)	23,116	23,448	22,757	21,780
Percentage of registration	3.0%	2.1%	4.7%	7.0%

- RDAP usage has increased from 4.7% of registration in 2019 to 7.0% of registration in 2020. This represents a 51% increase in RDAP usage.

$$RDAP \text{ usage increase from 2019 to 2020} = \frac{7.0\% - 4.7\%}{4.7\%} = 51\%$$

- The average dues reduction expressed as a percentage of normal dues was 67% (i.e., on average registrants on RDAP paid 33% of normal dues).



Regulatory activity coordination and policy formulation

The Regulatory Activity Coordination and Policy Formulation Team (the 'Policy Team') continues to actively work on the shift towards risk-based regulation, but also conducts several projects as well.

Risk-based regulation implementation update

Risk-based regulation is a proactive approach that focuses on mitigating, preventing, and/or eliminating the risks to the public stemming from the practice of the HR profession. The strength of this approach is that it proactively mitigates risks before such risks can translate themselves into actual harm experienced by the public. Additionally, the team has re-activated the Practice Standards Committee this quarter and has completed recruitment for our first-ever Public Advisory Forum.

The following is a summary of projects that were completed in Q4:

- The first iteration of the risk roster was completed, and stakeholder consultations were conducted
- Draft Professional Practice Standards Framework/Roadmap was developed
- The Professional Standards Committee was re-activated, and the first business meeting was held
- Recruitment for Public Advisory Forum was completed, with the first meeting to occur on December 2nd, 2020
- The professional regulation survey was conducted and an external report on results was shared with all registrants

Risk-Based Regulation – Risk Roster and Stakeholder Consultations

This quarter, the first iteration of a risk roster was established based on the previous work and research completed to help us understand the risks of harms posed to the public (employers and employees) stemming from that practice of Human Resources.

The risk roster is a working document that will be updated on an ongoing basis, as new or changing risks emerge. Included in the roster is a repository for all risks the practice of the profession may pose to the public that has been identified. This quarter we also consulted many groups on the roster to determine how they would rate the potential severity of each risk (likelihood x impact). The groups consulted included the newly re-established Professional Standards Committee, the Regulatory Chapter Discussion Groups, and the internal Risk-Based Regulation Project team. A group of public members will also be consulted on the risk roster and what they perceive as the most severe risks on December 2, 2020.

Priorities for next year will be, based on the risks determined as highest in severity, planning effective regulatory responses to help prevent these risks of harm from occurring in the first place. This could include, for example, the development of Professional Practice Standards on a topic that is of high risk. Additionally, communication and change-management will be a big priority to help generate understanding and awareness of the identified risks and we continue to try to build a partnership with registrants to effectively manage those risks.

Re-Activation of the Professional Standards Committee and Developing Professional Practice Standards Framework/Roadmap

In April 2020, HRPAs Board of Directors re-activated the Professional Standards Committee (PSC) and approved the Committee Terms of Reference. The PSC is a policy and oversight committee with the mandate to oversee the establishment, maintenance, development and enforcement of professional standards including:

1. Standards of qualification
2. Standards of practice
3. Standards of professional ethics
4. Standards of knowledge, skill, and proficiency

The development of standards is an activity carried out by staff. The PSC reviews report brought forward by staff as to the identification, quantification, and qualification of risks to the public stemming from the practice of the profession and proposed professional standards aimed at minimizing the occurrence of those risks or their impact. This includes, but is not limited to, policies regarding entry-to-practice qualifications, the CPD framework, professional guidance, quality assurance processes, and the review and disposition of complaints. The PSC reports to the Governance and Nominating Committee.

A call for volunteers for the PSC was posted in iVolunteer in May 2020 and the recruitment process is now complete. The PSC met for the first time in November 2020 to consult on the risk roster. The feedback provided by the committee will be used to further fine-tune the risk roster.

One of the key priorities for next year is to begin establishing Professional Practice Standards, which outline to HRPAs registrants the minimum expectations of acceptable performance as a regulated HR professional and what a member of the public should expect from any HRPAs registrant in the workplace as it pertains to a specific practice area. To that end, the policy team has drafted an initial framework/roadmap outlining the processes of developing practice standards. The framework/roadmap will be further consulted on, including with the PSC, in the coming months.

Public Advisory Forum

Having a sounding board of public members is important in helping to inform the policy directions and initiatives of HRP. On December 2, 2020, a group of seventeen public members consisting of a mix between employees and employers (executives of companies) will meet to provide us with their perspective about HR, their familiarity with HRP and HR as a regulated profession, and their input on the risks that have been identified. Specifically, they will be asked to address what they see as the most significant risks of HR, which risk if it happened to them, would encourage them to file a complaint, and more. The public members have diverse backgrounds and are of a variety of different work settings, age groups, and ethnicities.

The goal for next year is to have a formal group of public members as part of the Public Advisory Forum, with meetings on a semi-regular basis.

Other projects

The Policy Team has also conducted several other projects in Q4, 2020:

- Draft surveys for input on HRP's Rules of Professional Conduct and Code of Ethics were completed
- Professional Liability Insurance Compliance Project

Professional Regulation Survey Report

HRP conducted part two of the annual member survey online between September 16 – October 2, 2020, via email distribution to all HRP members and students. There were 1,313 responses to the survey. This part of the survey focused specifically on professional regulation.

The survey was designed around the following impact model:

Figure 7: Registrant openness to professional regulation as a mediating variable



Some key findings and learnings from the survey include:

- 54% of members and students are supportive of professional regulation, 21% are passive rather than supportive and will do what they need to do but no more.

- 25% of members and students are ‘existent’, ‘reluctant’, or ‘resistant’, which is a relatively high number of disengaged members and students.
- Although HRPAs members and students are generally supportive of professional regulation, many members and students do not seem to appreciate how the conduct and professional practices of registered Human Resources professionals can lead to negative impacts for employers, employees, and the public at large. Many members and students seem to have a passive perspective on professional regulation—that it is enough to be accountable to rules of professional conduct but not to actively engage in the application of those rules. Several members and students have recommended more education, resources, and communication from HRPAs on regulation.
- Member compliance with the reporting of insolvency events and the requirement to obtain Professional Liability Insurance for those in independent practices remains low.
- Member assessment of HRPAs doing a good job of protecting the public (employers and employees) from incompetent and/or unethical HR professionals as well as HRPAs transparency and fairness related to registration, certification and complaints investigations is lukewarm.

A key target action will be to significantly enhance these assessments as we shift towards risk-based regulation, recognizing the importance of professionals having high esteem in their professional regulatory body which in turn connects to a better partnership and compliance with professional guidance and standards. This will include providing members and students with more education, resources, and communications for a better understanding of regulation and how we can partner together to help protect the public and level up the profession. The full report on the survey findings can be [accessed here](#).

HRPA Rules of Professional Conduct and Code of Ethics Surveys

HRPA is currently reviewing our Rules of Professional Conduct and Code of Ethics to determine whether changes are needed. Part of this process includes surveying HRPAs staff and registrants on the current Rules and Code of Ethics. These surveys have been drafted and are expected to go out at some point in December 2020, with our consultant Shenda Tanchak leading this work. Following the survey, Shenda will be hosting a follow up virtual discussion with respondents to receive more in-depth feedback.

Professional Liability Insurance Compliance Project

The Professional Liability Insurance Compliance Project continued in Q4. All registrants whose job title or business name indicated to us that they were independent practitioners but who were not currently authorized to practice independently were contacted. The initial report we pulled listed

2053 registrants that met the criteria. Based on online research, we were able to whittle the list down to 331 registrants. Registrants had to respond by September 30th to confirm whether they were practicing independently and provide information regarding their professional liability insurance, if applicable.

After the clean-up of this group was completed, we noticed during a routine check-up that 40 registrants whose professional liability insurance policy expired before 2020 did not have updated information on file but were still authorized for independent practice. Further investigation revealed that they had been inadvertently been left off of previous reports because the reporting criteria were too narrow. Those registrants have now been contacted to provide updated professional liability insurance information. At this point, we assume that the cleanup should be completed in Q1 of the next fiscal year.

With the cleanup coming to a close we have moved into maintenance. As part of maintenance, registrants whose professional liability insurance was set to expire in October 2020 or before were contacted and asked to submit updated professional liability insurance by November 13th. Going forward, there will be a monthly outreach to registrants whose professional liability is about to expire that month.

Public Register

HRPA ended the year (November 30, 2020) with 21,957 registrants, at this time last year (November 30, 2019) registration stood at 22,757. This represents a 3.5% year-over-year loss in registration. The peak registration was in 2018, with 23,448 registrants on November 30, 2018.

Figure 8: Registration Count 2000 to 2020

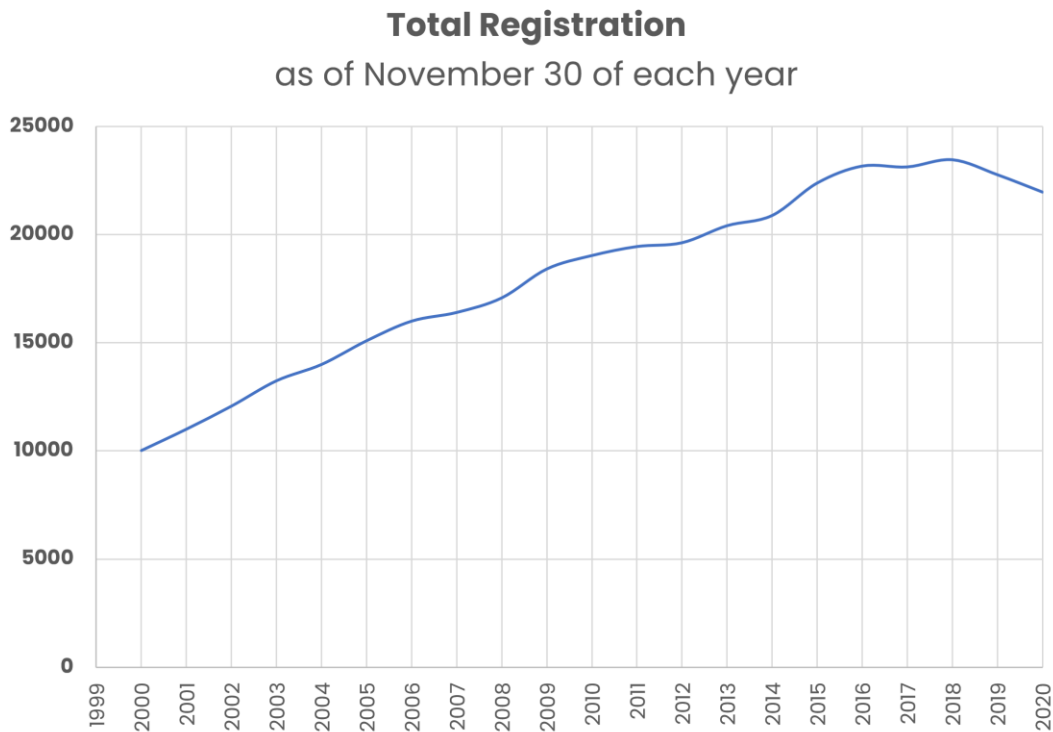


Figure 7 on the next page superimposes the weekly registration counts for the last five years.

The typical pattern is that registration increases more or less in a straight line until the renewal deadline (Week 26). After the renewal deadline, there is a flattening or even a dip in registration count. This is the result of two forces: (1) the pace of new registrations slows down in the summer months, and (2) most resignations occur in the weeks before and after the renewal deadline. By September 1 (Week 38), the normal increases return. Except for this year, this post-deadline lull also corresponds with the summer months. After this summer lull, the normal rate of increase returns. Most registrants who do not wish to continue their registration with HRPA do not resign but are revoked. This revocation deadline is on or about September 30th of each year.

This year, because of the extension to the renewal deadline to July 31, 2020, the pattern is similar but shifted to the right by two months. This year's revocation deadline was November 13, 2020.

Figure 9: Registration Count by Week

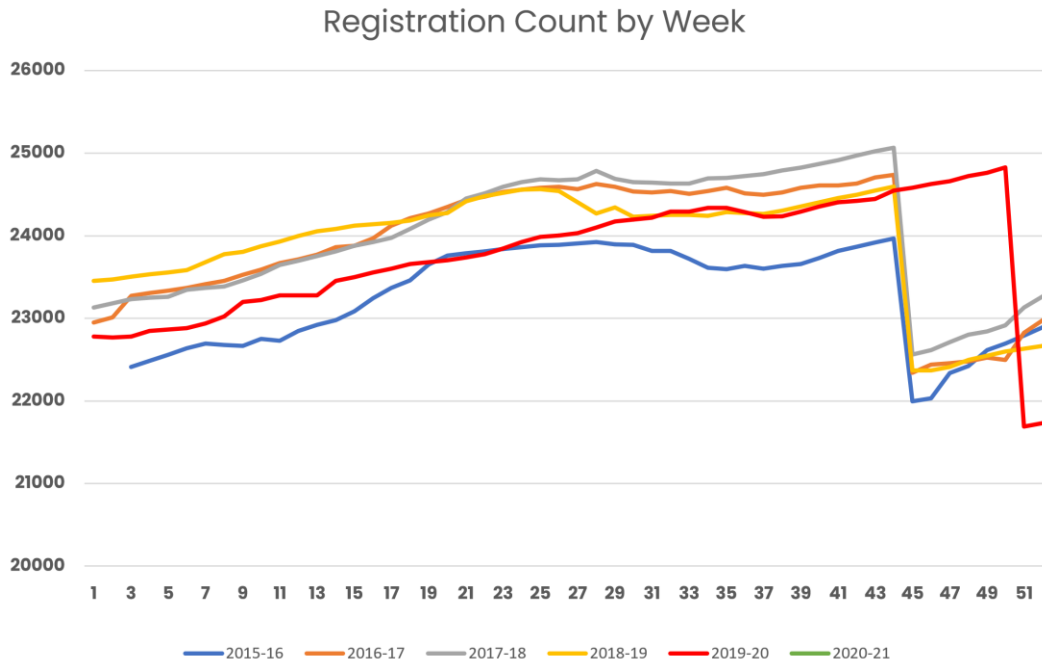


Table 12: Percent of registration for each registration class

This table gives the percent of total registration in each class.

Registration class	2019 (on November 30, 2019)		2020 (on November 30, 2020)	
	Count	Percent of registration	Count	Percent of registration
Certified Human Resources Executive (CHRE)	270	1.2%	257	1.2%
Certified Human Resources Leader (CHRL)	9,613	42.2%	9,107	41.5%
Certified Human Resources Professional (CHRP)	4,766	20.9%	4,922	22.4%
Practitioner	6,751	29.7%	7,046	32.1%
Allied Professional	242	1.1%	206	0.9%
Student	1,115	4.9%	419	1.9%
Total registrants	22757	100.0%	21,957	100.0%

These numbers are accurate but perhaps misleading. The drop in *Student* registration follows mostly from a reclassification of individuals from the *Student* class into the *Practitioner* class as a result of a clean-up of *Student* records. Therefore, we see a decrease in *Students* as a proportion of total registration, and an increase in *Practitioners* as a proportion of total registration.

Table 13: Where Did They Go?

Table 12 below is a master table from which other useful tables may be derived. The table tracks the movement of registrants between November 30, 2019, and November 30, 2020.

		On November 30, 2020						
	A	B	C	D	E	F	G	H
	On November 30, 2019	CHRE	CHRL	CHRP	Practitioner	Allied Professional	Student	Non-registrant
Certified Human Resources Executive (CHRE)	270	247	0	0	2	0	0	21
Certified Human Resources Leader (CHRL)	9,613	3	8940	2	82	1	0	585
Certified Human Resources Professional (CHRP)	4,766	0	76	4303	18	0	0	369
Practitioner	6,751	2	74	399	4351	3	7	1915
Allied Professional	242	0	2	7	3	154	0	76
Student	1,115	0	2	115	569	1	61	367
Non-registrant	2,533	5	13	96	2021	47	351	X

The best way to understand this table is to read it horizontally. For instance, there were 270 individuals registered in the CHRE registration class on November 30, 2019. We find that, a year later, 247 of these individuals renewed in the CHRE registration class, 2 moved to the Practitioner registration class, and 21 are no longer registered with HRP. And so on, for each registration class.

The last row in the table are individuals who were not registered with HRP on November 30, 2019, but who were registered with HRP on November 30, 2020. Column H are individuals who were registered with HRP on November 30, 2019, but who are no longer registered

with HRP. We learn from this table that HRP gained 2,553 new registrants last year, but lost 3,333 registrants, for a net loss of 780 registrants.

Changes in registration counts are the result of individuals entering the registration class and individuals exiting the registration class. Table 14 below gives the ‘ins and outs’ for each registration class. There are two ways that registration in a given class increases: (1) individuals who enter the class upon initial registration (new registrations), and (2) individuals who enter the class from another class. There are two ways that registration in a given class decreases: (1) individuals who move to another class, and (2) individuals who do not renew their registration (i.e., resignations and revocations).

Table 14: Detailed Account of the Ins and Outs of Each Registration Class Between November 30, 2019, and December 3, 2020

	A	B	C	D	E	F	G
Registration class	November 30, 2019	Did not renew	Moved to another class	Came from another class	New registrations	November 30, 2020	% change
Certified Human Resources Executive (CHRE)	270	21	2	5	5	257	-4.8%
Certified Human Resources Leader (CHRL)	9,613	585	88	154	13	9,107	-5.3%
Certified Human Resources Professional (CHRP)	4,766	369	94	523	96	4,922	3.3%
Practitioner	6,751	1,915	485	674	2,021	7,046	4.4%
Allied Professional	242	76	12	5	47	206	-14.9%
Student	1,115	367	687	7	351	419	-62.4%
Total registrants	22,757	3,333	1,368	1,368	2,533	21,957	-3.5%

It can be verified that $A - B - C + D + E = F$. As a check, the total number of registrants who moved to another class is equal to the number of registrants who came from another class

Again, the drop in *Students* and the increase in *Practitioners* is due to the clean-up of Student records.

Table 15: Designated Members as a Proportion Total Registration from 2015 to 2020

Registration class	2015	2016	2017	2018	2019	2020
Designated members	13,980	14,681	14,717	14,529	14,649	14,286
Certified Human Resources Executive (CHRE)	216	251	269	269	270	257
Certified Human Resources Leader (CHRL)	9,329	9,289	9,053	9,076	9,613	9,106
Certified Human Resources Professional (CHRP)	4,435	5,141	5,395	5,184	4,766	4,923
Undesignated Members	5841	5626	5759	6144	6993	7252
Practitioner	5,672	5,417	5,536	5,892	6,751	7,046
Allied Professional	169	209	223	252	242	206
Total members	19,821	20,307	20,476	20,673	21,642	21,538
Students	2,513	2,848	2,640	2,775	1,115	419
Total registrants	22,334	23,155	23,116	23,448	22,757	21,957
Designated members as a proportion of membership	70.5%	72.3%	71.9%	70.3%	67.7%	66.3%
Designated members as a proportion of total registration	62.6%	63.4%	63.7%	62.0%	64.4%	65.1%

Again, the number of students is not truly comparable to previous years. Nonetheless, most *Students* move to the *Practitioner* registration class. Because *Practitioners* are members whereas *Students* are not, the Student class has had a differential impact on *designated members as a proportion of membership* and *designated members as a proportion of total registration*. Going forward, the best metric is *designated members as a proportion of the membership*.

Table 16: Five-year Registration Trends

Table 16 below is a subset of Table 14 which more clearly shows the cumulative changes in the last five years.

Registration class	2015	2020	% change
Designated members	13,980	14,286	2.2%
Certified Human Resources Executive (CHRE)	216	257	19.0%
Certified Human Resources Leader (CHRL)	9,329	9,106	-2.4%
Certified Human Resources Professional (CHRP)	4,435	4,923	11.0%
Undesignated Members	5841	7252	24.2%
Practitioner	5,672	7,046	24.2%
Allied Professional	169	206	21.9%
Total members	19,821	21,538	8.7%
Students	2,513	419	-83.3%
Total registrants	22,334	21,957	-1.7%
Designated members as a proportion of membership	70.5%	66.3%	-4.2%

Despite the issues with the *Student* registration class which were noted above, the five-year comparison surfaces some trends:

- Total registration has shrunk 1.7% over the last five years.
- The number and proportion of undesignated members have increased over the last five years.
- The number of designated members has increased, but only by little.

Table 17: Out-of-Province Registration as of November 30, 2020

	Ontario	Alberta	Quebec	British Columbia	Nova Scotia	New Brunswick	Saskatchewan	Manitoba	Northwest Territories	Newfoundland and Labrador	Prince Edward Island	Nunavut	Yukon	Total Canadian provinces excluding Ontario	International	Total outside Ontario	Total
Designated members	13,934	57	54	54	4	17	10	4	1	1	2	0	6	210	142	352	14,286
Highest designation CHRE (incl. CHRE retired)	238	3	5	3	1	1	0	0	0	0	0	0	0	13	6	19	257
Highest designation CHRL (incl. CHRL retired)	8,870	35	33	35	3	11	7	1	1	1	1	0	2	130	107	237	9,107
Highest designation CHRP (incl. CHRP retired)	4,826	19	16	16	0	5	3	3	0	0	1	0	4	67	29	96	4,922
Undesignated Members	7,014	37	45	17	2	10	6	4	0	4	3	1	2	131	107	238	7,252
Practitioner	6,814	33	44	17	2	9	6	4	0	4	3	1	2	125	107	232	7,046
Allied Professional	200	4	1	0	0	1	0	0	0	0	0	0	0	6	0	6	206
Total members	20,948	94	99	71	6	27	16	8	1	5	5	1	8	341	249	590	21,538
Students	411	1	1	1	1	0	1	0	0	0	0	0	0	5	3	8	419
Total registrants	21,359	95	100	72	7	27	17	8	1	5	5	1	8	346	252	598	21,957

- HRPAs has 598 (2.7%) registrants who are not residents of Ontario

Table 18: Out-of-Province Registration 2017-2020

Jurisdiction	2017	2018	2019	2020
Ontario	22,513	22,845	22,173	21,359
Other Canadian provinces	378	359	343	346
International	165	244	241	252
Total out-of-province	543	603	584	598
Out-of-province as % of registration	2.4%	2.6%	2.6%	2.7%

- The proportion of out-of-province registrants has increased ever so slightly over the last four years.

Table 19: Status by Registration Class

Registration class	Active	Suspended	Retired	% of class
Designated members	14,094	0	192	1.3%
Certified Human Resources Executive (CHRE)	248	0	9	3.5%
Certified Human Resources Leader (CHRL)	8,925	0	182	2.0%
Certified Human Resources Professional (CHRP)	4,921	0	1	0.0%
Undesignated Members	7,224	0	28	0.4%
Practitioner	7018	0	28	0.4%
Allied Professional	206	0	0	0.0%
Total members	21,316	0	220	1.0%
Students	419	0	0	0.0%
Total registrants	21,737	0	220	1.0%

- 1% of HRPAs registrants have a *retired* status

Regulatory committee performance overview

Regulatory committees have no control over the volume of applications, complaints, or referrals. These volumes can fluctuate significantly with the year and from one year to the next. For professional regulatory committees, performance boils down to (1) the timely disposition of cases, and (2) the quality of the decisions. The latter can be assessed by the number of appeals which have overturned any decisions of the committee. The following is an overall assessment of committee performance. For more details, the reader is referred to the relevant section in the following pages.

Figure 10: Regulatory committee performance overview

Regulatory Committee	Operations
Registration Committee	
Academic Standards (Diploma) Committee	
Academic Standards (Degree) Committee	
Experience Assessment Committee (Alternate Route)	
Experience Assessment Committee (VOE)	
CHRE Review Committee	
Continuing Professional Development Committee	
Complaints Committee	
Discipline Committee	
Capacity Committee	
Review Committee	
Appeal Committee	

 Significant issues Committee struggling to keep up	 Some issues Some timeliness issues	 No significant issues No backlog
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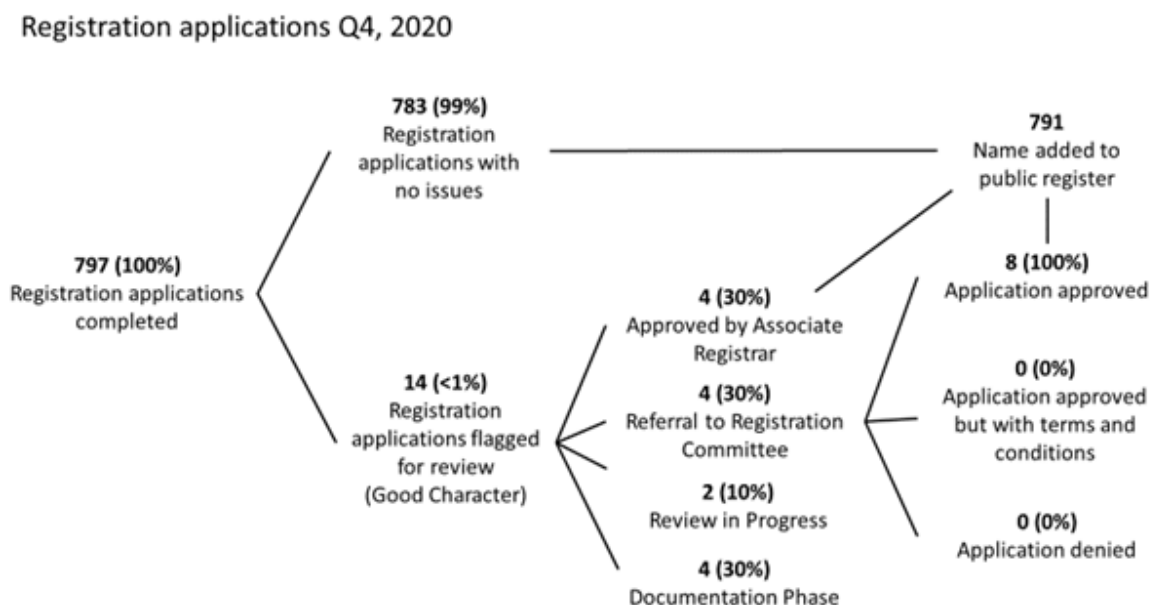
Registration and certification

The purpose of the registration and certification functions is to ensure that only competent and ethical professionals are registered and certified by HRP. HRP is unique amongst professional regulatory bodies in Ontario in that it registers non-certified individuals. These individuals are registered in the Practitioner registration class.

From Application to Registration

Not all applications for initial registration with HRP are automatically accepted. HRP has a *good character* requirement that all applicants for initial registration must meet. In Q4 2020, HRP received 797 registration applications. This includes both initial registration as a member and initial registration as a student.

Figure 11: Q4 2020, Registration Applications Flow Chart



In total, four cases were disposed of by the Registration Committee in Q4 with one still in process. The Associate Registrar approved four applications for registration, and one is still under review. There are currently four applications that are in the document phase.

Registration Committee

Chair: Agnes Ciesla, CHRL

Vice-Chair: Cindy Zarnett, CHRL

Staff Support: Melissa Gouveia

Independent Legal Counsel: Stephen Ronan, Lerner LLP

The Registration Committee is a standing committee established under Section 8.04 of the By-laws. The Registration Committee shall review every application referred to it by the Registrar to determine the suitability of an applicant for registration or the appropriateness of the category of registration being applied for. The Registration Committee also considers applications for removal or modification of any term, condition or limitation previously imposed on a registrant's registration with HRP. The Registration Committee does not have the authority to deem that an applicant has met the requirements for registration where the registration requirement is prescribed as non-exemptible.

The table below gives the activity and decisions of the Registration Committee in Q4 2020. It is to be noted that the numbers are a bit different than those related above because they include applications for initial registration which were received before Q4.

Less than 1% of applications indicate some event that would require further review. There is a possibility that this number might be lower than it should be.

Table 20: Registration Committee Activity

	2018	2019	2020				2020
	Total	Total	Q1	Q2	Q3	Q4	Total
Referral to Registration Committee	22	24	6	5	2	5	18
Approved for registration	16	16	3	4	5	8	20
Approved with conditions	5	2	0	0	0	0	0
Not approved	1	6	2	1	0	0	3

Initial Registrations

There were 797 new registrations in Q4, 622 new registrations as a member and 175 new registrations as a student.

Table 21: Initial Registration in Q4 2020

	Count	Percent
New registrations as a member	622	78%
New registrations as a student	175	22%
Total new registrations	797	100%

Not surprisingly 93% of initial registrations are from Ontario. Interestingly, initial registrations from out of Canada are about equal to initial registrations from other Canadian provinces.

Table 22: New Registrant Jurisdiction Q4 2020

	Count	Percent
Ontario	745	93%
International	30	1%
Alberta	8	< 1%
British Columbia	2	< 1%
Manitoba	1	< 1%
Newfoundland and Labrador	1	< 1%
Quebec	8	< 1%
Saskatchewan	2	< 1%
Total	797	100%

Less than one percent of initial registrations were from individuals previously registered with HRPAs but who had resigned or had been revoked for failure to renew their registration with HRPAs. These individuals must apply for registration as new registrants. However, upon re-registration, their public register entry will be updated.

Table 23: Registration of Individuals Previously Registered with HRPAs

	Count	Percent
Previously registered with HRPAs	65	8%
Not previously registered with HRPAs	732	92%
Total new registrations	797	100%

Registration of Firms

The registration of firms has not yet been put into force.

Certification

HRPA offers three designations - the Certified Human Resources Professional (CHRP), the Certified Human Resources Leader (CHRL) and the Certified Human Resources Executive (CHRE).

The CHRP and the CHRL have a coursework requirement. The coursework is approved by the Academic Standards Committees. There is an Academic Standards Committee for diploma-level coursework and an Academic Standards Committee for degree-level coursework.

Approval of coursework—institutional and individual

Academic Standards Diploma Committee

Chair: Michelle White, CHRL

Vice-Chair: TBD

Staff Support: Melanie Liu

The Academic Standards Diploma Committee is a standing committee established under Section 8.04 of the By-laws. The Academic Standards Diploma Committee shall review every course outline(s) and any accompanying, relevant, supplementary material submitted by eligible post-secondary educational institutions that offer college diploma, advanced diploma, and graduate certificate (post-diploma certificate) level courses and individual registrants seeking to have one or more courses approved at college diploma, advanced diploma, and graduate certificate (post-diploma certificate) level in the fulfillment of HRPAs coursework requirement (course approval), making a decision pertaining thereto and providing rationale per the criteria as established by the Board. Ministry approved HR courses within an established HR program are exempted.

Academic Standards Degree Committee

Chair: Julie Aitken Schermer (member of the public)

Vice-Chair: TBD

Staff Support: Melanie Liu

The Academic Standards Degree Committee is a standing committee established under Section 8.04 of the By-laws. The Academic Standards Degree Committee shall review every course outline(s) and any accompanying, relevant, supplementary material submitted by eligible post-secondary educational institutions that have Ministry approval to offer degree-level courses and individual registrants seeking to have one or more courses approved at degree level or, re-approved in the fulfillment of HRPAs coursework requirement (course approval), making a decision pertaining thereto, and providing rationale per the criteria as established by the Board.

Mandates of the committees

The Academic Standards Committees (Diploma and Degree) make two kinds of decisions:

- a. Reviewing course information for inclusion on HRPAs list of approved courses in fulfillment of HRPAs coursework requirement,
- b. Reviewing course information for courses not included on HRPAs list of approved courses on an individual basis in fulfillment of HRPAs coursework requirement.

The Academic Standards (Diploma) Committee reviews all non-degree coursework (diploma, advanced diploma, post-diploma certificate, and not-for-credit coursework). The Academic Standards (Degree) Committee reviews all degree-credit coursework.

Reviewing course information for inclusion on HRPAs list of approved courses in fulfillment of HRPAs coursework requirement

Coursework offered by colleges (i.e., Colleges of Applied Arts and Technology) and universities are subject to different oversight mechanisms. The standards for programs offered by colleges (i.e., Colleges of Applied Arts and Technology) are set by the Ministry of Colleges and Universities.

Table 24: Ministry standards for HR programs offered by colleges

50223	The approved program standard for Business – Human Resources program of instruction leading to an Ontario College Diploma delivered by Ontario Colleges of Applied Arts and Technology
60223	The approved program standard for Business Administration – Human Resources program of instruction leading to an Ontario College Advanced Diploma delivered by Ontario Colleges of Applied Arts and Technology
70223	The approved program standard for Human Resources Management program of instruction leading to an Ontario College Graduate Certificate delivered by Ontario Colleges of Applied Arts and Technology

Although the Ministry approved program standards are not the same as HRPAs course standards, to avoid duplication, it was decided that courses offered within programs under one of the standards above would be approved and would not need to be reviewed by the Academic Standards (Diploma) Committee. As a result, the Academic Standards (Diploma) Committee only reviews not-for-credit coursework (i.e., some continuing education coursework). The volume of institution applications forwarded to the Academic Standards (Diploma) Committee for review is low because most courses are approved under the exception above. There were no college diploma, advanced diploma, and graduate certificate (post-diploma certificate) level courses with Ministry approval within an established HR program seeking an exempted approval in 2020.

Table 25: Reviews of institutional applications by the Academic Standards (Diploma) Committee

	2018	2019	2020				2020
	Total	Total	Q1	Q2	Q3	Q4	Total
Institutional applications reviewed	0	9	0	0	0	0	0
Institutional applications approved	0	9	0	0	0	0	0

Universities, on the other hand, have a much freer hand in setting the content for their programs. Here, courses are reviewed for an 80% match with HRPAs standard course outlines. For degree-credit courses, the issue is usually the quality of the documentation provided with the initial application. Eventually, virtually all applications for the approval of degree-credit courses are approved. However, this will often require one or two iterations.

Table 26: Reviews of institutional applications by the Academic Standards (Degree) Committee

	2018	2019	2020				2020
	Total	Total	Q1	Q2	Q3	Q4	Total
Institutional applications reviewed	17	45	10	4	8	2	24
Institutional applications approved	16	20	0	10	4	4	18

Reviewing course information for courses not included on HRPAs list of approved courses on an individual basis in fulfillment of HRPAs coursework requirement

Individuals with coursework completed outside of Ontario can apply to have their coursework approved in fulfillment of HRPAs coursework requirement. This is done on a course-by-course basis.

For courses taken outside of Canada, we do require an original equivalency report from WES, ICAS or CES to confirm the institution is accredited and the level of the coursework.

Table 27: Reviews of individual applications by the Academic Standards (Diploma) Committee

	2018	2019	2020				2020
	Total	Total	Q1	Q2	Q3	Q4	Total
Individual applications reviewed	1	3	0	0	9	0	9
Individual applications approved	0	1	0	0	9	0	9

Table 28: Reviews of individual applications by the Academic Standards (Degree) Committee

	2018	2019	2020				2020
	Total	Total	Q1	Q2	Q3	Q4	Total
Individual applications reviewed	36	31	10	12	20	4	46
Individual applications approved	11	19	0	2	6	7	15

Combining individual applications for diploma and degree levels, the approval rate is $24/55 = 32.6\%$.

Table 29: Reasons for non-approval of individual applications

Reason for non-approval	Count	Percent
Supporting documentation missing	13	42%
Course content does not meet the 80% content match requirement*	8	26%
Additional information required	9	29%
	31	100%

*The subject area that causes the most issues for an 80% content match would be Finance and Accounting – It is rare that one course can cover both subject areas, as it usually only completely covers Finance or Accounting.

Experience Assessment Committee

Chair: Mark Seymour, CHRL

Vice-Chair: Michelle Rathwell, CHRL

Staff Support: Arianne Andres

The Experience Assessment Committee is a standing committee established under Section 8.04 of the By-laws. The Experience Assessment Committee shall review every application referred to it by the Registrar to determine the appropriateness and adequacy of the experience of each applicant to meet the experience requirement for the Certified Human Resources Leader (CHRL) designation or to meet the coursework requirement for the Certified Human Resources Professional (CHRP) or the CHRL designation via the Alternate Route per the criteria as established by the Board.

Validation of Experience

Between September 1, 2020, to November 30, 2020, 63 Validation of Experience applications were received, and 41 result letters have been released (results from July, August and September 2020).

Table 30: Experience Assessment Committee Activity (Validation of Experience)

	2018	2019	2020				2020
	Total	Total	Q1	Q2	Q3	Q4	Total
Validation of Experience applications received	1702	256	42	26	32	63	163
Validation of Experience applications approved	444	787	36	35	20	23	114

Table 31: Validation of Experience Results Released for Q4 2020

	Count	Percent
Successful	23	56.10%
Unsuccessful	18	43.9%
Total	41	100%

Alternate Route

Between September 1, 2020, to November 30, 2020, 36 Alternate Route applications were received, and 33 result letters have been released (results from July, August and September 2020).

Table 32: Experience Assessment Committee Activity (Alternate Route)

	2018	2019	2020				2020
	Total	Total	Q1	Q2	Q3	Q4	Total
Alternate Route applications received	123	126	35	25	33	36	129
Alternate Route applications approved	74	89	16	24	21	20	81

Table 33: Alternate Route Results Released for Q4 2020

	Count	Percent
Successful	20	60.61%
Unsuccessful	13	39.39%
Total	33	100%

Challenge Exams

In addition to the Alternate Route, HRP A offers still another way of meeting the Coursework Requirement. For each of the nine required courses, candidates may opt to write a Challenge Exam. Some use the Challenge Exam option instead of taking the course, others use the Challenge Exams to make up for a grade that was too low or for a course that has expired due to it having been completed more than 10 years ago.

Note: The May 2020 Challenge Exams were cancelled due to COVID-19. Challenge Exams resumed from July 28th to July 30th, 2020 and were administered via online proctoring, whereas in the past they were written in person via paper-and-pencil, and a third testing window was administered from November 2nd to November 4th, 2020.

Table 34: Challenge Exams Breakdown by Month

Month	Registrants	Pass	Pass Rate
January 2020	61	38	62%
May 2020	Cancelled	Cancelled	Cancelled
July 2020	53	36	68%
November 2020	86	58	67%
Total	200	132	66%

Table 35: Challenge Exams Breakdown by Subject for the November 2020 Administration

Subject	Registrants	Pass	Pass Rate
Training and Development	9	4	44%
Compensation	13	8	62%
Organizational Behaviour	6	3	50%
Finance and Accounting	13	9	69%
Recruitment and Selection	11	8	73%
Human Resources Management	6	6	100%
Human Resources Planning	8	5	63%
Occupational Health and Safety	8	7	88%
Labour Relations	12	8	67%
Total	86	58	67%

Online Academic Program (OAP)

In addition to the Alternate Route and Challenge Exams, HRP A offers another way of meeting the Coursework Requirement. The Online Academic Program (OAP) is comprised of three semesters: fall, winter, and spring. All nine courses are available each semester.

- The fall semester is running from September 8th to December 11th, 2020.
- There were a total of 355 registrants enrolled in the OAP for the fall 2020 semester. There were a total of 571 courses being taken in the fall 2020 semester as some registrants are enrolled in more than one course.

Table 36: Online Academic Program (OAP) Registration by Semester

Semester	Registrants
Winter 2020	294
Spring 2020	301
Fall 2020	355
Total	950

Table 37: OAP Breakdown per Subject

Subject	Courses
Training and Development	58
Compensation	48
Organizational Behaviour	60
Finance and Accounting	81
Recruitment and Selection	64
Human Resources Management	82
Human Resources Planning	54
Occupational Health and Safety	58
Labour Relations	66
Total	571

The number of courses (571) is not the same as the number of registrants (355) because some registrants take more than one course each semester.

13 courses were deferred from the spring 2020 term by 11 registrants. There were 14 deferred exams from the spring 2020 semester by 12 registrants.

Certification Exams

HRPA has recently undergone some visual changes (new branding, new website) and we've taken this time to also rename two of our designation exams. As of October 26, 2020:

- The Comprehensive Knowledge Exam 1 (also known as the CKE1) will now be known as the CHRP Knowledge Exam (CHRP-KE) as this is the first exam in the process of pursuing the CHRP designation.
- The Comprehensive Knowledge Exam 2 (also known as the CKE2) will now be known as the CHRL Knowledge Exam (CHRL-KE) as this is the first exam in the process of pursuing the CHRL designation.

The only thing changing is the name. The content, format, and length of the exam remain the same.

The CHRP requires successful performance on the CHRP Knowledge Exam (CHRP-KE) and the CHRP Employment Law Exam (CHRP ELE). The CHRL requires successful performance on the CHRL Knowledge Exam (CHRL-KE) and the CHRL Employment Law Exam (CHRL ELE).

The development and validation of certification exams is a complex process for which the input of members of the profession is essential. The CHRP Exam Validation Committee performs this role for the CHRP exams (the CHRP-KE and CHRP ELE), and the CHRL Exam Validation Committee performs this role for the CHRL exams (the CHRL-KE and CHRL ELE).

The CHRP and CHRL Employment Law Exams resumed in Q3 using remote proctoring and continued to be administered in Q4.

There were four exam windows in Q4.

- The CHRP Employment Law Exam was administered from October 13th to October 23rd, 2020.
- The CHRL Employment Law Exam was administered from November 9th to November 23rd, 2020.
- The CHRP Knowledge Exam was administered from August 21st to September 15th, 2020.
- The CHRL Knowledge Exam was administered from September 16th to September 30th, 2020.

CHRP Exam Validation Committee

Chair: Claire Chester, CHRL

Staff Support: Kelly Morris, CHRL

Claire Chester has been appointed Chair of the CHRP Exam Validation Committee effective November 2020.

The Certified Human Resource Professional Exam Validation Committee (CHRP-EVC) is a standing committee established under the By-laws. The mandate of the CHRP-EVC is to approve all examination content used to evaluate CHRP candidates and make recommendations to the Registrar as to appropriate cut-scores for the CHRP exams. The CHRP-EVC is also responsible for the approval of examination blueprints for the CHRP-KE and CHRP ELE.

In Q4 the CHRP-EVC held the following exam related activities:

- A CHRP Employment Law Exam Key Validation and Pass Mark Approval session was held in October 2020.
- A CHRP Knowledge Exam (CHRP-KE) Key Validation and Pass Mark Approval session was held in September 2020.

- The CHRP Employment Law Exam and CHRP-KE Exam Validation session was held in November 2020. This session was done remotely.

The purpose of the Key Validation and Pass Mark Approval sessions is to obtain an agreement on the items that are appropriate for scoring and an agreement as to the appropriateness of the pass mark and pass rate for the CHRP Employment Law Exam written in October of 2020 and the CHRP Knowledge Exam written in September of 2020. The CHRP-EVC will make a recommendation to the Registrar to approve the agreed-upon pass mark. The purpose of the Validation session is to review and validate items for future sittings of the CHRP Employment Law Exams as well as the CHRP-KE Exams. The Validation session had to be moved from an in-person session to a remote session due to COVID-19. All items were validated by the CHRP – EVC and the committee members were confident that the validated items would form a defensible exam.

CHRL Exam Validation Committee

Chair: Nancy Richard, CHRL

Staff Support: Kelly Morris, CHRL

Nancy Richard has been appointed Chair of the CHRL Exam Validation Committee effective November 2020.

The Certified Human Resource Leader Exam Validation Committee (CHRL-EVC) is a standing committee established under the By-laws. The mandate of the CHRL-EVC is to approve all examination content used to evaluate CHRL candidates and make recommendations to the Registrar as to appropriate cut-scores for the CHRL exams. The CHRL-EVC is also responsible for the approval of examination blueprints for the CHRL-KE and the CHRL Employment Law Exams.

In Q4 the CHRL-EVC held the following exam related activities:

- A CHRL Employment Law Exam Key Validation session was held in November of 2020. The purpose of the Key Validation session is to obtain an agreement on the items that are appropriate for scoring. These items will form the basis for which the exam will be scored.

Table 38: Q4 2020 Exam Schedule

Exam	Window	Quarter
CHRP-KE	August 31 – Sept 15, 2020	Q4
CHRL-KE	Sept 16 – Sept 30, 2020	Q4
CHRP ELE	Oct 13 – 27, 2020	Q4
CHRL ELE	November 9 – 23, 2020	Q4

Table 39: 2020 CHRP Knowledge Exam (CHRP-KE) summary

CHRP Knowledge Exam	Candidates	Pass	Pass Rate	Reliability
February 2020	144	94	65.3%	.90
June 2020 - cancelled	n/a	n/a	n/a	n/a
September 2020	308	216	70.13%	.88
Total 2020	452	310	68.6%	

Table 40: 2020 CHRL Knowledge Exam (CHRL-KE) summary

CHRL Knowledge Exam	Candidates	Pass	Pass Rate	Reliability
March 2020	174	113	64.90%	.93
June/July 2020- cancelled	n/a	n/a	n/a	n/a
September 2020	424	294	70.13%	.93
Total 2020	598	407	68.06	

Table 41: 2020 CHRP Employment Law Exam (CHRP ELE) summary

CHRP Employment Law Exam	Candidates	Pass	Pass Rate	Reliability
January 2020	138	127	92.03%	.77
May 2020 - cancelled	n/a	n/a	n/a	n/a
August 2020	126	121	96.03%	.78
October 2020	193	184	95.34%	.76
Total 2020	457	432	94.53%	

Table 42: 2020 CHRL Employment Law Exam (CHRL ELE) summary

CHRL Employment Law Exam	Candidates	Pass	Pass Rate	Reliability
January 2020	145	126	86.90%	.77
May 2020 - cancelled	n/a	n/a	n/a	n/a
August 2020	169	149	88.17%	.74
November 2020	280	233	83.21%	.79
Total 2020	594	508	85.52%	

Technical Reports for Exams

HRPA publishes the technical reports for the CHRP-KE, CHRL-KE, CHRP and CHRL Employment Law Exams. Technical reports are published for each administration (viz., exam window) of the exams. There were three technical reports published in Q4 2020.

[CHRP Employment Law Exam – August 2020](#)

[CHRL Employment Law Exam – August 2020](#)

[CHRP Knowledge Exam – September 2020](#)

Exam volume 2017–2020

Table 43: Exam volume for 2017–2020

	2017	2018	2019	2020
CHRP Knowledge Exam	504	368	607	452
CHRL Knowledge Exam	642	457	763	598
CHRP Employment Law Exam	414	242	415	457
CHRL Employment Law Exam	466	362	611	594
Total (all certification exams)	2,026	1,429	2,396	2,101

Exam volume fluctuates significantly from one year to the next for reasons that are not well understood. Nonetheless, the exam volume in 2020 is close to an all-time high, despite the disruption related to the pandemic.

Job Ready Program

Completion of the Job Ready Program is required to earn the CHRP designation. The Job Ready Program is not graded but must be completed.

Between September 1, 2020, and November 30, 2020, 365 registrants completed the Job Ready Program and were granted the CHRP designation.

CHRE Review Committee

Chair: Bob Canuel, CHRP, CHRL, CHRE

Vice-Chair: Dennis Concordia, CHRE

Staff Support: Margaret Wilson, CHRL

The CHRE Review Committee is a standing committee established under Section 8.04 of the By-laws. The CHRE Review Committee shall review every application referred to it by the Registrar to determine whether an applicant meets the criteria for the Certified Human Resources Executive (CHRE) as established by the Board.

- The number of CHREs was 257 at the end of Q4.
- Between September 1, 2020, and November 30, 2020, ten CHRE applications were reviewed by the CHRE Review Committee. Five were successful. Four CHRE applications were submitted in Q4. Two of the applications submitted in Q4 are currently being reviewed with results to be released in Q1 2021.

Table 44: CHRE Review Committee Activity in 2020

	2018	2019	2020				2020
	Total	Total	Q1	Q2	Q3	Q4	Total
Applications referred to Committee	63	87	5	17	7	10	39
Designation granted by Committee	8	14	0	2	0	5	7

The last two years of CHRE Review Committee decisions were reviewed. There were 122 decisions in that timeframe. It was found that there was more variability than desirable in the time to make a decision (measured in days). Time to decision varied from a minimum of 28 days to a maximum of 206 days, with the mean number of days for a decision to be made being 202 days. Since only CHRE designation holders are eligible to sit on the CHRE Review Committee, the scheduling of panels does present unique challenges. Nonetheless, approaches that have worked well for other committees, such as the pre-scheduling of panels, have been put in place to reduce the variability in decision time.

Issuance of Certificates

Certificates are issued for all three levels of designation: CHRP, CHRL, and CHRE. A certificate issuance was scheduled to commence in mid-November; however, due to HRPAs rebranding, the November issuance has been delayed. An email went out to 241 registrants in mid-November notifying them of the delay. The certificates will be tentatively sent out with the February 2021 issuance.

Table 45: Certificates Issued in 2020

	CHRP	CHRL	CHRE	Total
February 2020 (Q1)	72	45	0	117
May 2020 (Q2)	201	58	2	261
August 2020 (Q3)	35	38	1	74
November 2020 (Q4)	-	-	-	-
Total	308	141	3	452



Quality assurance

Continuing Professional Development Committee

Chair: Vito Montesano, CHRL

Vice-Chair: Serenela Felea, CHRL

Staff Support: Elisabeth Ramdawar

The Continuing Professional Development (CPD) Committee is a standing committee established under Section 8.04 of the By-laws. The Continuing Professional Development Committee shall audit every continuing professional development log referred to it by the Registrar to determine whether the continuing professional development requirement has been met per the criteria as established by the Board. The Committee shall also review every extension request for a member's continuing professional development period referred to it by the Registrar to determine whether there are valid grounds to grant an extension per the Continuing Professional Development Extension Policy.

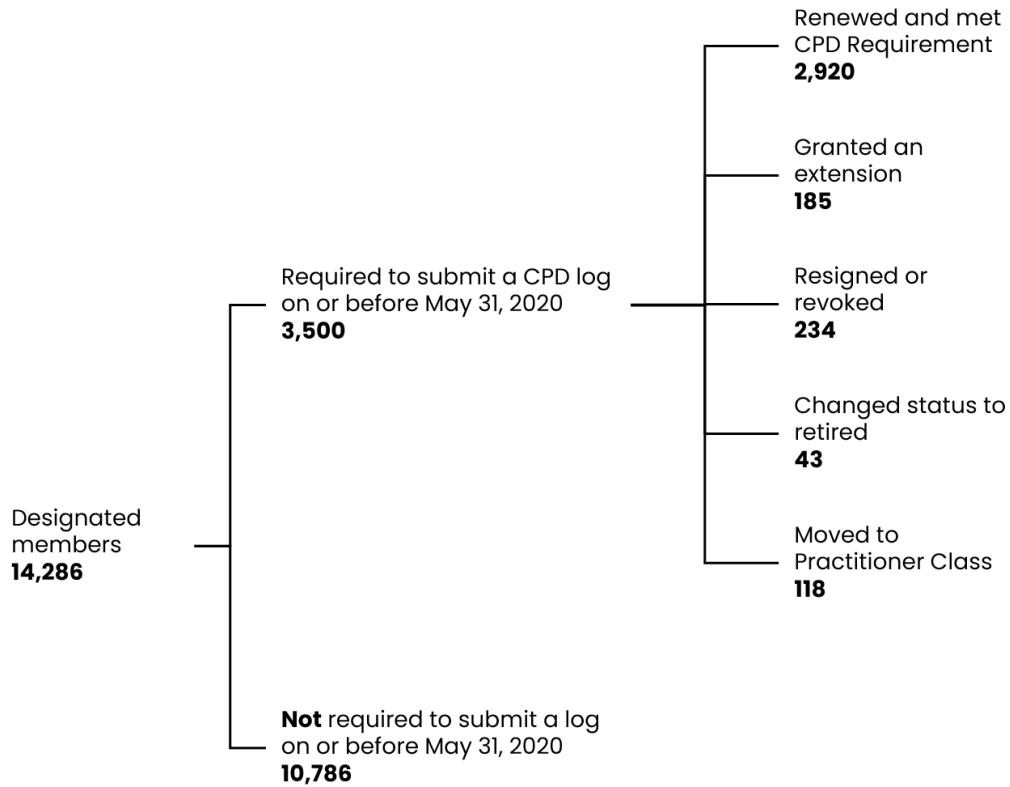
Calculation of CPD Compliance Rates

Designated members must submit a completed Continuing Professional Development (CPD) log at the end of each three-year CPD period. The CPD log is due on May 31st of each year for those who are due to submit. This year, due to the COVID-19 pandemic, members who were due to submit their [CPD](#) logs on May 31, 2020, were given until July 31, 2020, to submit their CPD log. It is important to note that despite the extended deadline of July 31, 2020, the CPD period remained unchanged (i.e., June 1, 2017 – May 31, 2020). Additionally, only activities logged within the CPD period (i.e., June 1, 2017 – May 31, 2020) qualified to meet the requirement of 66.67 CPD hours.

The diagram (Figure 12) below gives an account of the different outcomes for the CPD requirement.⁷

⁷ Whether one is due to submit a CPD log on a given year can be established on the first day of renewal, but some of the outcomes cannot be established until the end of the renewal window which ended on November 13, 2020 this year due to the pandemic.

Figure 12: Designated Registrant’s Compliance with CPD requirement in 2020



The CPD compliance rate is calculated as follows.

$$CPD \text{ Compliance rate} = \frac{\text{Renewed and met CPD requirement}}{\text{Renewed and met CPD requirement} + \text{Moved to practitioner class}}$$

$$CPD \text{ Compliance rate} = \frac{2,920}{2,920 + 118} = 96.1\%$$

Table 46: Continuing Professional Development (CPD) Committee Activity

	2017	2018	2019	2020				2020
	Total	Total	Total	Q1	Q2	Q3	Q4	Total
CPD logs due to be submitted	3204	5960	4173	3500	3362	3246	3500	3500
CPD logs submitted	2805	5288	3419	733	2022	2800	2920	2920

CPD Audit 2019 Extensions

Members who were unable to participate in the 2019 CPD audit due to extenuating circumstances received an extension and were audited from July 31, 2020, to October 29, 2020. A total of ten members participated in this audit. Requested audit supporting documents were reviewed by the

CPD Committee panel members. In conclusion, eight members met the CPD audit requirement and two members did not meet the CPD audit requirement.

Enhanced CPD Verification Method

2020 has been a uniquely challenging year due to the pandemic, and as such the following process was developed to assist members whose CPD log was due on May 31, 2020. The Enhanced CPD Verification Method temporarily replaced the annual CPD Audit for 2020. However, it will not replace the annual CPD Audit in subsequent years.

The Enhanced CPD Verification Method ensures that logs are evaluated with rigour, by evaluating each log upholding the integrity and standards of the profession. This method is completed by staff, who reviewed submitted CPD logs to ensure that the activities logged have been 1) logged correctly, 2) meet the development category criteria, and 3) that there were no omissions or calculation errors.

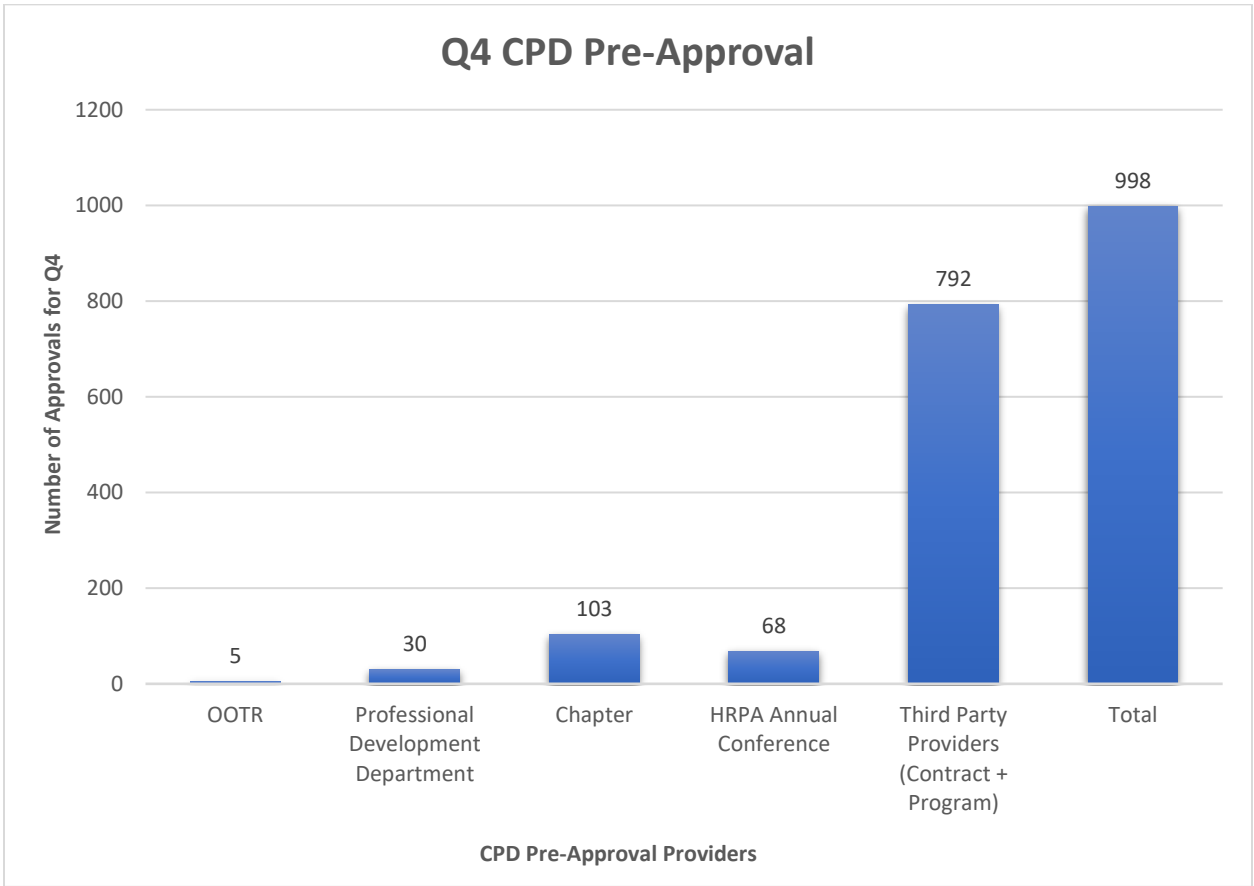
- If verification of the CPD log was successful, CPD Logs were approved and the CPD period was changed to the subsequent CPD period. The member then received an e-mail confirming that their log has been approved and was advised of their new CPD period.
- If verification of the CPD log was unsuccessful, then the member was contacted, advised of the issue(s), provided a timeline to correct and resubmit their CPD log.

CPD Pre-Approval

For Q4, a total of 998 events were pre-approved for CPD. The events can be broken down into five categories:

- HRPAs Office of the Registrar
- HRPAs Chapters
- HRPAs Professional Development Department
- HRPAs Annual Conference
- Third-Party Contract and Program Providers

Figure 13: Summary of CPD Pre-Approved Sessions for Q4





Complaints, discipline, capacity and review

Complaints Committee

Chair: Jennifer Cooper, LL. B (member of the public)

Vice-Chair: Michael Burokas, JD (member of the public)

Staff Support: Jenny Eum

Independent Legal Counsel: Lonny Rosen, C.S., Rosen Sunshine LLP

The Complaints Committee is a statutory committee established under Section 12 of the *Registered Human Resources Professionals Act, 2013* (the “Act”) and the By-laws. The Complaints Committee shall review every complaint referred to it under Section 31 of the Act and section 15.03 of the By-laws regarding the conduct of a member or registered student of the Association or a firm and, if the complaint contains information suggesting that the member, student or firm may be guilty of professional misconduct as defined in the by-laws, the committee shall investigate the matter. Following the investigation of a complaint, the Complaints Committee may:

- direct that the matter be referred, in whole or in part, to the Discipline Committee;
- direct that the matter not to be referred to the Discipline Committee;
- negotiate a settlement agreement between the Association and the member, student or firm and refer the agreement to the Discipline Committee for approval;
- or take any action that it considers appropriate in the circumstances and that is not inconsistent with the Act or the By-laws, including cautioning or admonishing the member, firm, or student.

There were four complaints referred to the Committee before the start of Q4 (September 1, 2020, to November 30, 2020):

- One in a parallel proceeding
- One in the information gathering stage
- Two are currently being reviewed by the panel

Table 47: Summary of Complaints Activity

	2018	2019	2020				2020
	Total	Total	Q1	Q2	Q3	Q4	Total
Referrals to Complaints Committee	14	12	5	1	2	2	9
Decision issued by Complaints Committee	12	12	0	1	0	1	2
Average time to dispose of complaint (days)	146	157	--	122	-	183	154

*One case withdrew in Q1 and the Registrar determined not to pursue the matter further.

There were two referrals to the Complaints Committee in Q4, all of which are currently in the

information-gathering stage. Details of these referrals are listed below:

Table 48: New Complaints Registered in Q4 2020.

Case	Date complaint filed	Nature of allegations	Date of disposition of complaint and decision of Complaints Committee
C-2020-8	November 3, 2020	It is alleged that the member breached the Rules of Professional Conduct through 1) failing to successfully re-assign work; 2) using unethical, underhanded, and bullying tactics; 3) ignoring employees' mental health.	TBD
C-2020-9	November 17, 2020	It is alleged that the member breached the Rules of Professional Conduct by 1) acting in a demeaning and discriminatory manner towards the complainant; 2) failing to investigate the matters requested by the complainant	TBD

Discipline Committee

Chair: Stephanie Izzard, CHRL

Vice-Chair: Lynne Latulippe (member of the public)

Staff Support: Margaret Wilson, CHRL

Independent Legal Counsel: Luisa Ritacca, Managing Partner, Stockwoods LLP

The Discipline Committee is a statutory committee established under Section 12 of the *Registered Human Resources Professionals Act, 2013* (the "Act") and the By-laws. The Discipline Committee shall hear every matter referred to it by the Complaints Committee under Section 34 of the Act and section 15.03 of the By-laws to determine whether the member, student or firm is guilty of professional misconduct as defined in the by-laws and if the Committee finds a member, student or firm guilty of professional misconduct, to exercise any of the powers granted to it under Subsection 34(4) of the Act.

One discipline hearing was conducted in Q4 on October 9, 2020. This was HRPAs' first virtual hearing. It had been alleged that the registrant failed to comply with a decision of the HRPAs' Review Committee and ignored the numerous communications to facilitate compliance with the decision and that the failure to comply constituted a breach of HRPAs' Rules of Professional Conduct. The hearing was uncontested and proceeded based on an Agreed Statement of Facts and Joint Submission on Penalty and Costs. The hearing resulted in a finding of professional misconduct, a summary of the panel orders are (1) the Registrant is reprimanded per Schedule A of the reasons; (2) The Registrar is directed to suspend the Registrant's Certificate of Registration

and CHRP designation for one month, on a schedule set by the Registrar; 3) the Registrar shall immediately impose the following specified terms, conditions and limitations on the Registrant's Certificate of Registration: a) Requiring the Registrant to comply with the Review Committee's decision; b) Requiring the Registrant to successfully complete the HRPAs Job Ready Program, within six months of the date of the order; and c) Requiring the Registrant to reply to any communication from the HRPAs within fifteen days, and 4) the Registrant shall pay to the HRPAs costs of \$3000.00 on a schedule to be set by the Registrar.

The full statement of allegations, as well as the decision and reasons of the Discipline Committee, are available at <https://hrpa.s3.amazonaws.com/uploads/2020/11/WH-Decision-and-Reasons.pdf>

There were no new referrals to the Discipline Committee in Q4. There is currently one referral waiting to be heard.

Table 49: Discipline Committee Activity

	2018	2019	2020				2020
	Total	Total	Q1	Q2	Q3	Q4	Total
Referrals to Discipline Committee	1	1	0	2	0	0	2
Decision issued by Discipline Committee	1	1	0	0	0	1	1

Capacity Committee

- Chair: Stephanie Izzard, CHRL*
- Vice-Chair: Lynne Latulippe (member of the public)*
- Staff Support: Margaret Wilson, CHRL*
- Independent Legal Counsel: Luisa Ritacca, Managing Partner, Stockwoods LLP*

The Capacity Committee is a statutory committee established under Section 12 of the *Registered Human Resources Professionals Act, 2013* (the "Act") and the By-laws. The Capacity Committee shall hear every matter referred to it by the Association under Section 47 of the Act and section 15.03 of the By-laws to determine whether a member or student is incapacitated and if the Committee finds a member or student is incapacitated, to exercise any of the powers granted to it under Subsection 47(8) of the Act.

No capacity hearings were conducted in Q4.

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

Table 50: Capacity Committee Activity

	2017	2018	2020				2020
	Total	Total	Q1	Q2	Q3	Q4	Total
Referrals to Capacity Committee	0	0	0	0	0	0	0
Decision issued by Capacity Committee	0	0	0	0	0	0	0

Review Committee

Chair: Damienne Lebrun-Reid (member of the public)

Vice-Chair: TBD

Staff Support: Margaret Wilson, CHRL

Independent Legal Counsel: John Wilkinson, Partner, WeirFoulds LLP.

The Review Committee is a statutory committee established under Section 12 of the *Registered Human Resources Professionals Act, 2013* (the “Act”) and the By-laws. The Review Committee shall review every matter referred to it by the Registrar under Section 40 of the Act to determine whether the member or firm’s bankruptcy or insolvency event may pose a risk of harm to any person; to direct the Registrar to investigate the matter; to determine whether a hearing is warranted; to conduct hearings when warranted to determine whether the member or firm’s bankruptcy or insolvency event poses a risk of harm to any person; and upon a determination that there are reasonable grounds for believing that the member or firm’s bankruptcy or insolvency event poses or may pose a risk of harm to any person following a hearing, to exercise any of the powers granted to it under Subsection 41(8) of the Act.

There was one decision issued by the Review Committee in Q4.

There was one notice of a bankruptcy or insolvency event received by the Registrar in Q4. It will be reviewed in Q1 2021.

Table 51: Review Committee Activity

	2018	2019	2020				2020
	Total	Total	Q1	Q2	Q3	Q4	Total
Notices of bankruptcies or insolvency events	5	3	0	0	1	1	2
Decisions issued by the Review Committee	16	8	0	0	0	1	1



Appeal

Appeal Committee

Chair: Melanie Kerr, CHRL

Vice-Chair: Maureen Quinlan (member of the public)

Staff Support: Stephanie Jung

Independent Legal Counsel: Luisa Ritacca, Managing Partner, Stockwoods LLP

The Appeal Committee is a statutory committee established under Section 12 of the *Registered Human Resources Professionals Act, 2013* (the “Act”) and the By-laws. The Appeal Committee shall review every request for appeal filed under the Act and the By-laws by registrants of HRP or members of the public to determine whether there was a denial of natural justice or an error on the record of the decision of the committee or the Registrar and to exercise any of the powers granted to it under the Act and Section 22 of the By-laws.

Three new appeals were filed in Q4, all regarding decisions made by the Experience Assessment Committee. One decision was issued in Q4 upholding the Experience Assessment Committee’s original decision.

Between December 1, 2019 – November 30, 2020, a total of 11 appeals were filed. This number is lower compared to the past few years. 2019 had an unprecedented number of 75 appeals, due to the November 2018 CHRL grandfathering deadline for the Validation of Experience application. This grandfathering deadline also led to a higher number of appeals filed in 2018 – a total of 16 appeals. 2017 recorded 14 appeals being filed and 2016 recorded 17 appeals.

Table 52: Appeal Committee Activity

	2018	2019	2020				2020
	Total	Total	Q1	Q2	Q3	Q4	Total
Number of appeals filed*	16	75	4	4	0	3	11
Settled via the Alternate Resolution Process	7	27	5	2	1	0	8
Decisions issued by the Appeal Committee	6	48	2	1	1	1	5

*Please note: The number of appeals filed will not necessarily be equal to the number of appeals settled or decided by the Appeal Committee, since appeals filed in one year may be resolved in the following year.

Alternate Resolution Process

One factor that influences the number of appeals that are heard by the Appeal Committee is the HRPAs alternate resolution process for appeals. If the Registrar believes that the appellant has shown in their Request for an Appeal that something may have gone wrong with the process or that there may have been a denial of natural justice, the Registrar may extend an offer to the appellant to settle the appeal. Under those circumstances, the appellant has three options:

1. Accept the offer and withdraw the appeal,
2. Accept the offer with the provision that a panel of the Appeal Committee review and sign off on the agreement between the appellant and HRPAs, or
3. Reject the offer, which means the appeal will proceed as an uncontested appeal.

Appellants are never pressured to choose one option or another. The benefit for appellants and HRPAs is a quicker resolution of the matter. Concerning appeals of decisions of the Experience Assessment Committee (EAC), the settlement usually involves having the Validation of Experience (VOE) or alternate route application reviewed by a second independent panel. Most appellants who are appealing a decision by the EAC want a 'second opinion' on their application. As noted above, the Appeal Committee was not established to give second opinions but to review the process by which the decision was arrived at.

The impact of the alternate resolution process is that most of the decisions of the (EAC) where the facts suggest that an appeal might be warranted, never make it to being reviewed by a panel of the Appeal Committee as the VOE or Alternate Route application is sent to a new Experience Assessment Committee (EAC) panel for review.

Table 53: Q4 2020 Appeal Committee Activity

	Date Appeal Filed	The Nature of the Appeal	The Outcome of the Appeal
A-2020-08	May 20, 2020	The Experience Assessment Committee made an error in the assessment of the Validation of Experience application by not giving it adequate consideration.	A decision was issued in September 2020 upholding the Experience Assessment Committee's decision.
A-2020-09	October 6, 2020	The Experience Assessment Committee made an error in the assessment of the Validation of Experience application by failing to review the supporting documents provided with the application.	The appeal is currently with the appellant for a response to HRPAs submission. Once a response is received, the request for appeal will be reviewed by a panel of the Appeal Committee.
A-2020-10	November 26, 2020	The Experience Assessment Committee failed to apply the	Currently waiting on written submission from two expert

		correct rule or policy in making their decision on the appellant's Validation of Experience application in one position.	witnesses that the appellant has put forth. Once received, the appeal will be sent to the Chair of the Appeal Committee to determine if the appeal may proceed through the appeal process.
A-2020-11	November 28, 2020	The Experience Assessment Committee failed to consider the correct facts and failed to apply the correct rule in deciding on the appellant's Alternate Route application.	The Chair of the Appeal Committee is reviewing the request to determine if it may proceed through the appeal process.

Table 54: Breakdown of Appeal Decisions

Appeal Outcomes	Count
Total number of requests for appeal received September 1, 2020, and November 30, 2020	3
Total number of appeals settled via the Alternate Resolution Process	0
Total number of final appeal decisions released September 1, 2020, and November 30, 2020	1
Decisions upholding the original decision	1
Decisions overturning the original decision	0



Stakeholder education

Regulatory Affairs Newsletter

The *Regulatory Affairs* newsletter is published under By-laws 13.06 and 13.07.

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

- (a) Notices of annual meetings;
- (b) Election results; and
- (c) All information as set out in Section 21.03 and Section 21.08 concerning discipline or review proceedings. Where there is a dissenting opinion prepared by a member of the panel and the decision, finding or order of the Discipline Committee or the Review Committee is to be published, in detail or summary, any publication will include the dissenting opinion.

In Q4, a *Regulatory Affairs* Newsletter was published on September 21, 2020.

HRPA Regulatory Committee Training

HRPA offers a training and recognition day for the members of HRPA's Regulatory Committees. This year, the topic of diversity and inclusion has been front and centre. Fittingly, the topic of Unconscious Bias was chosen for this training as it is a very important topic for Regulatory Committees which make decisions on behalf of HRPA.

As a result of the pandemic, the session was conducted virtually. The intention was for the workshop to be highly participative. For this reason, multiple sessions were scheduled with each session capped at twenty-four participants. The session was facilitated by Annemarie Shrouder of DBA Annemarie Shrouder International. The session was offered via live broadcasting and structured as five small, interactive, standalone, group sessions with an optional Q&A debrief session. HRPA Board Members were invited to attend as well as members of the Executive Leadership Team. In total, the sessions were attended by 101 individuals.

During the session, Annemarie invited participants to 'lean in' as she took participants through unconscious bias exercises to explore underlying assumptions, how the brain works, and how the brain makes mental associations. Participants explored the impact of unconscious biases and how such biases may be mitigated in regulatory decision-making.

Staff attendance at CNAR, CLEAR, and ATP Conferences

Staff from the OOTR had the opportunity to attend several regulatory conferences in Q4: CLEAR (Council on Licensure, Enforcement & Regulation) ran September 14, 21 – 25, 2020, ATP (Association of Test Publishers) ran September 14 – 18, 2020, and (CNAR (Canadian Network of Agencies for Regulation) ran September 9 – November 26, 2020. All three of these conferences were delivered on virtual platforms this year while allowed more of our staff to attend. The virtual conferences

provided a different kind of conference experience, but the knowledge gained from the sessions invaluable, especially during COVID-19. For CNAR's 24 sessions, we were able to have a staff member at each of the sessions. Of note, two of our staff participated over the last year on the CLEAR Regulatory Agency Administration Committee. The committee's objective was identifying the trends and issues of interest to the regulatory community for the CLEAR program, resource, and content development. At the ATP conference, HRPAs were able to share their experience with remote proctoring and remote exam development activities, something some regulators are still struggling to efficiently and securely. Several board members also attended either the CLEAR conference or the CNAR conference.