



SSMLT

Saskatchewan Society of
Medical Laboratory Technologists

GOVERNANCE
& POLICY
MANUAL

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This manual provides an overview on SSMLT governance and council policies. Its purpose is to provide guidance to council members on SSMLT policies and operations.

Definitions:

Act- refers to *The Medical Laboratory Technologists Act, (1995)*

Administrative bylaws- refers to the *administrative bylaws* approved by SSMLT

CCP- Continuing Competency Program

Chair Council – is the President as outlined in the *Act* and performs role of chair

CIC- Counselling and Investigation Committee

DC- Discipline Committee

EDR- Executive Director/ Registrar of SSMLT

MLT- Medical Laboratory Technologist

Regulatory bylaws- refers to the *regulatory bylaws* approved by SSMLT

Simple majority- 50%+1 of the persons that voted

SSMLT- Saskatchewan Society of Medical Laboratory Technologists

Vice Chair- is the Vice-President as outlined in the *Act* and performs the role of vice-chair

SECTION 1: COUNCIL GOVERNANCE

1.0 GOVERNANCE FRAMEWORK

OUR MISSION

Protect the public through regulation of Medical Laboratory Technologists in Saskatchewan

OUR VISION

Medical Laboratory Technology: Recognized as a Vital Link in Health Care

OUR VALUES:

- **Quality and Safe Laboratory Services**
 - Promoting excellence through policy in professional MLT regulation
- **Professional Competence**
 - MLT regulation promotes continuous competence, knowledge, skills, and expertise of members
- **Excellence in Healthcare**
 - Work collaboratively with other healthcare professionals to enhance healthcare to the public

SASKATCHEWAN SOCIETY OF MEDICAL LABORATORY TECHNOLOGISTS

The Saskatchewan Society of Medical Laboratory Technologists (SSMLT) was established as the regulatory body for Medical Laboratory Technologists (MLT) in Saskatchewan as outlined in *The Medical Laboratory Technologists Act (1995)* (Act). The purpose of the SSMLT is to serve and protect the public through self-regulation of the practice of medical laboratory technologists (MLT) in Saskatchewan.

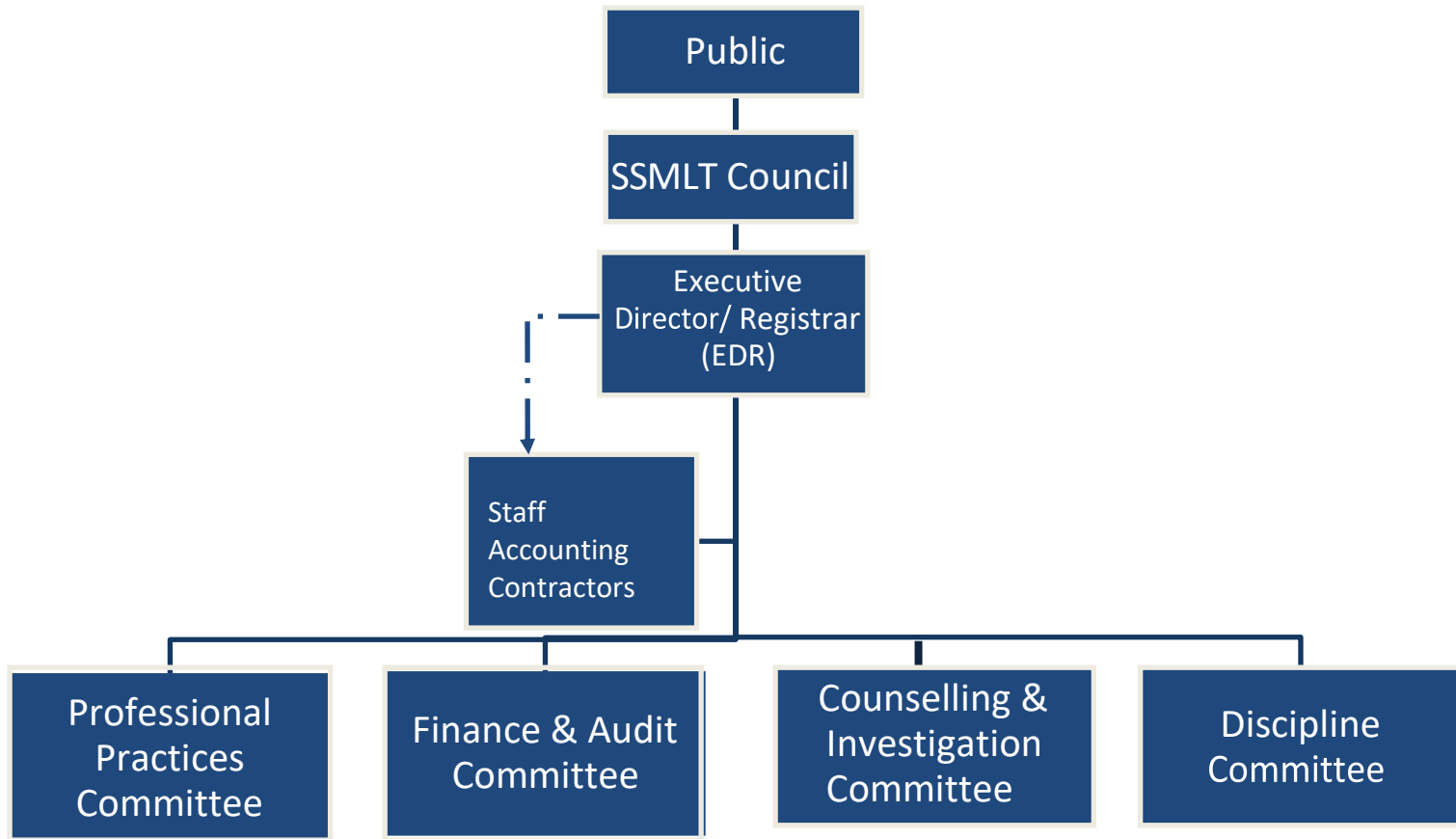
GOVERNANCE

The SSMLT uses a complimentary governance model with the Mission, Vision, and Values of the organization as a guide. The Council is responsible to develop strategic direction, policy, and performance monitoring while ensuring fiduciary oversight.

All SSMLT policies are adopted by the Council following requirements of the *Medical Laboratory Technologists Act (1995)* and *SSMLT bylaws*. Policies guide EDR and Council decisions while ensuring standardized processes can be applied.

The EDR is responsible for the SSMLT day-to-day operations and is responsible for implementing the Council policies. The EDR implements the Council's strategic objectives and reports on the outcomes.

1.1 SSMLT Organizational Chart



1.2 Council Charter

Purpose

The purpose is to provide the SSMLT council with guidance in the execution of their duties to oversee the affairs of the SSMLT. It is important to note that council accountability is different than in a membership or advocacy organization. Once appointed to council, they are not accountable to the members, but instead must be accountable to the public as outlined in section 6(1) of the *Act*, the bylaws and policies governing the SSMLT.

Guiding Principles

The SSMLT is governed by an executive body known as the SSMLT council as set out in the *Act*.

The Council collectively has a duty to:

- Manage council business in a manner consistent with the Mission, Vision and Values of the organization;
- Govern the organization and the relationship with the EDR;
- Delegate and empower the EDR to lead and manage the day-to-day operations of the SSMLT;
- Exercise reasonable business judgment in decision making;
- Uphold the mandate to serve and protect the public.

Composition

Council consists of chair, vice-chair, and 6 members at large that are appointed to council.

Two public representatives are appointed by Lieutenant Governor in Council.

Meetings

Meetings of the council will be held as per the SSMLT *administrative bylaws* and are scheduled based on the availability of the chair and quorum of council.

Responsibilities

The council is responsible for activities and may delegate certain functions to committees in accordance with the *Act* and as set out in the specific terms of reference for each committee.

Authority

Council authority and decisions are derived on a simple majority (51%). The council acts collectively to support its approved policies and decisions.

Strategic Planning and Direction

The council is responsible for setting the SSMLT's strategic direction. This includes

adopting a strategic planning process and approving plans, monitoring implementation and performance, and adjusting when necessary. Council in consultation with the EDR will determine the strategic objectives for each year and the EDR will report on progress at council meetings. Council will evaluate the objectives on a regular basis.

Policy Development

The council is responsible for developing and approving policy with due diligence. The EDR shall maintain records of all meetings and activities on behalf of the Council.

Risk Management

The council is responsible for the oversight of risk management and for ensuring that appropriate policies and procedures are in place to mitigate and manage risk.

Financial Stewardship

Council is responsible for ensuring that revenues are sufficient so that the business of the SSMLT can reasonably be conducted in accordance with the mandate. Duties include reviewing and approving the annual budget, capital plans and ensuring adequate levels of capital and liquidity. Council determines financial policies, controls, and adherence to applicable auditing, regulatory, accounting and reporting requirements.

Business Continuity

The council is responsible for approving policy and procedures necessary to secure and oversee the appointment, performance, compensation of EDR and to ensure a business continuity plan is in place.

The council is also responsible for identifying requisite competencies when recruiting councillors and is in control of ongoing development and succession planning for council. It shall engage in annual board/council evaluation and identify professional development requirements or opportunities to allow councillors, committees and the SSMLT to function with excellence.

1.3 Code of Conduct Policy

Purpose

This code of conduct provides council and committee members with guidance and understanding of the standards of conduct required of them. Council and committee members shall make decisions in the public interest, balancing this responsibility with an understanding of the profession. They establish the Society's goals and policies within its statutory mandate. Council and committee members are expected to exhibit conduct that is ethical, civil, lawful, and in a manner that is consistent with the nature of the responsibilities.

Council and committee members will:

- Promote the public safety in their contributions, discussion, and decision-making.
- Be prepared and attend meetings to the best of their ability.
- Acquire, apply, and maintain knowledge of council and committee policies, procedures, as well as any relevant legislation.
- Maintain the confidentiality of the details of council or committee discussions as a current or past member.
- Uphold council or committee solidarity once a decision has been made, irrespective of their personal view on the matter.
- Respect the roles and responsibilities of the statutory committees, staff, and other councillors.
- Respect the views, diversity and the expertise of other council and committee members and appreciate the opportunity for varied viewpoints to be brought forward and considered.
- Understand and respect that the chair and EDR are the positions that have the delegated authority to speak to the public on behalf of SSMLT, unless otherwise determined.
- Understand the power, authority and influence associated with their role and not misuse this trust for personal gain.
- Refrain from harassment, bullying or discriminatory behavior.

1.4 Conflict of Interest

Principles

Conflict of Interest arises if the personal or private interests of a council or committee member appear to influence and/or impair that persons' ability to represent the SSMLT fairly and impartially. A conflict of interest may be either "real", "potential" or "perceived". In all these cases there is an equally important duty to disclose.

Personal or private interests might include, but not be limited to:

1. Preferential treatment of a family member, close friend or business associate;
2. A person to whom the member owes an obligation.

Policy

It is up to the individual council or committee member to identify any potential or perceived conflict of interest situation.

Each council or committee meeting agenda will include a declaration of conflict of interest.

The following two questions will guide council and committee members in determining if a conflict of interest exists:

1. Does the individual member feel confident about his/her ability to act impartially?
2. Would a reasonably informed person with access to the information also be confident that the relationship or activity would not impact negatively on the individual's ability to act impartially as a council or committee member?

Once a Conflict of Interest has been declared, the council/committee member must;

1. Abstain from participation in any discussion on the matter.
2. Not attempt to personally influence the outcome.
3. Refrain from voting on the matter.
4. Leave the meeting room for the duration of any such discussion or vote unless otherwise decided by the council or committee.

The disclosure and decision as to whether a conflict exists shall be duly recorded in the minutes of the meeting. The time the person left and returned to the meeting shall also be recorded.

1.5 Confidentiality Policy

Principles

All councillors and committee members should be aware of the general standard of fiduciary duties, which is to handle the affairs of the organization, with at least the same care and prudence that they apply to their own responsibilities.

Respect for confidentiality must be a main priority of the SSMLT because it is the cornerstone of trust as well as a legislated obligation.

Maintaining confidentiality also means that councillors and committee members must maintain the confidentiality of any personal or sensitive information they acquire during their service to the board.

Good governance requires full and frank discussion which can only be accomplished when council and committee members are confident that their disclosures will be held in confidence by their colleagues.

Policy

- Individuals working with or on behalf of the SSMLT shall maintain the confidentiality and security of all SSMLT information. They shall not disclose or discuss with any other person or entity, or use for their own purpose, information concerning SSMLT affairs received in their capacity unless authorized by the chair or the EDR.
- All staff, council and committee members shall keep in confidence all meeting discussions and documents unless the information has been publicly posted in the meeting minutes or the SSMLT annual report.
- The legislation that must be followed by the Saskatchewan Society of Medical Laboratory Technologists is:
 - The *Personal Information Protection and Electronic Documents Act (PIPEDA)*; see appendices.
 - The *Health Information Protection Act (HIPA) Saskatchewan*; see appendices.
 - The *Health Information Protection Act Regulations*, see appendices.

Roles and Responsibilities

1.6 SSMLT Officer Positions

The duties as well as the terms of office of the members of council are outlined in the *SSMLT administrative bylaws*.

Meeting commitment: SSMLT council meets at least three times annually. Meetings may be in person or virtual. For council meetings to proceed smoothly, it is incumbent on council members to be prepared. Meeting packages are distributed for review prior to each meeting. Additional meetings may be added as required.

Chair

The Chair is responsible for managing the council and its activities. This includes ensuring that the council works effectively as a team and complies with governance policies. The chair in collaboration with the EDR, ensures that meeting agendas are focused on council responsibilities, meetings are efficiently managed, and decision-making is transparent, conflict of interest issues are addressed sensitively and resolved constructively.

The chair and the EDR are designated as the public spokesperson(s) for the SSMLT, unless otherwise approved by council.

Selection: Chair is selected by members of council.

Term: 1 year

Duties/Terms of Reference:

- See *administrative bylaws*
- Ensure effective action of the council in governing and supporting the SSMLT.
- Oversees council's affairs.
- Acts as representative of the Council and the SSMLT.
- Can participate as *ex-officio* on all Council committees, except statutory committees.
- Ensures continuity of duties between themselves and the vice-chair
- Fulfills the following functions as per the *administrative bylaws* of the SSMLT.

Council Meeting Duties:

- Calls council meetings, as per *administrative bylaws*;
- Develops agenda for council and any special meetings in consultation with the EDR;
- Chairs council and any special meetings;

Regular Duties:

- Communicates or approves communication in consultation with EDR, verbally or in writing, with the media and the community on behalf of SSMLT including communicating with organizations such as but not limited to: Saskatchewan Health Authority, SK Polytechnic and the respective Ministries regarding issues pertaining to SSMLT activities.
- Provides direction from the council to the EDR.
- Facilitate the EDR performance review process conducted by council.
- Communicate the EDR performance review to the EDR.
- Oversees review of the Annual Report.
- Participates on the Finance and Audit Committee.
- May be appointed by council for execution of documents as outlined in the *SSMLT administrative bylaws*.

Vice Chair

Selection: Vice chair is selected by members of council.

Term: 1 year

Duties/Terms of Reference:

- See the *administrative bylaws* of the SSMLT.

Regular Duties:

- Perform such duties as may be assigned by Council and the Chair
- Participates on Finance and Audit Committee.
- Attend the EDR's annual performance review.
- May be appointed by council for execution of documents.

1.7 Public Representatives

Selection: Appointment by the Lieutenant Governor in Council, persons who are resident(s) of Saskatchewan.

Term: 3 Years, renewable once; subject to Government discretion.

Duties/Terms of Reference: See *SSMLT administrative and regulatory bylaws* and any guides or policies from the Saskatchewan Ministry of Health.

The purpose of the lay representative is to:

- Safeguard the public interest; while being guided by the principles of fairness, transparency, and collaboration.
- Be eligible to be appointed chair or vice-chair.
- Become familiar with the purpose of the Council and of the *Act*, bylaws and policies governing the profession.
- Ensure that the profession acts fairly, follows the *Act* and bylaws, and fosters appropriate standards of practice.
- Participate on statutory or standing committees as required.

1.8 Committees

Selection: Representatives are appointed by council. Council will appoint one of the members of the committee as the chairperson of the committee. Council may appoint a vice-chair for statutory committees as required.

Term: 3 years, renewable once

Accountability: The Committees are responsible to the EDR as delegated by Council.

- Resignations from the committee shall be made in writing to the EDR and presented to council.
- The committee may invite individual(s) with expertise to participate on the committee as a non-voting liaison.
- All committee members are expected to maintain/obtain knowledge, skills and access to equipment required by their specific committee.
- All committee members shall have an equal vote, including the Chair of the Committee.
- The EDR sits on all committees as non-voting *ex-officio*, with exception of the Statutory (Regulatory) Committees.

1.9 Statutory (Regulatory) Committees

The Act (s. 21, 23) establishes statutory regulatory committees for SSMLT. The Counselling and Investigation Committee (CIC) and the Discipline Committee (DC) are defined as statutory regulatory committees and operate at arm's length of Council. The EDR is responsible for managing the 'Complaints Management Process' and monitoring the progress of complaints through the CIC and DC committees. The EDR and committee chair is responsible for reporting on the committee activity to council and the SSMLT annual report.

1.9.1 Counselling and Investigation Committee (CIC) Terms of Reference

Purpose

The CIC will review and investigate any complaints, against any member of the SSMLT, when a complaint is brought forward to the CIC via the EDR of the SSMLT in accordance with the SSMLT 'Complaints Management Process'.

Reference- see committee details in *SSMLT regulatory bylaws*

Duties

In accordance with the *Act* and *SSMLT regulatory bylaws*:

The duties of the CIC committee are:

- (a) to receive and review complaints brought against any member in writing;
- (b) In investigating the complaint, the counselling and investigation committee may take any steps authorized by the Act. On completion of its investigation, the counselling and investigation committee may do one or more options outlined in the Act;
- (c) to hold in confidence all sessions and documentation; and
- (d) prepare a signed report for the decision of that committee;
- (e) in collaboration with EDR, to prepare for each council meeting and the annual report a summary of its investigation(s).

Composition and Representation

- The CIC shall consist of least three SSMLT members appointed by council, the majority of whom must be practicing members.
- A panel of the committee may be established in accordance with the bylaws, with a decision of the panel having the same effect as a decision of the counselling and investigation committee.
- Council appointed legal counsel will be available to provide advice of a legal nature.
- No elected member of council is eligible to be a member of the committee.
- No sitting member of the discipline committee is eligible to be a sitting member of the CIC.

Meeting Commitment: This committee meets on an as-required basis only if there is a complaint lodged against a SSMLT member. There may be years when no meetings are required. Should an investigation be required, several meetings may be necessary.

Investigations

Reference can be made to the SSMLT bylaws and the 'Investigation and Complaints Handbook' for information on the complaints process in its entirety.

1.9.2 Discipline Committee (DC) Terms of Reference

Purpose

The committee will hear a complaint referred to it by the CIC, decide whether a member is guilty of professional misconduct or professional incompetence and make an order as to penalty if the committee finds the member guilty.

Reference- see committee details in the *SSMLT regulatory bylaws*

Duties

The duties of the Committee shall be:

- (a) to hear any complaint referred by Counselling and Investigation Committee and determine whether the conduct of the member constitutes professional incompetence or professional misconduct as outlined in the Act;*
- (b) where a member is found guilty of professional incompetence or professional misconduct, to issue orders as outlined in the Act*
- (c) to hold in confidence all sessions and documentation;*
- (d) report discipline decisions to council;*
- (e) post summaries of decisions of the Discipline Committee to the SSMLT website;*
- (f) to prepare and to provide to council an Annual Report of the number and nature of hearings conducted.*

Composition and Representation:

- The committee shall consist of at least five persons appointed by council.
- The majority of the members of the committee must be practicing members of the SSMLT.
- One person on the committee must be a public representative on council appointed by the Lieutenant Governor in Council.
- A panel of the committee may be established in accordance with the bylaws, with a decision of the panel having the same effect as a decision of the counselling and investigation committee.
- Council appointed legal counsel will be available to provide advice of a legal nature.
- No member of council is eligible to be appointed as a member of the committee.
- No member of the CIC committee is eligible to be appointed as a member of the committee.

Meeting Commitment: This committee meets on an as-required basis when there is a referral to the DC by the CIC. There may be years when no meetings are required. Should a hearing be required, several meetings may be necessary.

Hearings:

When the CIC recommends that the committee hear and determine a formal complaint, the committee shall conduct a hearing in accordance with the Act.

1.10 Standing/Administrative Committees

Background:

SSMLT *administrative bylaws* establish the Standing Committees. These committees assist council and the EDR in conducting SSMLT business. As the activity of these committees is operational in nature the EDR is responsible for monitoring the activities of these committees and for reporting progress on delegated tasks to council.

Purpose: Fulfill duties as per *administrative bylaws* of the SSMLT.

1.10.1 Professional Practices Committee Terms of Reference

Purpose and Duties:

Make recommendations to council for matters related to registration, continuing competence program requirements, education programs, registration requirements and execution of scholarships.

Reference- see *administrative bylaws*

Duties

The committee shall:

- (a) *Review and approve applications for continuing competency program funds managed by SSMLT;*
- (b) *Audit the continuing competence program;*
- (c) *Review and recommend to executive director any application reconsideration requests;*
- (d) *Review or make recommendations to the Council for:*
 - (i) *registration requirements to the SSMLT;*
 - (ii) *approval of entry to practice examination;*
 - (iii) *approval of medical laboratory technology education programs;*
 - (iv) *continuing competence program requirements;*
 - (v) *continuing competency or registration submissions;*
 - (vi) *standards of practice;*
 - (vii) *code of professional conduct; and*
- (e) *Report to council annually.*

Composition and Representation

The committee shall consist of minimum of 5 (five) members which include:

- Two members of council, one of which is chair;
- Two practicing members at large of the SSMLT;
- One representative from the Saskatchewan accredited training program.

Meeting Commitment: This committee meets at least once per year to review and determine allocation of continuing competency funds allocation. Further meetings may be required should there be registration, certification, CPE or Practice Hours requests that are submitted to the committee for review at the request of the EDR.

Accountability: The Professional Practices Committee is responsible directly to Council.

1.10.2 Finance and Audit Committee

Purpose: To monitor the finance of the SSMLT to ensure short and long-term financial stability. To accomplish this, the EDR shall provide the committee with quarterly reports with financial details. This committee in collaboration with the EDR develop the budget to present to council for approval. The annual audit is reviewed by this committee and signed off by the chair of the committee each year following approval by council.

Reference- *see SSMLT administrative bylaws*

Duties

- (2) *The committee shall:*
- (a) *Review, consult and recommend to council the annual budget presented by the executive director;*
 - (b) *Make recommendations to the council regarding annual budget and the SSMLT finances, including income, expenditures, utilization, and investment of surplus funds;*
 - (c) *Shall monitor the financial affairs of the SSMLT and provide an annual report to council;*
 - (d) *Provide a summary and audited financial statement in the annual report and meeting.*

Meeting Commitment: This committee receives documents for review electronically and requests a meeting should it be necessary.

Composition and Representation

As outlined in the *administrative bylaws* the committee shall consist of chair, vice chair, and one public representative

Accountability: The Finance and Audit Committee is responsible directly to Council.

Selection & Appointments

1.11 Selection of Council & Officers Policy

Purpose

The purpose of this policy is to provide clear protocols and procedures for the appointment of councillors and committee members. These procedures and protocols will be applied by the SSMLT consistently, and may be adapted, as required from time to time, following revisions to *administrative bylaws*.

Principles

Administrative bylaws outline the eligibility for appointment.

Policy

The SSMLT endeavours to identify members that have competencies required for effective operations of the organization. They shall also attempt to reflect geographic locations and professional specializations representative of the diversity of the membership.

When considering geographical and professional diversity, it is the goal to have the following representation on council whenever possible:

- One representative from Saskatoon urban
- One representative from Regina urban
- One representative South, excluding Regina urban
- One representative North, excluding Saskatoon urban
- One representative practicing outside general practice area
- One representative a new graduate within the previous 5 years

1.12 Appointment to SSMLT Committees Policy

Purpose

The SSMLT will advertise vacancies both statutory and standing committees and request volunteers submit an expression of interest outlining their competencies for the role.

Principles

Administrative bylaws outline the requirements for committee appointments.

Duties:

- Duties of the statutory committees are outlined in the *regulatory bylaws*;
- Duties of the standing committees established by SSMLT are outlined in the *administrative bylaws*.

Policy

The SSMLT council uses an appointment process that is transparent, equitable, proactive and promotes the best practice of ensuring that SSMLT committees have the competencies required for effective operations of the committee.

The SSMLT makes every effort to schedule meetings on a date and time agreeable to the majority of the committee. The time commitment required for each committee is dependent on the committee activity and not intended to be onerous.

1.13 Business Continuity Policy

Purpose

To manage organizational risk to maintain business operations. To support a seamless, orderly transition from existing to new leadership in both planned and unplanned circumstances.

Principles

- Business continuity planning is a continuous process that requires clear roles, organizational goals, performance expectations and the measurement of performance at both the individual leader and council/committee level. This cycle helps identify the appropriate leadership skills and characteristics needed in any given time-period for the organization.
- Business continuity planning should be considered within the context of annual organizational goals and the review of leadership performance against them. SSMLT leadership should meet minimum expectations of performance to continue in the leadership position.
- Careful, proactive business continuity planning inspires confidence among councillors which allows them to work at a strategic rather than operational level. It ensures that the council will be informed in a timely fashion of leadership changes and that risk will be minimized during an emergency or during a transition period.

Policy

The SSMLT council and EDR shall put in place risk-mitigation steps to proactively manage EDR and council/committee leadership during an emergency and for succession.

1.14

Council Evaluation Policy

Purpose

Regular and ongoing board evaluation is a key component of good governance, it contributes to a culture of learning and is useful to identify areas for improvement.

Policy

At a minimum, council will in engage in a board-evaluation activity once per council year.

Council evaluation will consist of evaluation of the council as well as evaluation of council meetings. Council will submit a consolidated evaluation to the EDR for storage in a shared council file. The evaluation can occur at a council meeting or at a special meeting, whichever is determined by council. Council shall review the evaluation at a council meeting and determine if any areas for improvement are required. If areas of improvement are identified, council will direct the EDR to implement agreed upon improvements.

Section 2:

Business Operations

2.1 Delegation of Authority

Purpose

Council may delegate authority to the EDR, as outlined in the *Act* and *administrative bylaws*. The EDR shall use reasonable interpretation of the legislation and Council's policies to make all decisions, take all actions, establish all practices, and develop all activities.

The authority is delegated to the EDR, who in turn can delegate tasks to SSMLT staff, such as investigators and any administrative support. The EDR remains accountable for all delegated duties.

Policy

- The Council will direct the EDR to achieve certain outcomes with regards to strategic priorities.
- The '*Executive Limitations*' policies will provide guidance that the EDR may exercise in running the operations of the SSMLT.
- Council may request and obtain information in any of the delegated areas unless the requested information is designated by the legislation as confidential, and personnel information.
- Only decisions of the council are binding upon the EDR.
 - Decisions, recommendations, or instructions of individual councillor, officers, committees or working groups may be used in rare instances when the council has specifically authorized such an authority.
 - Should councillors or committee/working groups requesting information or assistance of the EDR without council authorization, the EDR shall assess such requests, and if the amount of staff time or funds required do not exceed the budget or time allocations they may proceed.

2.2 Executive Director/Registrar (EDR) Performance Review

Principles

- The EDR is accountable to the council for delegated responsibilities.
- Council establishes the EDR job description that includes the competencies and skills required for the EDR to successfully manage the operations of SSMLT.
- EDR performance will be measured against annual performance objectives established by council.

Policy

- The council will conduct a performance evaluation of the EDR during the probationary period and thereafter, annually.
- The council will provide a report of the EDR's performance assessment and make a recommendation with regards to EDR compensation as per the EDR '*Compensation Policy*'. The final assessment of the EDR's performance and decisions regarding the EDR compensation will be made by Council in-camera.
- In-camera description:
 - An in-camera council meeting (also sometimes referred to as an executive session) is held when council meets behind closed doors, without management or any other non-council member present.
 - A member of the in-camera group has a right to examine the minutes of that group. The in-camera group should (1) keep minutes and (2) make them available to members that ask for them.
 - The recorded minutes or any documents distributed during this meeting are not made public (and are not attached to regular Council meetings). The minutes are only available to those present in the meeting.
 - If a decision or motion is made during the in-camera session, that decision should be recorded in the council minutes as a formal record.
- During the annual EDR review process, the council shall work with the EDR to develop agreed-upon objectives for the upcoming year, with respect to the organization.
- Council and Committee concerns regarding EDR performance can be taken to the chair should they arise.
- A significant part of the assessment of the performance of the EDR will be based on the effectiveness of the operational plan and the progress of the organization towards its objectives.

2.3 EDR Compensation

Principles

- Council establishes the compensation policy for determining initial salary, salary adjustment, and benefits for the EDR.
- Compensation will reflect fair and competitive compensation while reflecting prudent fiscal management.

Policy

- SSMLT is committed to establishing and maintaining competitive salaries, reflective of current market conditions and budget limitations.
- A salary range will be established for the EDR based on the outcomes of a market review performed at minimum every 5 years or of a similar market review conducted by others such as Network of Inter-Professional Regulators (NIRO).
- On hire into the role initially, the base salary is determined based on skills, knowledge, and experience in relation to the job requirements and the anticipated level of performance.
- Compensation will be reviewed in conjunction with an annual performance evaluation. Any annual salary adjustment will be based on successful achievement of pre-determined performance objectives, performance of job duties and progression towards annual goals and organizational budget.

2.4 Executive Limitations & Operations Policy

Purpose:

The SSMLT's Executive Limitations & Operations Policy sets out the management parameters for the operation of the SSMLT. Details of this policy are further outlined in detail in this manual.

Principles

- The EDR will provide oversight of staff and/or contractual workers to effectively employ, communicate, monitor, and ensure ongoing operations of the organization.
- Outline limitations within the key operations related to finances such as: financial conditions, budgeting, planning, and business continuity as well as asset protection.
- General guidance related to remuneration of staff, treatment of staff, support to council, committees, and members of the public.

Policy

- SSMLT is committed to establishing and maintaining staff operational limits and standards to ensure a sustainable organization.
- SSMLT operations shall be conducted within the legislation, policies and guidelines set by council.
- SSMLT council shall provide oversight for all financial activities such as: asset management, budgeting, finances, business continuity.
- SSMLT maintains the Register as outlined in the *Act*.
- SSMLT shall provide administrative and regulatory support to council, committees, and other stakeholders.
- SSMLT shall conduct business in an ethical and efficient manner.

2.4.1 General Executive Constraint

The EDR shall ensure the SSMLT business operations are legal and in compliance of commonly accepted business practices and the SSMLT Code of Conduct. The SSMLT's mission, vision, values, policies, and bylaws will provide guidance for decisions.

2.4.2 Communication and Support to the Council

- The EDR shall ensure that Council is informed and supported in its role.
- The EDR will:
 - Provide leadership and governance guidance to council and committees as it relates to regulation and legislation;
 - Develop operational and communication tools to ensure privacy of the SSMLT documents, SSMLT council, SSMLT committees, and SSMLT members;
 - Submit timely reports including interpretations of council policies to demonstrate compliance;
 - Provide information relevant to the council's mandate to achieve its obligations;
 - Supply council with timely and thorough information to support informed decisions;
 - Advise the council when, in the EDR's opinion, the council may not be in compliance with legislation and its own policies on governance;
 - Provide administrative support for council and committee activities;
 - Inform the council chair of issues as they arise;
 - Provide the council with a workable, user-friendly, and secure mechanism for official council or committee communications.

2.4.3 Treatment of Staff

- The ED shall ensure employment conditions are fair, dignified, organized and clear.
- The ED shall:
 - Operate within personnel policies and procedures and labour legislation to provide effective business operations;
 - Provide adequate orientation to their duties;
 - Respect any staff member for expressing their point of view;
 - Acquaint staff of their rights and protections;
 - Effectively deal with performance matters and provide areas for improvement;
 - Enable staff to be prepared to deal with emergency situations.

2.4.4 Financial Condition & Activities

- The EDR shall identify and provide explanation to council of any potential for fiscal jeopardy or a deviation of actual expenditures from council budget and priorities.
- The EDR shall:
 - Ensure expenditures do not exceed funds received in the fiscal year to date unless council has approved the expenditure and/or use of reserve funds;
 - Shall not incur debt without council approval;
 - Request use of long-term reserves with explanation for council approval;
 - Ensure payables or receivables are settled within 60 days. In situations where this is not possible, the finance and audit committee shall be notified;
 - Ensure government-ordered payments or filings are accurately filed and submitted prior to deadline;
 - Ensure prior approval of finance and audit committee or council to issue expense payments to him or herself following submission of appropriate documentation and receipts;
 - Consult with and receive approval from council in advance of multi-year contracts to lease or purchase capital equipment that exceeds the approved budget;
 - Receive prior approval of the council to lease facilities.

2.4.5 Budgeting and Financial Planning

The EDR shall ensure financial plans for any fiscal year are in place to meet the council strategic priorities without posing undue financial risk.

The EDR will complete a budget in collaboration with the Finance and Audit Committee which:

- Assesses the risk, taking into consideration situations or conditions described in the Executive Limitations Policy.
- Includes:
 - Projection of revenues and expenses,
 - Separation of capital and operational items,
 - Cash flow analysis, and
 - Disclosure of planning assumptions.
- Provides the expected expenditure amount determined annually by the Council.

2.4.6 Asset Protection

- The EDR shall ensure corporate assets are protected and maintained to minimize risk.
- The EDR shall:
 - Establish and follow a Risk Management Plan that identifies, assesses and manages risk in a way that provides reasonable assurance of achievement of mandate;
 - Ensure an adequate comprehensive insurance policy providing property and liability coverage in an amount and terms which are comparable to other regulatory organizations in Saskatchewan;
 - Prohibit personnel access to funds;
 - Ensure facilities and equipment has sufficient maintenance and replace items that may be a safety concern;
 - Take all necessary steps to eliminate exposure of the organization, its Council, committee members or staff to claims of liability;
 - Receive, process or disburse funds within internal controls in accordance with the recognized accounting principles and standards that apply to the SSMLT in compliance with Canadian and Saskatchewan laws;
 - Ensure purchases are within the budget allowance;
 - Protect all property, information and files from loss, breach or considerable damage;
 - Invest or hold operating capital in low risk secure instruments, including chequing accounts, term investments or savings accounts to facilitate ease in operational transactions;
 - Uphold the organization's public image, credibility, and its ability to accomplish its strategic objectives;
 - Eliminate conflict of interest when entering into any contracts;
 - Ensure adequate protection from loss or unauthorized access of SSMLT information and intellectual property;
 - Ensure the SSMLT has a current and comprehensive technology plan sufficient to maintain security and integrity of all electronic files and the membership data.

2.4.7 Compensation and Benefits

- The EDR shall ensure fiscal integrity and public image as it relates to the employment, compensation and benefits to employees, consultants, contract workers and volunteers.
- The EDR will:
 - Ensure their own compensation and benefits are reviewed and approved by Council;
 - Annual increments may be considered to a maximum of 2% following ED performance review;
 - Recommend the pay ranges or salary grid for staff to be approved by the Council;
 - Contract services to meet the objectives approved in the budget, such as investigations or other work necessary for the SSMLT operations.
 - Contracted service rates are to be negotiated by the ED with consideration of the complexity of the task, market value and the expertise required in fulfilling the requirements.
 - Contracted services required above the budget allocation, must be approved by Council.

2.4.8 Business Continuity Plan

The EDR shall ensure business continuity processes are in place to facilitate continuity of operations in an emergency. In addition, a long-term vision must be implemented to ensure competent operation of the SSMLT in the event the ED exits the organization.

2.4.9 Operation of the Register and Registration

- The EDR shall keep the Register up to date and accurate.
- The EDR shall refer an application for registration to the Professional Practices Committee or council if the ED has reasonable grounds to doubts whether the applicant fulfils the registration requirements in the *Act* or the *regulatory bylaws*.

2.4.10 Administration of Statutory Committees

The EDR shall ensure the efficient administration of statutory committees in accordance with the *Act*, *SSMLT bylaws* and council/committee terms of reference.

- The EDR shall ensure that:
 - Every complaint to the SSMLT is reviewed to ensure it is within the SSMLT mandate and if so, refer it to the CIC and to be investigated expeditiously;
 - Necessary communication takes place between all concerned parties;
 - Documentation confidentiality is maintained and distributed in a timely manner;
 - Any investigations required by legislation/regulation are undertaken in a fair and timely manner;
 - Any referrals to the Discipline Committee are forwarded in a timely manner.
- The EDR shall be responsible to:
 - Advise the chair of the CIC should there be receipt of substantive changes to the presentation of statements made to their committee;
 - Engage an investigator to conduct the investigation and provide a 'Report of Findings' to the CIC;
 - Remain neutral on any decisions made by a committee, during their decision-making process, other than to provide information and advice upon their request;
 - Administer committee meetings and maintain expenses within council approved limits and budgets following approval of the committee/chair;
 - Inform the chair of a committee of any matter which requires their attention;
 - Inform the committee chair of any aspects of their operation that could jeopardize the fulfilment of the SSMLT's mandate;
 - Ask council to review any matter of policy that may need to be reviewed to ensure committees are able to fulfil their mandate.

2.4.11 Members, Stakeholders and Members of the Public Interaction

- The EDR shall ensure members, stakeholders, and members of the public are treated with a level of courtesy and respect.
- The SSMLT shall provide a mechanism for regular communication of council and SSMLT business to members.
- The SSMLT shall communicate legislation under the *Medical Laboratory Technologists Act* and *SSMLT bylaws* to stakeholders, members of the public, new applicants, and members.
- The SSMLT shall inform members about their professional responsibilities and the consequences of non-compliance.

2.4.12 Collaboration

- The EDR shall develop appropriate collaborative relationships to achieve the council's objectives, and to maximize the efficiency and effectiveness of resources.

Collaborative relationships will include but not be limited to:

- Canadian Alliance of Medical Laboratory Professionals Regulators
- MLT education programs in Saskatchewan
- MLT education program outside Saskatchewan as necessary
- Saskatchewan employers
- Saskatchewan Laboratory Quality Assurance Program
- Government of Saskatchewan
- MLT education program Accreditation bodies
- Network of Interprofessional Regulators Organization

2.4.13 Services to Council

- The EDR shall supervise and administer the appointment of officers, council, and committee members as set out in the SSMLT *regulatory and administrative bylaws*.
- The EDR shall provide any administrative services required by the chair, council, and any committee to govern the SSMLT.

These administrative services include:

- preparation for scheduled council meetings;
- distribution of the agenda and all meeting documents to council and appointed committee members at least 1 week prior to that meeting;
- providing support to council and committees to fulfill its legislative requirements.

2.4.14 Information Management

- The EDR shall develop and maintain a secure and effective information management system that assists the organization in effectively carrying out and evaluating the organizations objectives.
- The EDR is responsible to:
 - Maintain an up-to-date plan for necessary information systems improvements, enhancements or acquisitions;
 - Develop a plan that ensures a smooth transition to new or upgraded information systems;

- Evaluate the effectiveness and efficiency of current information management;
- Ensure that back-up and recovery plans are designed, documented, updated and tested;
- Meet legislated requirements for records retention, confidentiality, freedom of information and privacy;
- Ensure that there is adequate back up resources for all critical organizational functions;
- Provide appropriate security for all the organization's records.

Section 3:

Fiduciary Responsibilities

3.1 Organization Risk Management Policy

Purpose

The SSMLT's Risk Management Policy sets out the requirements necessary to ensure a consistent and comprehensive risk management approach.

Principles

- The EDR will prepare reports for council to be able to effectively monitor and mitigate risk.
- Key business decisions shall consider potential risks and opportunities.
- Adequate insurance is maintained that includes, but is not limited to, liability insurance for Directors and Officers, Errors and Omissions, property insurance, data compromise, data restoration and general liability.

Policy

- To minimize its exposure to risk, the SSMLT shall:
 - maintain and comply with a risk management framework;
 - maintain and comply with an audit schedule;
 - follow consistent risk management strategies across all operational areas;
 - ensure that resources are allocated on a risk-weighted basis.
- Risk will be actively measured, managed, monitored, and reported by the EDR.
- Risks identified will be forward-looking to allow management/council to take proactive action.
- The SSMLT's risk management process will consist of the following five steps:
 1. Risk Identification
 2. Risk Measurement
 3. Risk Mitigation
 4. Risk Monitoring
 5. Risk Reporting to Council

3.2 Privacy Policy

Purpose

The purpose of this policy is to ensure compliance with federal and provincial privacy legislation.

Policy

The SSMLT will maintain confidentiality of the information it collects about its applicants, current and former members as required by the applicable legislation.

The SSMLT will maintain confidentiality of the information it collects about its council and committee members. Items will be shared with agencies that are identified in the *Act, bylaws*, or policies of SSMLT. Any information on the SSMLT website will be limited to as needed.

Communication will be via email, using group council email address or a secure site. All documents can be accessed from a secure council/committee link or site, thus limiting the potential for confidential material being stored on a personal device. Only on special request will print documents be provided.

All meetings are held in confidence apart from published meeting notes and documents. Any meeting documents shall be shredded or deleted following the meeting.

Applicant, current and former member information may be provided to a policing agency following receipt of necessary documentation, such as a subpoena.

SSMLT comprehensive privacy policies and details are contained in each of the following:

- SSMLT Privacy Policy- see appendices.
- SSMLT GDPR Supplement- see appendices.
- SSMLT Website Policy- see appendices.

Financial Framework

The Financial Framework of the SSMLT is to provide guidelines applying sound financial practices to maintain the financial integrity of SSMLT.

Principles

- The business of the SSMLT is conducted with honesty, fairness, accountability, and transparency.
- All reasonable efforts are made by the SSMLT office to maintain and safeguard assets through internal and external controls which are created and approved by council.
- SSMLT is responsible for the expenses it incurs while conducting its affairs.
- An external audit of SSMLT finances is conducted annually.
- Council selects by motion a qualified auditor at the year end council meeting in each year to conduct the audit.
- SSMLT council and Finance and Audit committee shall review the audited financial statements and approve them prior to them being presented at the AGM.
- SSMLT's Strategic Plan provides direction regarding financial priorities of the organization.
- SSMLT Financial Framework is current and contains all financial policies. It is reviewed regularly by the council and updated as new policy decisions are made.
- Bookkeeping is performed according to generally accepted accounting principles.

3.3 Investments and Reserve Funds Policy

Purpose

Outlines the approved investment practices of the SSMLT and defines the Reserve Funds approved by SSMLT Council.

Investment practices:

- SSMLT tolerance for investment risk will be low.
- The portfolio is to be constructed to preserve capital and maximize income. Over the short-term, the portfolio should be sufficiently flexible to accommodate any specific operating and capital withdrawals that may be required.
- Investment recommendations will be made with a 3 to 5-year view. Results will be reviewed annually by the Finance and Audit committee and council.

- SSMLT will maintain a reserve fund to provide for any unexpected/extraordinary expense and/or to provide for the winding down of the SSMLT’s operations, in the unlikely scenario that this becomes necessary.
- All investments made by the SSMLT will generally be limited to fixed income securities such as Guaranteed Investment Certificates (GICs), bonds and debentures.

Reserve Funds:

- The EDR shall protect against unforeseen loss of income, unexpected events, or unanticipated expense by maintaining designated reserve funds.
- The reserve funds will be funded with surplus operating funds as recommended by the EDR and directed by council on a yearly basis.
- Reserved funds are established as follows:

Reserve Fund	Use	Contribution Goals
Legal Fund	Unbudgeted expenses related to complaints against members or litigation against the SSMLT	\$150,000
Contingency Fund	Assistance to operations in the event of unforeseen circumstances	\$200,000

Policy

- Decisions will be made in alignment with the *Act* and the *Trustee Act, 2009*.
- The amount maintained by the SSMLT should be proportionate to the organization’s needs, risk tolerance, and are to be reviewed annually by SSMLT council.
- The Finance and Audit committee shall monitor the investments and reserves. Any changes to the policy must be approved by SSMLT council.

3.4 Expenses Policy

Purpose

To outline expenses that can be submitted for payment by the SSMLT.

Policy

- Expenses incurred on behalf of the SSMLT will be paid by SSMLT when possible, in a transparent, timely and fair manner.
- Councillors and committee members shall be reimbursed for all substantiated expenses incurred while performing required duties on behalf of Council/SSMLT at the following rates as established and approved annually by council as follows:
 - In Province expense allowance: expense amounts shall be the published SK healthcare union rates.
 - Out of Province expense allowance: as per government of Canada expense reimbursement rate
- Councillors and committee members are eligible to receive an honorarium to attend meetings to conduct SSMLT business assigned by council during their scheduled workday should they are required to take off without pay.
- Honorariums must be pre-approved by the EDR, and the daily amount shall be established by council and revised from time to time as required.
- The honorarium allocation shall be reviewed and approved by council when EDR determines requests may jeopardize the annual finances.
- When dealing with council member that require approval, the council member shall not vote on the matter.
- Expenses and Honoraria requests for payment will be considered following submission of the required form and any required receipts.
- **Approved participation:**
 - The chair is reimbursed for their registration and expenses to attend the professional annual conference.
 - The vice chair and EDR are reimbursed for registration and expenses to attend an annual regulatory conference.
 - Council members that do not qualify for professional or regulatory conferences shall be eligible for a \$250 education funding annually (pre-approved professional or regulatory). Re-imbursement will be issued following receipt of proof of attendance or completion.
 - All expenses for council to attend in-person meetings are paid by SSMLT.

3.5 Signing Authority and Expense Approval Policy

Purpose

- To establish internal controls by these measures:
 - Determine threshold for EDR approval of payment requests;
 - Determine the duties of those designated with signing authority

Principles

- Internal controls are essential to protect the finances of SSMLT. All expenditures are initiated by the bookkeeper.
- The EDR or designate approves expenses before payments are made. The EDR shall ensure that expenses are both reasonable and do not exceed the approved budget.
- The EDR may approve and complete payment for expenses within their signing authority approved by Council.
- A dual staff signature will be required for expenses above the signing authority of the EDR.
- Any expenses submitted by EDR to be paid directly to EDR must be approved by Finance and Audit Committee or council prior to remittance.
- In the absence of the EDR, their designate or persons with signing authority with the SSMLT can approve expenses.
- Persons eligible for signing authority are outlined in the SSMLT *administrative bylaws*.

Definitions

- Pre-Approval - items outside the budget or there is question whether they within in the budget or policy require approval BEFORE expenditures are made.
- Authorize or authorization – reviewing payment for compliance and approval.
- Signing authority – staff and members appointed by council that have the authority to sign payments.

Policy

- All approved expenses must meet legal, ethical, policy, and procedural requirements of the organization.

3.6 Organization Educational Funding Policy

Policy

- An education budget will be set each year during budget preparation, considering the following:
 - Educational needs of the organization with regards to strategic objectives, council, or committee objectives; and
 - Other financial obligations for the year.

3.7 Corporate Credit Cards Policy

Purpose

The EDR shall have a corporate credit card to perform operations of the organization.

Policy

The EDR corporate credit card will be used for expenses during travel or other expenses as necessary for operations. The credit card limit shall be approved by council.

3.8 Strategic Planning Policy

Policy

- The SSMLT council shall engage in a strategic planning every three to five years.
- The EDR and staff as required will participate in the council or facilitator led strategic planning process.
- Annually, the EDR will produce annual objectives of the strategic plan to council.
- The council will regularly review the performance of the organization towards the objectives of the strategic plan.

Appendices¹

- [The Medical Laboratory Technologists Act, 1995](#)
- [SSMLT Administrative Bylaws](#)
- [SSMLT Regulatory Bylaws](#)
- [SSMLT Complaints Management Process](#)
- [The Trustee Act, 2009](#)
- [SSMLT In Province expense form](#)
- [SSMLT Out of Province expense form](#)
- [SSMLT Honoraria form](#)
- [SSMLT Privacy Policy](#)
- [SSMLT GDPR Supplement](#)
- [SSMLT Website Policy](#)
- [*The Personal Information Protection and Electronic Documents Act \(PIPEDA\)*](#)
- [*Health Information Protection Act, H-0.021*](#)
- [*Health Information Protection Regulations, 2023, H-0.021 Reg 2*](#)

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