


<b>Policy Title:</b> <b>REGISTRAR &amp; CEO ANNUAL SUMMATIVE PERFORMANCE EVALUATION</b>		<b>Policy Section: III</b> Board-CEO Relationship	<b>Policy Number:</b> III-10
<b>Approved By:</b> Board of Directors	<b>Date Approved:</b> Jan 23, 1996	<b>Date Reviewed/ Revised:</b> Nov 30, 2010 Nov 29, 2013 Mar 6, 2018 Feb 11, 2022 Sept 14, 2023 Feb 21, 2025	<b>Board Chair's Signature:</b> 

## BACKGROUND

Performance evaluation feedback should be provided to the Registrar & CEO on an ongoing basis through regular discussion between the Board and the Registrar & CEO. Progress on “organization results” should be reported on and be evident year-round. The Annual Summative Performance Evaluation is conducted to formally record the nature of the ongoing discussion and trends in Registrar & CEO (and organization) performance over the year. There should generally be no surprises for the Registrar & CEO at the Annual Summative Performance Evaluation meeting.

## POLICY PURPOSE

This policy is written to provide clarity and outline the Board’s principles and process for the Annual Summative Performance Evaluation of the Registrar & CEO as well as to summarize which person/group holds the various responsibilities related to this process.

## POLICY

The Board views evaluation of the executive performance (Registrar & CEO) as synonymous with evaluation of organizational performance. Ongoing Board monitoring of the performance of the Registrar & CEO throughout the year will make up the majority of the data used to conduct the Registrar & CEO Annual Summative Performance Evaluation, i.e. the annual summative performance evaluation is derived primarily from ongoing monitoring results.

Systematic and rigorous monitoring of Registrar & CEO job performance will be measured against the expected job outputs as outlined in the Registrar & CEO Job Products Policy, including:

1. Organizational accomplishment of the Board policies on Ends (Critical Outcomes).

- The Ends (Critical Outcomes) Policies criteria relate to the short and long-term critical outcomes/results which the Registrar & CEO is expected to achieve for specific beneficiary groups within the Board's parameters on the cost of achieving these Ends (Critical Outcomes) Policies. Evidence of achievement should be articulated as outcomes/results not activities undertaken. The Registrar & CEO's reasonable interpretation of Ends Policies should include the most important short-term results milestones for the year. However, the results in the interpretation should not be exclusively short-term; they should also include key milestone results in a longer-term strategic journey.
2. Organizational operations within the boundaries established in Board Executive Limitations Policies on governance of risk around organizational values, prudence, ethics, and equity.

The Annual Summative Performance Evaluation of the Registrar & CEO is conducted to:

1. Ensure Ends (Critical Outcomes) Policies are achieved within the boundaries defined by the Executive Limitations Policies.
2. Ensure the means, approaches, and processes utilized by CMLTO are equitable, appropriately inclusive, and just.
3. Provide another forum for constructive feedback between the Registrar & CEO and the Board.
4. Develop specific actions required to address any areas for improvement or development on the part of the Registrar & CEO and/or the Board.
5. Provide input for the Registrar & CEO compensation.

**Accordingly:**

1. The Board Monitoring the Registrar & CEO Performance Process determines the degree to which Board policies are being met given that the Board policies outline the job performance expectations of the Registrar & CEO.
2. The Board will acquire monitoring information by one or more of three methods (See Board Monitoring the Registrar & CEO Performance Policy GP IV-50.10) including:
  - a. By internal executive report, in which the Registrar & CEO discloses policy interpretations, evidence of achievement of Ends (Critical Outcomes) Policies and Executive Limitations Policy compliance information to the Board.
  - b. By external report, in which an external, independent third party selected by the Board assesses achievement of the Board policies and the relevant Registrar & CEO policy interpretation.

- c. By direct Board inspection, in which a designated member or members of the Board assess achievement of the appropriate policy criteria.
3. In every case, the Board will assess:
    - a. The reasonableness of the Registrar & CEO's interpretation.
    - b. Whether the data demonstrate appropriate achievement of the Ends (Critical Outcomes) Policies or compliance with Executive Limitations Policies, as measured by the specific goals and milestones outlined in the Registrar & CEO interpretation (an objective standard).
  4. The Board will perform a factual, logical and objective assessment of the Registrar & CEO's performance based on Board policy criteria, not the preferences of individual Board Members.

### **ANNUAL REGISTRAR & CEO SUMMATIVE PERFORMANCE EVALUATION PROCESS**

The intent of the annual performance evaluation is to summarize the Board's assessment of Ends (Critical Outcomes) Policies achievement within the boundaries of executive authority. The evidence is provided through Monitoring Reports, submitted by the Registrar & CEO, to the Board throughout the year. This Annual Summative Performance Evaluation will assess overall performance trends (achievement of outcomes/results/impact, timeliness, effectiveness within risk boundaries).

The Board will also provide feedback on leadership and communication around achievement of the High Level Ends Policies (critical outcomes within an environment of equity, diversity, inclusion, and justice). Action plans and course corrections are also addressed. Compensation based on performance will also be covered.

Each year there will be a mid-year discussion with the Registrar & CEO and the Executive Committee regarding overall performance in order to keep very clear lines of communication.

Annual Summative Performance Evaluation of the Registrar & CEO will be conducted. A comprehensive internal and external consultation regarding performance assessment will be completed at least once every three to five years.

### **Data Sources**

Data sources considered for inclusion in the Registrar & CEO Performance Evaluation:

- Internal Executive Monitoring Reports submitted to the Board throughout the year and the Board evaluation of these reports (primary source)
- Feedback from Registrar & CEO (self-evaluation)
- Conclusions/Feedback from Individual Board Members upon review of the Monitoring Track Record (Board Member Feedback by Survey)

- External Monitoring Report Results (eg. Financial Audit and any other external reviews completed)

Note: In years of broader consultation, a larger number of data sources will be included than in years where the regular process is utilized.

- Feedback from Leadership Team and staff (Staff Feedback Form)
- Internal stakeholders (Registrants Feedback Form)
- External stakeholders (e.g. Customize Peer Organizations Feedback Form, Specific Form for Government Representatives (Relevant and Inclusive Broader Community Feedback Form)

Data collection for the broader consultation is supported by a third-party advisor to the Board.

The questions used for the broader consultation will be focused to customized questions which specific stakeholders are qualified and have relevant knowledge to address. The questions will focus on achievement of organizational Ends (Critical Outcomes) Policies.

## **PHASES OF THE REGISTRAR & CEO ANNUAL SUMMATIVE PERFORMANCE EVALUATION**

### **Phase 1 – Mid-Year Registrar & CEO Performance Discussion with the Executive Committee**

- Each year the Executive Committee meets with the Registrar & CEO to conduct an informal (or as formal as is needed at the time) meeting to discuss general progress and performance year-to-date.
- The Registrar & CEO provides a brief overview of their perspective on year-to-date:
  - Ends (Critical Outcomes) progress/achievement,
  - Executive Limitations compliance,
  - Communication With and Support of the Board, and
  - Any significant performance challenges.
- The Executive Committee conducts an in-camera discussion, with the facilitator, to review any outstanding Registrar & CEO action plans from the prior performance evaluation and to summarize the Board feedback on current performance to mid-year.
- The Executive Committee and Registrar & CEO then provide feedback to each other and summarize any action items arising from the discussion.
- The Board Chair reports out to the Board at its September meeting.

### **Phase 2 – Board Chair Outlines the Annual Summative Evaluation Process for the Board (September)**

- Informs the Board about the performance evaluation policy, process, and the policy criteria that will form the basis of the performance review with the Board. The evaluation criteria are abstracted from the Board Ends (Critical Outcomes) and Executive Limitations Policies.
- Confirms data sources to be used.
- The Registrar & CEO is asked to prepare a self-evaluation report for the November/December Board meeting.

### **Phase 3 - Registrar & CEO Presentation to the Board (November/December)**

- The Registrar & CEO provides a verbal and written presentation to the Board summarizing their own evaluation of performance based on policy criteria and the Registrar & CEO Interpretation of Board Policies.

### **Phase 4 - Data Collection (Late November / Early December)**

- A high-level summary of all the performance evaluation results of all the Monitoring Reports throughout the year will be completed under the authority of the Executive Committee.
- The Executive Committee will seek feedback from Board Members regarding overall summary feedback (an external evaluator may assist with data collection and synthesis). This data collection process is confidential and kept independent.
- In years of broader consultation, the Board will seek input to the performance evaluation from a diverse, wide range of relevant stakeholders. This process will begin in September. The Board will use a third-party advisor to assist with this data collection and analysis.

### **Phase 5 - Initial Draft Report and Performance Review Meeting with the Registrar & CEO (December)**

- The Executive Committee collectively fine-tunes the initial draft of the overall report based on the performance review data and the Registrar & CEO's self-assessment. The draft report will be discussed with the Registrar & CEO and will include the key successes and key areas requiring development along with overall conclusions.
- A full dialogue regarding progress is conducted. The report data, conclusions, and recommendations are amended as required based on any clarification from this discussion. Changes always remain consistent with the Board direction and policy.

### **Phase 6 - Presentation of Summary Report to the Board (January/February)**

- At the January/February meeting of the Board, in camera, the Board receives a full report on the conclusions and recommendations as discussed with the Registrar & CEO. The Board will provide final approval to the Performance

Evaluation Report. The Board is updated on the high-level nature and rationale of compensation decisions.

### **Phase 7 - Final Report**

- The final report is prepared and submitted by the Board Chair to the Registrar & CEO.

## **SUMMARY OF KEY RESPONSIBILITIES RELATED TO THE REGISTRAR & CEO ANNUAL SUMMATIVE PERFORMANCE EVALUATION**

### **Executive Committee**

The CMLTO Executive Committee is responsible for overseeing the Annual Summative Performance Evaluation of the Registrar & CEO. The Executive Committee is also responsible for reviewing and revising, according to Board policy, the compensation of the Registrar & CEO.

### **Board Members**

All Board members will participate in the evaluation process by carefully listening to the Registrar & CEO self-evaluation and by providing objective input to the overall summative performance evaluation. Board members are required to use the objective criteria included in the Registrar & CEO annual performance evaluation tools to provide feedback. Board members are also expected to be conscious of their own biases with respect to equity, diversity and inclusion when assessing Registrar & CEO performance.

### **Board Chair**

The Board Chair is responsible for ensuring the overall process is moving forward effectively including:

- Informing the Board regarding the performance evaluation policy, process, and the policy criteria that will form the basis of the performance review.
- Confirming, with the Executive Committee, the data sources to be used, including for broader consultation for the years when broader consultation is planned.
- Preparing and submitting both the mid-year informal report and the final Annual Summative Performance Evaluation Report to the Registrar & CEO and the Board of Directors.

### **Registrar & CEO**

The Registrar & CEO will engage in the Annual Summative Performance Evaluation by providing the Board with a self-assessment of Registrar & CEO (and organizational) performance addressing the criteria with which the Board evaluates such performance. This self-assessment will be shared with the Board by the Registrar & CEO prior to the full Board conducting its evaluation.

## **Appendix 1 – Registrar & CEO Performance Evaluation Process at a Glance**

## APPENDIX TO POLICY BCR #III-10 REGISTRAR & CEO ANNUAL PERFORMANCE EVALUATION

### Performance Evaluation is Based on Achievement of Policy Criteria Set in Board Policy

