

Regulatory Principles That Guide Our Work as of 2026

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

CPATA assessments: 2022, May 2023, January 2024, January 2025, January 2026

| |
|---|
| 1. Be clear about your purpose as a regulator; keep the public interest as your unremitting focus. |
| Adopted Regulatory Objectives (which as 'living documents' may evolve over time), Standards and Principles to guide all regulatory work. Material presented to the Board for decisions is always connected to public interest and, if applicable, the Regulatory Objectives. Updated Board Governance Policies (2024) and Board self-assessment tools clearly reflect the unrelenting focus on the public interest. |
| IN PROGRESS: Board self-assessment surveys focus on these principles |
| 2. Set long-term aims and shorter-term objectives |
| Long-term – Development of Strategic Framework 2023-2025 completed; new Strategic Framework 2025-2028 approved December 2025 Short-term – Annual Work Plans presented to Board; for 2025-2028, activity plan for strategic plan period to guide CPATA's operations in place of annual plans |
| 3. Agree how to deliver and monitor those aims and objectives |
| Regular reports presented to Board from CEO and all committees/programs Board and Director self-assessments; Committee self-assessments introduced in 2025 |
| IN PROGRESS: <ul style="list-style-type: none">- Board receives regular reports from the CEO on strategic plan, work plan and risk register.- Board receives reports from Committees at each Board meeting following Committee meetings.- CEO & Registrar's Annual Performance and Compensation Review Working Group established in December 2025 and will regularly report to the Board Outcomes measurement on core regulatory areas (ex: number of licensees, exam metrics) developed and further metrics being developed so there is reporting on all regulatory work and progress toward achieving the approved objectives. |

Regulatory Principles That Guide Our Work as of 2026

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

CPATA assessments: 2022, May 2023, January 2024, January 2025, January 2026

| |
|---|
| 4. Have competencies for board members whether elected or appointed and apply them to everyone through a selection or nominations process, induction, and regular appraisal |
| Board adopted a Skills and Attributes Matrix Shared with ISED to assist with Board Appointments; shared with candidates for elected Directors Updated Board Governance Policies (2024) elaborate on role, responsibilities and expectations of the Board and individual Directors. |
| IN PROGRESS: <ul style="list-style-type: none">- Board undergoes continuous education to continuously improve on collective and individual competencies.- In addition to competencies for board members, with respect to Committees, skills matrices were developed and updated as needed. Last update December 2025. |
| 5. Have a code of conduct for board members and enforce it |
| Revised Board Governance Policies (2024) expand and refine the Code of Conduct based on best practices and experience to date. |
| IN PROGRESS: CPATA continues to Review Board Governance Policies and will update as needed. |
| 6. Declare conflicts of interest, keep a register of interests, and ensure that decisions are not tainted by partiality or bias |
| <ul style="list-style-type: none">- The Board Governance Policies and Code of Conduct provide enhanced guidance re conflicts.- Conflicts checks are a part of each Board and Regulatory Committee agenda.- A 'register of conflicts' was developed (2025) as part of the updated Governance Policies to proactively identify director involvement in other initiatives, as an early warning system to help reduce the risks of conflicts. |
| IN PROGRESS: The Board continues to review conflicts of interest policies and check for conflicts at meetings and through its register of conflicts to reduce risks. |

Regulatory Principles That Guide Our Work as of 2026

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

CPATA assessments: 2022, May 2023, January 2024, January 2025, January 2026

| |
|---|
| 7. Behave with respect and courtesy towards board members and others |
| Based on Board surveys, Committee and staff engagement, Directors, Committee members and staff are acting at high levels of respect, courtesy and professionalism. The Board Governance Policies expand on expectations in this regard and include a process for addressing concerns or complaints against Directors or Chair. The Board, Director and Committee member self-assessments evaluate in this area. Feedback from agents and public with whom the CEO and staff interact are tracked and, where appropriate, celebrated. |
| 8. Commit to corporate decision-making and to corporate responsibility for decisions made. |
| CPATA Governance Policies and Board and individual Director and Committee member evaluation processes facilitate reflective assessment of adherence to these principles. |
| 9. Appoint a competent CEO and trust them |
| <ul style="list-style-type: none">- In 2022, the Board oversaw a national search based on an approved position description resulting in the hiring of a new CEO & Registrar for 2023 together with a transition plan for exiting and incoming CEOs.- The Board and Director self-assessments include questions relating to effective, open and trusting working relationships with the CEO.- Annual performance reviews and clear lines of accountability are in place. The CEO & Registrar's Annual Performance and Compensation Review Working Group established in December 2025 assists the Board in conducting annual performance reviews. |
| 10. Ask for reports that include what you need to know not everything you might want to know |
| The CPATA Board has received reports on key areas of policy and operational development since inception. The nature of reporting to the Board will continue to evolve to meet this standard. Reporting should be consistent and reflect information such as how the issue impacts the public interest, costs, impact/effect on current policy, and if stakeholder consultation has taken place. |
| IN PROGRESS: <ul style="list-style-type: none">- CPATA continues to evolve its reporting. Since 2023, the Board receives reports from Committees at each meeting.- The Board also receives programmatic reporting (such as professional competency and professional responsibility) and a reporting schedule for key Board oversight areas. Staff are using a Board report template to develop report consistency. It is expected that the information / depth of Board reports will continue to evolve. |

Regulatory Principles That Guide Our Work as of 2026

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

CPATA assessments: 2022, May 2023, January 2024, January 2025, January 2026

| |
|--|
| 11. Make clear decisions and follow-up on their implementation |
| Board resolutions are typically circulated in advance and adopted subject to Board revisions. Implementation is reported on by the CEO. |
| 12. Provide the resources needed to deliver your objectives |
| Board approves the budget which is designed around planned activities and approved programs. The Board approves the Budget after it is prepared by staff and reviewed by the Audit and Risk Committee. The budgets to date have been developed to enable CPATA to launch and maintain its core operations. The Board is engaged in multi-year financial planning based on multi-year strategic planning and risk management. |
| IN PROGRESS: The CEO takes steps to retain a fully trained and appropriately compensated staff team that can fully support all operations, and who are committed to and engage in ongoing professional development. |
| 13. Make independence, fairness, and justice for the public and registrants the core values of registration and complaints and discipline |
| CPATA Act established independent regulatory decision-making by Registration, Investigation and Discipline Committees, and – all have final decision-making authority. Directors do not participate in regulatory decision-making. The amended By-laws (May 2023) provide for review/appeal processes respecting decisions of the CEO and regulatory committees. |
| IN PROGRESS: <ul style="list-style-type: none">- An appropriate reporting regime is in place so that regulatory committees provide regular reports to the Board<ul style="list-style-type: none">- A policy framework and training plan are in place for all regulatory committees to support fair, consistent, high quality and expedient decision-making.- Notices of Application and decisions of the Discipline Committee are transparent and published. Discipline proceedings are open to the public.- Ethics articles provide transparency and education relating to the agent conduct and ethics inquiry processes. |

Regulatory Principles That Guide Our Work as of 2026

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

CPATA assessments: 2022, May 2023, January 2024, January 2025, January 2026

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

- Updated Board Governance Policies include a focus and expand on application of public interest factors and principles in all decision making: See [Appendix-A-The-Public-Interest-and-CPATAs-Decision-Making.pdf](#)
- Staff and Board decision-making is based on considering public interest factors, including consideration of CPATA's core mandate and impacts of decisions on the publics CPATA serves.