

# Regulatory Principles That Guide Our Work as of May 2023

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

CPATA's initial assessment: 2022

CPATA Board Review: 2023

<b>1. Be clear about your purpose as a regulator; keep the public interest as your unrelenting focus.</b>
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 Ros
<b>IN PROGRESS:</b> <ul style="list-style-type: none"><li>- The Board Policy on 'Public Interest' was the subject of consultation. Once feedback is incorporated as applicable, the draft will be returned to the Board for approval in fall 2023.</li></ul>
<b>2. Set long-term aims and shorter-term objectives</b>
Long-term – Development of Strategic Framework 2023-2025 Short-term – Business Plan
<b>3. Agree how to deliver and monitor those aims and objectives</b>
First Monitoring Report presented March 2022
<b>IN PROGRESS:</b> <ul style="list-style-type: none"><li>- Board will receive regular reports from the CEO on strategic plan, business plan and risk register.</li><li>- Board will continue to receive reports from Board Committees quarterly.</li><li>- Outcomes measurement to be developed so there is reporting on all regulatory work and the approved objectives.</li></ul>
<b>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</b>
Board adopted a <a href="#">Skills and Attributes Matrix</a> Shared with ISED to assist with Board Appointments; shared with candidates for elected Directors

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## IN PROGRESS:

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

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

Adopted Board Policy No. 3.

## IN PROGRESS:

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

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

Conflicts check a part of each agenda.

## IN PROGRESS:

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

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

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

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

## IN PROGRESS:

- Governance Committee exploring a Board Evaluation process.

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

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## IN PROGRESS:

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

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

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

## IN PROGRESS:

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

### 14. Continue to keep the public interest as your unrelenting focus

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

## IN PROGRESS:

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