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List of People Conducting the Audit of EGBC

- Naomi Palulis
- John Harkema
- Mark Raymond
- Thom Sedun
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Questions for Professional Associations – In Person Interviews

Membership

1. Are applicants required to demonstrate their knowledge and awareness of BC's professional reliance model in your examinations?
2. How frequently are applicants denied membership?
3. Are there any requirements for annual membership/ recertification in addition to fee payment?
4. Is there a minimum practice level (time or other) required to maintain membership?
5. Do interprovincial agreements on labour mobility affect your admission/registration process?
6. Does EGBC find itself refusing registration very often? Can you please provide examples of reasons for refusing registration?
7. EGBC has recommended that it should have the ability to regulate organizations that provide engineering and geoscience services: how will expanding your authority to include corporate regulation strengthen the professional reliance model?

Committees

8. Section 10(d.1) of your Act allows for the establishment of a conduct review committee. Do you have a conduct review committee? Why or why not?
9. Your website shows many committees that could engage in professional reliance issues: can you please describe the work of the Environmental Professionals Committee; Professional Practice Committee, and Sustainability Committee?

Complaints & Discipline

10. To what extent is your complaint investigation and disciplinary process dependent on volunteer members?
 - a. Does reliance on volunteer members present any challenges?
 - b. If so, how are you resolving those challenges?
11. Do you have a dispute resolution procedure for complaints about members outside of formal investigation? If so, who administers this process and how are decisions made?
12. Do you have the necessary authority, resources and capacity to find out about poor professional practices, to investigate and take effective disciplinary action?
13. The "public interest" has many aspects: how does your association define the public interest?
 - a. Given that resource management and environmental protection can involve many public interests at the same time, how does your association weigh or balance these when investigating member conduct?

- b. How do you handle public interests that are beyond the expertise of your members, and those that are beyond the areas of practice that you regulate?
 - c. When it comes to upholding the public interest, what responsibility should fall to professional associations and what to government?
- 14. How do you deal with marginal performance, such as complaints that don't involve egregious violations but are on the edge of professional acceptability?
- 15. How and when do you report the results of complaint investigations to the public and to members? How do you balance a member's privacy interests with the public interest?
- 16. Do you require lay members to be appointed to the committees responsible for complaints resolution and discipline?
- 17. What rules or guidelines are in place regarding eligibility for membership on complaint and discipline-related committees for a particular complaint or investigation? What training and support do committee members receive?
- 18. You have mentioned that EGBC's ability to impose an interim suspension or conditions on a member would be helpful in some circumstances. What are your thoughts on the threshold for taking those measures?

Code of Ethics

- 19. What are consequences of contravening the Code of Ethics? What mechanisms are in place to ensure your Code of Ethics remains front and centre with your members (e.g. not just a document on the website)?
- 20. Do your members have an obligation to report illegal or unethical behaviour on the part of other members, their employer or clients?
 - a. If not, should there be a duty to report? Or is the member's duty of confidentiality concerning a client/employer paramount?
 - b. If so, to whom do they report? Are there any mechanisms in place to ensure there are no negative repercussions against the member?
- 21. How do you ensure that your members understand what real and potential conflicts of interest are? What are your disclosure requirements? What would be the most likely consequence for a member who fails to disclose a conflict of interest?
- 22. Do you have any rules addressing the form or manner of compensation for members who are acting as qualified professionals under a given regulatory regime? For example, are financial benefits that are linked to the outcome or approval of the project or permit, such as bonuses, profit-sharing, ownership or equity interests, permitted? Are these types of compensation arrangements considered conflicts of interest that must be disclosed? If so, to whom?

23. Codes of ethics typically address conflicts between the personal interest of the member and the interests of the member's client/employer. Does the professional reliance model enhance the potential for conflicts between the public interest and those of the member/client/employer? If so, how can this be addressed?
24. Do members have any requirement or duty to report when their professional advice or expert opinion is not accepted by an employer or client? Are there circumstances in which it would be appropriate? Is the duty of client/employer confidentiality paramount? Do you have any suggestions for dealing with "expert shopping?"
25. Your Code of Ethics requires members to report hazardous, illegal or unethical professional decisions or practices by members, licensees or others. Does "others" include the member's employer or client?

Continuing Professional Development (CPD) & Training

26. Does your association have mandatory CPD requirements? If not, why not? Has the issue been discussed and voted on by your membership in the past?
27. Do you audit CPD requirements? If yes, how often does this happen? Will every member be audited in a certain cycle or at random? Do audits utilize evaluation criteria linked to a member's area of expertise or scope of practice?
28. Are members-in-training, or out-of-province applicants, given any specific instruction in BC's professional reliance model?

Professional Practice Standards and Guidelines

29. To what extent do you develop professional practice standards or guidelines?
- a. Current guidelines
 - b. Guidelines under development
 - c. Proposed future guidelines
30. How do practice standards inform practice reviews, audits or disciplinary processes? For example, do they set a standard for professional conduct? Are they viewed as optional? Can you please provide examples of how this type of guidance has been addressed in practice reviews, audits and disciplinary matters?
31. Do practice standards require approval by your membership? If so, has the membership ever voted against recommended practice standards?
32. What practice guidelines have your association established for members documenting work, decisions and advice, and retention of such documentation of professional work?
33. What requirements do you have for your members identifying work of a professional nature, and when is professional work required to be signed and sealed?

34. How does EGBC view the status of professional practice documents such as your guidelines for the management of terrain stability, and forest sector roads and crossings? The documents state that they establish standards of professional practice: are these mandatory for members to follow? Does EGBC consider them to be standards of practice referenced in s.10(1.2) of your Act, and are they passed by council bylaw and ratified by members under s.11?
35. Should bylaw ratification by members be required for professional practice standards? Or should practice standards be solely a council decision? Is your concern that the threshold of 66% is too high, or that it is required at all for this type of bylaw?

Assurance Statements and Certifications

36. Some professionals are required to sign and seal “assurance statements” concerning their professional work product (e.g. see Forest Road Crossing Assurance Statements, in Appendix A, of [these EGBC/ABCFP guidelines](#)).
- a. What are your views on assurance statements or other forms of certification of professional work product? Are they an effective tool for professional reliance?
 - b. Should they be used more broadly?
 - c. Can they be improved?
 - d. How does your association view the failure to follow or complete assurance statements or certifications? Are they or should they be considered mandatory?
 - e. How do you decide when such guidelines are necessary or desirable? Do you face any resource or capacity issues in developing professional practice guidelines?

Areas of Expertise/Scope of Practice

37. What mechanisms do you have in place to ensure that members are working within their areas of expertise?
38. Have any members been disciplined for practising outside their areas of expertise?
39. Given the breadth of professional practice that you regulate, do you limit or have you considered limiting the scope of practice for members, based on proven qualifications?
40. Some professional reliance regimes in BC allow professionals to self-determine whether they are qualified to provide a given professional service. How can proponents/employers/government officials confirm the qualifications or credentials of specific members? Do you collect this information? If so, how do you ensure it is accurate and remains up to date?

Your Legislation

41. Is your enabling legislation adequate to address the goals of professional reliance that are shared by government and your association?

42. Are there any changes that could improve the legislation and your ability to advance the goals of professional reliance?

43. Is there anything in your legislation that impedes the goals of professional reliance?

Provincial Government

44. Is there anything that you feel the provincial government should do to advance the goals of professional reliance as they relate to your professional association?

Other Professions and Jurisdictions

45. A later stage of this review will examine professional governance in other professions (e.g. health, law) and jurisdictions. Are you aware of any legislation or practices in other professions or jurisdictions that should be examined for potential adoption in British Columbia?

Insurance

46. Is professional liability (also known as errors and omissions) insurance mandatory for your members? If so, please provide details. If not, what are your views on making professional liability insurance mandatory?

47. Are members required to disclose to clients whether they have liability insurance?

Advocacy

48. Does your association have a mandate to undertake advocacy on behalf of the profession and its members? If so, how do you manage the potential tension between the interests of the profession and its members against the broader public interest in sustainable resource management and environmental protection?

Other Issues

49. Other than topics we have already discussed, do you see any other obstacles to improving the effectiveness of the professional reliance regime in BC?

50. Are there any additional issues that you feel the Professional Reliance Review should be aware of?

Questions for Professional Associations – Outside interview process

Governance & Resources

1. Please provide the following information concerning your resources and budget over the last four years:
 - a. Number of members
 - b. Membership fees
 - c. Number full time and part time staff
2. Has the association identified the need for and sought membership support for fee increases in the past? If so, what was the outcome?
3. Do you have any other revenue sources? If so, what proportion of your annual budget do these sources represent? Do you consider them to be sustainable over time?

Practice Reviews & Audits

4. Please comment on how practice reviews and audits advance the goals of professional reliance, with a view to the following:
 - a. Reviews that are required (i.e. not random or voluntary);
 - b. Your association's ability to carry them out in relation to total membership;
 - c. How you are able to assess technical currency and competence for the specific areas in which a Qualified Professional practices under a given regulatory regime.
 - d. Whether practice reviews have identified any trends or gaps, and how you have responded to those.

Complaint & Disciplinary Matters

5. Please provide the following information concerning complaints members that have been made over the last 4 years:
 - a. Number of complaints
 - b. Source of the complaint (i.e. who was the complainant?)
 - i. Another member
 - ii. Member of another professional association
 - iii. Government (including federal, provincial, local or First Nations government)
 - iv. Member of the public
 - v. Association staff
 - vi. Other?
 - c. Number of complaints that were investigated
 - d. The nature of the complaints
 - e. The outcome of the complaint investigations
6. Does complaint process apply to former members as well?

The Public

7. Given that protection of the public is an important rationale for self-regulating professions, what information do you make available to the public (other than what is on your website), and what information is not available? (e.g. member names, areas of practice, in good standing, complaints against, etc.