



Prospectus

Title:	Discipline Handbook
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Purpose:

To provide regulators with a comprehensive reference tool about promising practices and procedures related to discipline activities, such as hearings.

Benefits:

Contributing to Engineers Canada Goals

- A framework, standards, practices and systems and a means to effectively transfer knowledge to facilitate regulatory excellence are available to the regulators (E-1).

Contributing to Regulators

- Promotes harmonized national regulatory standards that protect and enhance the profession and increases equal treatment of registrants regardless of jurisdiction.
- Opens dialogue to find common ground to move in a national direction and increase harmonization in the profession.
- Regulators improve their understanding of the similarities and differences between jurisdictions.
- Well developed and defined discipline practices help to protect the engineering term and ensure the public's confidence in the profession.

Vision:

- A detailed document of best practices and recommendations that regulators rely on as a reference resource to improve the efficacy of their discipline activities.
- Increases harmonization of discipline activities between regulators by providing a unified approach.

Principles:

1. Regulators participate voluntarily in contributing information to support the handbook development, although participation by all regulators would be most effective.
2. Regulators have a clear mechanism for providing input on the project.
3. The handbook will focus on practices and procedural information, and will not address specific jurisdictional legislation or case studies.
4. The handbook is meant to be a guiding resource and the level of adoption is the regulators' decision.
5. Sufficient resources are available for the development, maintenance, and ongoing enhancements of the handbook.

Stakeholders

Collaboration Discipline and Enforcement Officials
Other Regulator Staff



Inform Chief Executive Officers Group

Risks

1. Relevance of handbook content for regulators due to legislative and procedural considerations.
2. Level of buy-in and adoption by regulators due to legislative and procedural considerations.
3. Potential for significant overlap and redundancies with concurrent aspirational objectives project and regulators' own development of disciplinary rules of procedure.

Consultation Results

- At the October 2016 teleconference of the National Discipline and Enforcement Officials, the idea of developing a national discipline handbook was proposed as one initiative to include on the new work plan.
- Since the handbook's purpose was to collect promising practices and procedures related to discipline activities, the Officials believed it was not a separate initiative from one of the other proposed initiatives intended to develop aspirational objectives to help streamline regulator processes.
- The Officials expected jurisdictional legislative differences to significantly affect the relevancy and usefulness of a national handbook. The Officials discussed creating a national model for rules of procedure in discipline hearings as an alternative, but many regulators did not consider this to be a relevant initiative.
- The Officials concluded that there is no consensus to proceed with a national handbook or model rules of procedure for discipline hearings. Neither initiative was included in the work plan. Instead, they agreed to continue focusing on streamlining current practices to align with the Framework for Regulation elements and on convergence towards national positions for specific enforcement issues, such as increasing awareness and adoption of the Software Engineering White Paper.