



# Professional Conduct Board

## Statement of Operating Procedures

*Document 223050*

### Introduction

1. This statement of operating procedures has been developed and adopted by the Professional Conduct Board (PCB) in accordance with its terms of reference. PCB applies the procedures set out below in carrying out its responsibilities.

### Meetings

2. Meetings of PCB are held as frequently as necessary to discharge its responsibilities, normally four times per year. Additional meetings are called on an ad hoc basis to address any disciplinary issues that may arise.
3. PCB may hold meetings in person or by telephone, videoconference, or similar means in accordance with the Bylaws.
4. The CIA Head Office, in consultation with the chair, will set the agenda for each meeting. The agenda and appropriate meeting materials will be distributed prior to the meeting, in accordance with the PCB members' declared conflicts of interest.
5. Minutes will be prepared after each meeting but will not be published on the CIA website.
6. Meetings of the PCB will be limited in attendance to its members, ex officio members, legal counsel, and to any other person invited by the chair of the PCB.
7. Five members of the Professional Conduct Board, who have not declared themselves to be in a conflict of interest, shall constitute a quorum of the board, except that seven such members shall constitute a quorum for the conduct of a vote to file a charge against a Fellow, Associate or Affiliate.

### Voting

8. Each PCB member, including the chair, has one vote. The chair will normally cast his or her vote last.
9. The affirmative vote of a simple majority of all PCB members present at a PCB meeting, and who have not declared themselves to be in a conflict of interest on a particular matter, is required for all PCB decisions.
10. All votes taken during a meeting of PCB are documented in the minutes. The minutes constitute evidence of the decisions of PCB.
11. Electronic voting will be allowed in accordance with the Bylaws.

## Appointment of members

12. The PCB will consist of at least 10 members, including a chair and vice-chair.
13. The members of PCB are selected to ensure that the PCB has an appropriate balance of competencies and experience to fulfill its responsibilities. PCB maintains within the membership a reasonable balance of geographic and gender representation, as well as professional background within the actuarial profession. The PCB also recruits members (normally two) who are not in the actuarial profession to gain additional points of view. In addition to bringing other points of views, the mandate of non-actuarial members also includes reflecting the perspective of the general public. However, the membership shall consist at least a two-thirds majority of voting members of the CIA.
14. Each member of PCB (other than the chair and vice-chair) is normally expected to serve a term of five consecutive years, except when moving into the role of chair or vice-chair which would be in addition to the term as member. In order to maintain an orderly transition of members, the Actuarial Profession Oversight Board (APOB) may extend the term of a member to up to eight consecutive years.
15. Participation as a member of the PCB does not preclude the member from participating on other volunteer groups, other than those which have specifically excluded PCB members.
16. PCB members who are members of the CIA, will have met the CIA's Continuing Professional Development (CPD) requirements, and should not be exempted from the [CPD Qualification Standard](#).

## Communications

17. The PCB will maintain regular communication with APOB, the CIA Board, legal counsel, and the chair of the Tribunal Panel, as appropriate.
18. The PCB will also maintain regular communications with CIA members through the public release of semi-annual reports with the primary purpose of educating CIA members about the disciplinary process and current disciplinary activities.
19. The PCB will provide APOB with its annual report no later than two months following the end of each year of operation and will provide interim reports to APOB at its meetings as requested.
20. The PCB interacts with the Professionalism and Credential Monitoring Board (PCMB) in accordance with the *Policy on Disclosure of a Criminal Conviction*.

## Operations

21. PCB's operating year ends on December 31 each calendar year.
22. PCB follows the CIA's bilingualism policy.
23. The PCB will work with Head Office to prepare an annual budget of all anticipated expenses related to disciplinary matters, as well as any other proposed PCB activities, which will be reviewed by the CIA Human Resources, Finance Audit and Risk Committee, and approved by the CIA Board.

24. The PCB shall advise APOB as to the human and financial resources needed to accomplish the PCB's activities.
25. The PCB shall follow the process outlined in the *CIA Bylaws* (Section 5) and in the [Policy on the CIA Disciplinary Process](#) in handling all disciplinary matters related to CIA members, as well as members of bilateral organizations.
26. Additional documents that provide detailed information regarding operational procedures related to the work of the PCB are identified or linked below:

Document	Comments
1. Respondent's Handbook	<ul style="list-style-type: none"> <li>• Not published; distributed to respondents, as required</li> </ul>
2. Investigation Team (IT) Training Material	<ul style="list-style-type: none"> <li>• Not published; distributed to IT members, as required</li> </ul>
3. New PCB Member Training Material	<ul style="list-style-type: none"> <li>• Not published; distributed to PCB members, as required</li> </ul>
4. PCB Sub-group Training Material	<ul style="list-style-type: none"> <li>• Not published; distributed to PCB Sub-group members, as required</li> </ul>
5. Head Office Procedure Manual	Not published
6. <a href="#">Rules of Practice and Procedure of a Disciplinary Tribunal</a>	
7. <a href="#">Policy on Disclosure of Criminal Convictions</a>	

## Confidentiality

27. Members of PCB must keep meeting materials and information confidential unless PCB decides to release a particular document or information to the public.

## Relationships with other organizations

28. PCB may choose to establish relationships with any other body having similar oversight responsibility at the national or international level.
29. On issues related to specific disciplinary cases or investigations, relationships with other organizations are normally established through discussions between the chair and the vice-chair of PCB and their counterparts in other organizations. The PCB would partner with the CIA's International Affairs Council (IAC) to establish relationships with other organizations on general or process improvement issues.

## **Self-assessment**

30. PCB carries out an annual self-assessment to identify needed improvements in its operating policies and practices, including reporting to CIA members and the public.

*Approved by PCB February 24, 2023*