



Professional Standards Committee

Purpose of the Committee

Based on authority granted by the Board of Directors through the Bylaws, the Professional Standards Committee is an investigative and disciplinary body that has been charged with investigating and assessing penalties to Members who breach AMBA's Code of Conduct.

Committee Type

Standing Board Committee

Scope

- Review, provide guidance and/or recommend to the Governance Committee for improvement on Code of Conduct policies and practices.
- Investigate allegations of Code of Conduct violations that meet the threshold of moderate or major.
- Provide feedback to the Governance Committee on investigative policies and practices.
- Complete Investigative Reports and submit to the Board of Directors and CEO.
- Provide recommendations to the Board of Directors for remedies/penalties related to cases as necessary.
- Provide feedback to the CEO and/or Board of Directors on practice issues which may require additional education or training for Members.
- Oversee the development of consent agreements in applicable cases.

Membership Structure

A minimum of 5 to a maximum of 7 members comprised of a minimum of 1 Director, 2 non-Director members, and optionally one member of the public. In the event there are insufficient members to form a Hearing Panel Subcommittee, the Committee may have up to a maximum of 9 members. The AMBA CEO is an ex-officio non-voting member.

Subcommittees

Subcommittees may be formed to complete specific tasks/projects as needed.

Key Responsibilities

Subject to the duties and responsibilities of the Board, the Committee has the following responsibilities.

- 1) Annual Code of Conduct Review
 - Provide written recommendations to the Governance Committee including:
 - areas of concern;
 - best practices; and
 - recommended changes.
- 2) Code of Conduct Policy & Practice Review



- Provide written recommendations to the Governance Committee regarding the efficiency, fairness, and effectiveness of AMBA's Code of Conduct Policy & Practice.
- 3) Conduct Investigations
 - Following AMBA's investigative processes, conduct investigations according to established policies and processes.
 - Complete an investigative report for each case.
 - Recommend penalties and/or remedies for each case when applicable.
 - Prepare a consent agreement when applicable.
 - 4) Select Hearing Panel Members
 - While adhering to conflict-of-interest considerations, select the Hearing Panel for each case.
 - 5) Select Appeal Committee Members
 - While adhering to conflict-of-interest considerations, select the Appeal Committee members for cases when required.
 - 6) Assume other related responsibilities as assigned by the Board.

Duties

- 1) Attend scheduled meetings; attend the AGM;
- 2) Be familiar with AMBA's existing governance framework;
- 3) Arrive on time and be prepared to participate;
- 4) Read any material received prior to the meeting, including financial statements;
- 5) Accept your share of delegated work;
- 6) Be ambassadors of AMBA's Code of Conduct;
- 7) Remain impartial and consider all evidence and information fairly

Accountability & Reporting

- The Committee is accountable and reports to the Board of Directors.
- Committee members report to the Chair of the Committee

Meetings

Regular meetings will occur a minimum of 4 times annually. Ad hoc meetings may be called to address a complaint, or a report, as needed.

Membership Criteria

Members must be in good standing. Members who are licensed Mortgage Brokers must not have any pending RECA investigations or have been assessed any RECA penalty within the past 5 years. Any public member may be a member of the real estate industry but must not be directly connected to any mortgage brokerage, or industry partner company. Administrative justice experience is a benefit.

Confidentiality

Matters discussed in the Committee are deemed confidential until a decision has been made or an action item has been approved, at which point it will be communicated via official AMBA channels as appropriate.



Term Limits

A maximum term limit is four consecutive years.

Average Time Commitment

- 8-20 hours per year (meetings only);
- 1-2 hours preparation pre-meeting;
- 6-8 hours of annual administrative justice training;
- Regular meetings are held quarterly; ad hoc meetings will be scheduled as needed.

Voting

Business arising at any meeting of this Committee shall be decided by a majority of votes. No Committee member shall be entitled to vote by proxy. The CEO does not have voting powers.

Quorum

A quorum of the Committee in order to vote on any matter shall consist of more than 50% of the voting membership of the Committee.

Measures of Success

- Clear and transparent Code of Conduct policies and practices;
- Successful completion of administrative justice training annually;
- Documented and easy-to-follow process for all administrative justice issues;
- Successful administration of investigations, hearings, and penalty recommendations.

Benefits

- Job satisfaction through volunteerism;
- Fully informed of ongoing changes to the industry;
- Increased knowledge of non-profit and Association governance practices;
- The opportunity to effect change in the Association through policy recommendations;
- Gain a better understanding of how AMBA operates;
- Enhanced knowledge of the Bylaws, the Code of Conduct, and legislation such as the Real Estate Act;
- Stepping stone to Board of Directors and other industry-related positions available throughout Alberta and Canada;
- Networking and relationship building;

Resources

Resources and support services will be provided through the office of the CEO.

Staff Liaison

Appointed annually.



Shay Robertson – Manager, Education
srobertson@amba.ca