**Professional Practice Management Plan Template**

**Name of Permit Holder (legal or operating)**

**Permit Number**

**Contact Information**

NOTE: APEGA recognizes that not all permit holders are the same. They vary in scope of practice, complexity, and size, and therefore a Professional Practice Management Plan (PPMP) will also vary. However, this template provides the structure for a PPMP regardless of whether it’s for a large multinational organization or a sole practitioner. All sections are mandatory. If a section is not applicable to your organization, you must state this and explain why it is not applicable. You may use this template to create your PPMP, and you must also meet the requirements in the practice standard *Professional Practice Management Plan.* This template does not replace the practice standard.

All practice standards, bulletins, and guidelines referenced in this template can be found on the APEGA website at [apega.ca/practice-standards](https://www.apega.ca/about-apega/publications/standards-guidelines#standards).

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# PPMP Part 1: General Information

## PPMP Declaration

See Section 4.1.1 of the practice standard *Professional Practice Management Plan*.

In this section, the senior officer and at least one Responsible Member acknowledge their roles in developing, reviewing, and implementing the PMPP. The senior officer and at least one Responsible Member must sign a declaration annually.

Example declaration:

As an APEGA permit holder, we understand that we must implement and follow this PPMP, which is specific and appropriate to our professional practice, to comply with Section 48(1)(d) of the *General Regulation*.

I, <insert name>, as the senior officer responsible for our Permit to Practice, acknowledge that I have reviewed version <insert version> of the PPMP and accept responsibility for its contents.

|  |  |  |
| --- | --- | --- |
| Insert Signature |  | Insert Date |
| <Senior Officer Name> |  | <Date Signed> |

I, <insert name>, as a Responsible Member for our Permit to Practice, acknowledge that I have reviewed version <insert version> of the PPMP and confirm it is appropriate to <insert permit holder’s name>’s area of practice.

|  |  |  |
| --- | --- | --- |
| Insert Signature |  | Insert Date |
| <RM Name> |  | <Date Signed> |

## Revision History

See Section 4.1.2 of the practice standard *Professional Practice Management Plan*.

Describe the revision history of your PPMP in this section. Your PPMP must be reviewed annually, and the revision history must include a summary of the most recent update (or indicate that it was reviewed and no updates were necessary). When the PPMP is changed, the changes must be communicated to the affected parties, and the senior officer must keep evidence of this communication (see Section 3.2.2 in the practice standard *Professional Practice Management Plan*).

**REVISION HISTORY**

|  |  |  |
| --- | --- | --- |
| **DATE** | **VERSION** | **REVISION DESCRIPTION** |
|  |  |  |
|  |  |  |

## Permit Holder Information

See Section 4.1.3 of the practice standard *Professional Practice Management Plan*.

This section includes permit holder information in the PPMP.

In this section, the area of practice specific to the permit holder, permit holder’s legal name (or operating name), Permit to Practice number, and contact information must also be included.

## Objective of the PPMP

See Section 4.1.4 of the practice standard *Professional Practice Management Plan*.

This section clarifies and emphasizes the objective of the PPMP and links the practice to APEGA’s Code of Ethics. The objective should be specific to the permit holder’s professional practice.

Example objective:

As an APEGA permit holder, we understand we must implement and follow this PPMP, which is specific and appropriate to our professional practice, to comply with Section 48(1)(d) of the *General Regulation*. We also understand we are bound by the Code of Ethics, described in Schedule 1 of the *General Regulation*. While providing <insert professional services provided>, we acknowledge we are regulated by APEGA and we must comply with APEGA’s practice standards and bulletins and the legislation that governs the work we do.

## Definitions, Acronyms, Abbreviations

See Section 4.1.5 of the practice standard *Professional Practice Management Plan*.

In this section, define all special terms, acronyms, and abbreviations used in your PMPP so users can understand its contents.

If you are not using acronyms, special terms, or abbreviations in your PPMP, insert “section does not apply as we are not using special terms, acronyms, or abbreviations.”

## Supporting Documents

See Section 4.1.6 of the practice standard *Professional Practice Management Plan*.

In this section, list all the documents referenced in the PPMP itself and relevant APEGA practice standards, bulletins, and guidelines. This enables users of the PPMP to access all information referenced throughout the PPMP in one place.

PPMPs often refer to other corporate policies, procedures, or processes. If this is the case, you should also list them all here (for example, if you are using a SharePoint or a database, you could include a clickable list of these documents).

You can find APEGA’s website: [apega.ca/practice-standards](http://www.apega.ca/practice-standards) and list the relevant standards and guidelines. At a minimum, the practice standards must be listed as you will use them to help you create your PPMP.

## PPMP Review Process

See Section 4.1.7 of the practice standard *Professional Practice Management Plan*.

The intention of this section is to ensure permit holders follow an appropriate process for completing a thorough review of the PPMP each year. The review process ensures updates to the PMPP are carefully considered.

In this section, describe your PPMP review process, which must be done at least annually.

For example, you may state:

* who is assigned to create the PPMP update and the timeline to complete the review
* how to submit comments about the PPMP or how changes are considered and approved for inclusion in the PPMP
* who to contact within your organization if you have concerns about the PPMP

For smaller permit holders, this section may be brief. For larger permit holders with many licensed professionals, this section may be more extensive.

# PPMP Part 2: Ethical Practice

## Ethical Practice

See Section 4.2.1 of the practice standard *Professional Practice Management Plan*.

This section ensures all licensed professionals and other contributors to the professions are aware of and comply with the Code of Ethics as defined in the *General Regulation*. At a minimum, this section will refer to the Code of Ethics. If an organization has their own code of ethics, it should be referenced here and it must at least be consistent with APEGA’s Code of Ethics as defined in the *General Regulation*.

Depending on your organization’s size and specific requirements, you may need to refer to or describe policies on, for example, respectful workplaces, harassment and bullying, or conflicts of interest. All organizations should have a statement or policy on whistleblowing.

Consult the practice guideline [*Ethical Practice*](https://www.apega.ca/docs/default-source/pdfs/standards-guidelines/ethical-practice.pdf?sfvrsn=78261e0b_8)for additional information.

# PPMP Part 3: Professional Business Practice

## Quality Management

See Section 4.3.1 of the practice standard *Professional Practice Management Plan*.

This section ensures all licensed professionals and other contributors to the professions are aware of and comply with the permit holder’s quality-management system, including quality control and quality assurance related to the provided professional services.

If the permit holder has existing quality-control or assurance processes, such as other quality-management certification, these processes can be referenced in this section. At the very least, this section must address the requirements in the bullets outlined in the practice standard.

If a permit holder does not have other documentation describing its existing quality-management processes, it must include information in this section on how it addresses each bulleted requirement. The bulleted items are the minimum requirements. Responsible Members are obligated to ensure the quality-management systems described in this section are appropriate to the professional practice.

If other permit holders procure professional services from you, they may ask to see this section or obtain copies of your quality-management processes. This demonstrates their due diligence to comply with the practice standard *Relying on the Work of Others and Outsourcing*.

## Project Execution

See Section 4.3.2 of the practice standard *Professional Practice Management Plan*.

This section ensures engineering and geoscience projects are executed appropriately and with the required due diligence, specifically in terms of the bulleted items listed in the practice standard. During a practice review, APEGA may ask to see how proper execution and due diligence are demonstrated, and it will check that the permit holder’s practice aligns with what is written in its PPMP.

# PPMP Part 4: Authentication and Validation

Permit holders must document authentication and validation processes, and these processes must comply with APEGA’s practice standard [*Authenticating Professional Work Products*](https://www.apega.ca/docs/default-source/pdfs/standards-guidelines/authenticating-professional-work-products.pdf?sfvrsn=5a1b9b57_14)*.* The PPMP must reference or include the documentation outlined in the following sections.

## Authentication and Validation of Professional Work Products

See Section 4.4.1 of the practice standard *Professional Practice Management Plan*.

This section ensures compliance with the practice standard *Authenticating Professional Work Products.* In this section, describe how authentication and validation are performed, including the methods used (physical, digital, or a combination of both).

This section must describe how revisions to previously authenticated professional work products (PWPs) are authenticated. For example, how are changes requested and managed to ensure proper authentication and validation is completed? This section is also connected to the practice standard *Relying on the Work of Others and Outsourcing*, specifically Section 3.2 Relying on Other Work Products.

Sometimes immediate authentication may not be possible, such as during a pandemic or when operations take place outside of normal business hours. In such cases, authentication must be performed as soon as practicable. This section must describe how such situations, if applicable to your organization, would be handled.

If the work you deliver involves multiple disciplines, explain how you ensure the overall system is integrated and who is professionally responsible for each section of work.

If the work is destined to be used outside of Alberta, you must follow the specific requirements of the practice standard *Authenticating Professional Work Products* for such situations. This section should include either a statement that you do not create PWPs for use outside of Alberta or a description of how you manage authentication and validation for PWPs that will be used outside of Alberta.

This section may be related to Section 3.1 Quality Management and Section 3.2 Project Execution (e.g., when performing peer reviews or independent checks before authentication is completed).

## Stamps—Control and Security

See Section 4.4.2 of the practice standard *Professional Practice Management Plan*.

This section reminds all licensed professionals that they are responsible for the security of their physical and electronic stamps.

The Permit to Practice stamp is the permit holder’s responsibility, which ultimately rests with the senior officer. This section must describe how the permit holder secures its Permit to Practice stamps.

This section should also describe the stamp delegation processes used by the permit holder, if applicable.

# PPMP Part 5: Relying on the Work of Others and Outsourcing

See Section 4.5 of the practice standard *Professional Practice Management Plan*.

This section ensures compliance with the practice standard *Relying on the Work of Others and Outsourcing.*

##  Relying on the Work of Others

See Section 4.5.1 of the practice standard *Professional Practice Management Plan*.

There are two methods of authenticating work performed by others. A licensed professional must either provide direct supervision and control or perform a thorough review. The requirements for both methods are in Section 3 of the practice standard [*Relying on the Work of Others and Outsourcing*](https://www.apega.ca/docs/default-source/pdfs/standards-guidelines/relying-on-the-work-of-others-and-outsourcing.pdf?sfvrsn=45759b55_20)*.*

If you do not authenticate the work of others, state this here.

If you do authenticate the work of others, you must describe either how you perform a thorough review or how you meet the requirements for direct supervision and control. The practice standard [*Relying on the Work of Others and Outsourcing*](https://www.apega.ca/docs/default-source/pdfs/standards-guidelines/relying-on-the-work-of-others-and-outsourcing.pdf?sfvrsn=45759b55_20)requires licensed professionals to maintain appropriate documentation of this due diligence (e.g., marked-up plans, calculations, emails). The record-keeping process must also be described in this section of your PPMP.

## Outsourcing to Entities Licensed by APEGA

See Section 4.5.2 of the practice standard *Professional Practice Management Plan*.

If you do not outsource professional work to entities licensed by APEGA, state this fact here.

If you do outsource, you must describe the outsourcing process you use, and you must meet the requirements in Section 4 of the practice standard [*Relying on the Work of Others and Outsourcing*](https://www.apega.ca/docs/default-source/pdfs/standards-guidelines/relying-on-the-work-of-others-and-outsourcing.pdf?sfvrsn=45759b55_20)*.*

The requirements for outsourcing to an entity licensed by APEGA are not as rigorous as those for outsourcing to an entity not licensed by APEGA. However, you must still describe your process and address each requirement listed in the standard [*Relying on the Work of Others and Outsourcing*](https://www.apega.ca/docs/default-source/pdfs/standards-guidelines/relying-on-the-work-of-others-and-outsourcing.pdf?sfvrsn=45759b55_20)*.* Any processes used when outsourcing are to be included in this section.

## Outsourcing to Entities Not Licensed by APEGA

See Section 4.5.3 of the practice standard *Professional Practice Management Plan*.

If you do not outsource professional work to entities not licensed by APEGA, state this fact here.

If you do outsource, you must describe your outsourcing process, and you must meet the requirements in Section 5 of the practice standard [*Relying on the Work of Others and Outsourcing*](https://www.apega.ca/docs/default-source/pdfs/standards-guidelines/relying-on-the-work-of-others-and-outsourcing.pdf?sfvrsn=45759b55_20). Many of the requirements for the outsourcing process as the same as those for outsourcing to an APEGA licensed entity, but there are some key differences and additional due diligence requirements. One key difference is the additional requirement for due diligence in authentication and validation, since all imported PWPs must be authenticated and validated by a licensed professional to be in compliance with the practice standard *Authenticating Professional Work Products.*

In addition, when you outsource to entities not licensed by APEGA, you must create a separate outsourcing plan each time. The requirements for the outsourcing plan are detailed in the practice standard [*Relying on the Work of Others and Outsourcing*](https://www.apega.ca/docs/default-source/pdfs/standards-guidelines/relying-on-the-work-of-others-and-outsourcing.pdf?sfvrsn=45759b55_20)*.*

# PPMP Part 6: Organization and Roles

The permit holder must define clear lines of professional responsibility as outlined in the following sections.

## Use of Title

See Section 4.6.1 of the practice standard *Professional Practice Management Plan*.

In this section, describe how you ensure reserved titles are used correctly in your practice (e.g., in job postings, on websites, on social media, and in email signatures).

## Organizational Structure

See Section 4.6.2 of the practice standard *Professional Practice Management Plan*.

This section ensures your organizational structure is clearly understood by the senior officer, Responsible Members, licensed professionals, and those contributing to the practices. Permit holders must have appropriate oversight by Responsible Members. This section should clearly indicate who the Responsible Members are.

For permit holders who are project-based and have different structures for reporting and technical decision-making, this section should indicate where that information is kept (e.g., in project-specific documentation). During a practice review, APEGA will ask to see it.

The reporting structure, including who is responsible for final decision-making, should be clear. Larger permit holders that have separate organizational structures may refer to the structure here. If the structure contains the information required in Section 6.3 below, then this is sufficient. If it does not, an additional list of each individual contributing to the practices must also be included, as described below.

For smaller permit holders, it may be easier to include the organizational structure and the roles (Section 6.3) in the PPMP itself.

## Roles

See Section 4.6.3 of the practice standard *Professional Practice Management Plan*.

This section ensures your organizational structure includes the required information listed in the practice standard. This information may be in the organizational structure itself or it may be kept as a separate list. It ensures the permit holder is actively involved in ensuring those it employs remain current with requirements to practise.

# PPMP Part 7: Management of Professional Resources

The PPMP must include information that confirms the individuals performing professional work for a permit holder have the necessary qualifications to effectively accomplish their work. It must describe the permit holder’s policies and processes for supporting the management of the professional resources identified in the following sections.

## Recruitment

See Section 4.7.1 of the practice standard *Professional Practice Management Plan*.

This section ensures you require licensure with APEGA when you hire engineers, geoscientists, or members-in-training and you use reserved titles appropriately. As part of self-regulation, you must check the licensure status of candidates and ask if they are in good standing with APEGA before hiring them.

## Continuing Professional Development

See Section 4.7.2 of the practice standard *Professional Practice Management Plan*.

This section ensures the licensed professionals you employ maintain their competence in their area of practice. APEGA recommends that as part of self-regulation, you confirm they are meeting the requirements of the practice standard [*Continuing Professional Development*](https://www.apega.ca/about-apega/publications/standards-guidelineshttps%3A/www.apega.ca/about-apega/publications/standards-guidelines). This section of your PPMP should describe the processes you use to confirm continuing professional development, such as training plans and performance reviews.

## Supervision

See Section 4.7.3 of the practice standard *Professional Practice Management Plan*.

This section ensures all those contributing to the practices of engineering and geoscience are adequately supervised, as they cannot practise unless they are supervised by a licensed professional.

If you do not employ such individuals, state that here. If you do, describe who supervises them while they are practising and how their professional work is supervised. For example, are site visits and meetings during which professional advice is given accompanied by a licensed professional?How is professional work assigned and checked?

All work resulting in a professional work productrequires authentication by a licensed professional. If professional work is performed by someone who is not licensed, they must be under the direct supervision and control of a licensed professional.

# PPMP Part 8: Management of Technical Resources

Professional work must be carried out with appropriate technical resources that are maintained and available to licensed professionals. The PPMP must describe the available technical resources as follows.

## Practice Reference Resources and Aids

See Section 4.8.1 of the practice standard *Professional Practice Management Plan*.

This section ensures licensed professionals have access to current resources and materials. In this section, describe how a licensed professional would find and access such information. For example, this section could contain a link to a server containing the information. This section should also describe how this information is maintained to ensure it is current. Keep in mind that some resources may themselves be PWPs and must be authenticated and validated.

## Information Technology

See Section 4.8.2 of the practice standard *Professional Practice Management Plan*.

This section ensures the confidentiality and integrity of information related to the practices by describing how this information is protected. This section should refer to applicable laws and refer to or include the permit holder’s policies related to information technology.

## Equipment and Tools

See Section 4.8.3 of the practice standard *Professional Practice Management Plan*.

This section ensures the equipment, instruments, hardware, software, firmware, and tools used by the permit holder to create professional services are certified, operated, maintained, and calibrated properly. If applicable, include references to operating procedures, manuals, and methods or schedules of calibration.

# PPMP Part 9: Professional Services Output Management

The PPMP must address appropriate controls for managing professional services outputsand the related responsibilities and authorities of the senior officer, Responsible Members, licensed professionals, and staff.

## Originals and Copies

See Section 4.9.1 of the practice standard *Professional Practice Management Plan*.

This section ensures PWPs and other documents required in the practices of the professions are controlled and in compliance with the practice standard [*Authenticating Professional Work Products*](https://www.apega.ca/docs/default-source/pdfs/standards-guidelines/authenticating-professional-work-products.pdf?sfvrsn=5a1b9b57_14).

## Revision Control and Transmittals

See Section 4.9.2 of the practice standard *Professional Practice Management Plan*.

This section ensures there are processes in place to control revisions and transmittals of professional services outputs. In this section, refer to procedures or describe how the permit holder issues engineering and geoscience outputs and how the revisions are controlled.

## Retention

See Section 4.9.3 of the practice standard *Professional Practice Management Plan*.

This section ensures adequate retention of professional services outputs. This may also include the retention of information used to create the outputs, such as specifications or related contracted information. Include relevant regulations, standards, and codes, and consider the lifespan of PWPs. You must also explain how copies of PWPs are provided to employees or contractors in case of a claim made against them.

## Storage and Disposal

See Section 4.9.4 of the practice standard *Professional Practice Management Plan*.

In this section, describe how professional services outputs are stored and disposed of, including storage format. To protect the integrity of the outputs, permit holders should also describe what protections are in place for storage security. Include relevant regulations, standards, and codes.