



APEGA Practice Standard: Relying on the Work of Others and Outsourcing

This infographic summarizes key aspects of the practice standard Relying on the Work of Others and Outsourcing. For details, please refer to the standard.

Direct Supervision and Control

APEGA licensed professionals must be actively involved and take responsibility in decision-making for all engineering and geoscience professional work products (PWP) produced by persons under their direct supervision and control.



Active involvement means that for all individuals involved in the work you are:

- Directing, monitoring, and controlling the work
- Establishing and documenting scope of work, duties, responsibilities, and authority
- Maintaining regular and ongoing communication
- Identifying and rectifying competency gaps
- Completing periodic reviews to ensure quality control and assurance

Taking responsibility in decision-making means:

- Considering and documenting relevant issues
- Providing direction to make technical changes
- Being available to answer questions, and to review and approve decisions

Thorough Review

APEGA licensed professionals must thoroughly review PWP prepared by others prior to authentication.

Thorough review means:

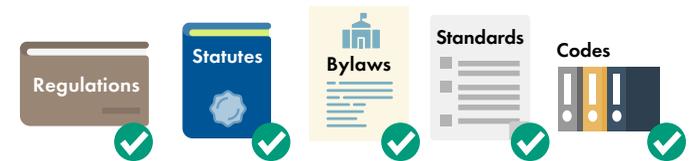
Confirming the reliability, accuracy, and validity of professional work products by reviewing and assessing the adequacy of 10 components.

Verifying compliance with applicable regulatory requirements, statutes, bylaws, standards, and codes.

Ensuring PWP are produced following adequate quality control and assurance processes that are acceptable and suitable for the scope of engineering or geoscience work.



1. Scope
2. Design
3. Assumptions
4. Suitability for intended purpose
5. Health, safety, environment
6. Integration of work products
7. Related tasks (e.g., design calculations)
8. Applicable materials and construction methods
9. Applicable technical tools
10. Inter-disciplinary reviews



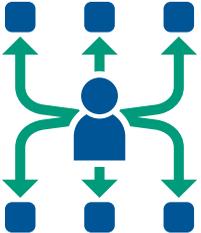


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Outsourcing to an APEGA Licensed Professional or Permit Holder

When outsourcing engineering or geoscience work to an APEGA licensed professional or permit holder not working under the same Permit to Practice, the licensed professional or permit holder must apply the below due-diligence process.

Outsourcing Process Elements

1	Scope of Work	2	Selection Process	3	Compliance Requirements	4	Quality Control and Assurance	5	Management of Change	6	Interface Management
	<p>The outsourcing entity must clearly define the scope of the professional services being outsourced to APEGA licensed entities.</p>		<p>The outsourcing entity must consider:</p> <ul style="list-style-type: none">• Previous experience demonstrating competency in the scope of work• Professional reputation and the outsourced entity's licensure status with APEGA.		<p>All compliance obligations must be communicated and accepted by both the outsourcing entity and the outsourced entity, including:</p> <ul style="list-style-type: none">• Statutes• Regulations• Bylaws• Standards• Codes• Project-specific requirements (e.g., approvals or permits)		<p>The outsourcing entity must confirm that the outsourced entity has documented processes in place that are acceptable and adequate, and that those processes will be followed.</p>		<p>The outsourcing entity must confirm that an acceptable, adequate, and documented management of change process exists, and that it clearly identifies how the outsourced entity will be engaged in making changes.</p>		<p>When multiple outsourced entities are engaged in a project, an acceptable and adequate interface management process must be in place and followed to mitigate risks.</p>

Outsourcing to an Entity not Licensed by APEGA

When outsourcing engineering or geoscience work to an entity not licensed by APEGA, the licensed professional or permit holder must develop and follow an outsourcing plan for each service. Each outsourcing plan must contain seven elements.

Outsourcing Plan Requirements

1

Scope of Work



Must include:

- The required professional services, including all technical and functional requirements
- Scope of work boundaries
- List of the professional work products that will be created
- Work products the outsourced entity will rely on

2

Selection Process



Must consider and accept the outsourced entity's:

- Competency to provide required professional services
- Professional reputation
- Processes for quality control and assurance
- Knowledge of Alberta and Canadian regulations, APEGA standards, and other applicable codes and regulations
- Plan for the procurement, management, and quality control of any further outsourcing

3

Due Dilligence in Authentication and Validation of Professional Work Products



The requirement to authenticate PWP's applies under all circumstances, including when:

1. Expertise is available in-house

Outsourcing entity takes professional responsibility for PWP's created by the outsourced entity using direct supervision and control or a thorough review.

2. Expertise is not available in-house

Three options for the outsourcing entity to provide due diligence:

- Request outsourced entity obtain a Permit to Practice from APEGA
- Outsource authentication and validation to another APEGA licensed entity with the required expertise
- Train a licensed professional working under the outsourcing entity's Permit to Practice



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Outsourcing Plan Requirements

4

Compliance Obligations



Communicate and confirm that the outsourced entity is aware of and meets compliance obligations including:

- Relevant statutes, regulations, bylaws, standards, codes, and APEGA practice standards
- Project-specific requirements
- Local environmental and design conditions and constraints

5

Quality Control and Assurance



Document due diligence undertaken to ensure that PWPs or services procured from the outsourced entity are created following adequate quality control and assurance processes that are acceptable to the outsourcing entity.

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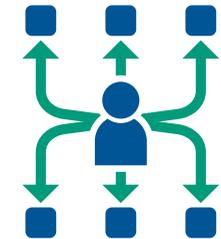
Management of Change Process



Ensure an adequate, acceptable, and documented management of change process related to the scope of work is in place and will be followed.

7

Interface Management Process



When multiple outsourced entities are involved, document and follow an adequate interface management process to mitigate risks.