**Professional Practice Management Plan Sole Practitioner 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 Professional Practice Management Plans (PPMPs) will also vary. This template provides the structure for a PPMP for 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).

Contents

[*1* *PPMP Part 1: General Information* 4](#_Toc138670328)

[1.1 PPMP Declaration 4](#_Toc138670329)

[1.2 Revision History 4](#_Toc138670344)

[1.3 Permit Holder Information 4](#_Toc138670345)

[1.4 Objective of the PPMP 4](#_Toc138670346)

[1.5 Definitions, Acronyms, Abbreviations 5](#_Toc138670347)

[1.6 Supporting Documents 5](#_Toc138670348)

[1.7 PPMP Review Process 5](#_Toc138670350)

[*2* *PPMP Part 2: Ethical Practice* 5](#_Toc138670354)

[2.1 Ethical Practice 5](#_Toc138670355)

[*3* *PPMP Part 3: Professional Business Practice* 5](#_Toc138670358)

[3.1 Quality Management 5](#_Toc138670359)

[3.2 Project Execution 5](#_Toc138670360)

[*4* *PPMP Part 4: Authentication and Validation* 6](#_Toc138670361)

[4.1 Authentication and Validation of Professional Work Products 6](#_Toc138670362)

[4.2 Stamps—Control and Security 6](#_Toc138670367)

[*5* *PPMP Part 5: Relying on the Work of Others and Outsourcing* 6](#_Toc138670369)

[5.1 Relying on the Work of Others 6](#_Toc138670370)

[5.2 Outsourcing to Entities Licensed by APEGA 6](#_Toc138670374)

[5.3 Outsourcing to Entities Not Licensed by APEGA 7](#_Toc138670376)

[*6* *PPMP Part 6: Organization and Roles* 7](#_Toc138670377)

[6.1 Use of Title 7](#_Toc138670379)

[6.2 Organizational Structure 7](#_Toc138670380)

[6.3 Roles 7](#_Toc138670381)

[*7* *PPMP Part 7: Management of Professional Resources* 8](#_Toc138670382)

[7.1 Recruitment 8](#_Toc138670384)

[7.2 Continuing Professional Development 8](#_Toc138670385)

[7.3 Supervision 8](#_Toc138670386)

[*8* *PPMP Part 8: Management of Technical Resources* 8](#_Toc138670388)

[8.1 Practice Reference Resources and Aids 8](#_Toc138670389)

[8.2 Information Technology 8](#_Toc138670390)

[8.3 Equipment and Tools 8](#_Toc138670391)

[*9* *PPMP Part 9: Professional Services Output Management* 9](#_Toc138670392)

[9.1 Originals and Copies 9](#_Toc138670394)

[9.2 Revision Control and Transmittals 9](#_Toc138670395)

[9.3 Retention 9](#_Toc138670396)

[9.4 Storage and Disposal 9](#_Toc138670397)

# PPMP Part 1: General Information

## PPMP Declaration

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

As the senior officer and Responsible Member, you must acknowledge your role in developing, reviewing, and implementing the PPMP and you must sign a permit declaration annually.

Example declaration:

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

I, <insert name>, as the senior officer and Responsible Member 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 and Responsible Member Name> |  | <Date Signed> |

## Revision History

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

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).

**REVISION HISTORY**

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

## Permit Holder Information

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

Detail the permit holder’s area of practice, legal name or operating name, Permit to Practice number, and contact information.

## Objective of the PPMP

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

State the objective of the PPMP, which should be specific to the permit holder’s professional practice.

Example objective:

This PPMP provides the framework, business practices, and processes that shall be followed for engineering and geoscience work conducted under Permit to Practice #XXXX.

## Definitions, Acronyms, Abbreviations

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

Define special terms, acronyms, and abbreviations used in your PPMP so users can understand its contents (e.g., a client you have provided your PPMP to, or APEGA during a Corporate Practice review).

If you are not using special terms, acronyms, 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*.

List all documents referenced in the PPMP and relevant APEGA practice standards, bulletins, and guidelines.

## PPMP Review Process

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

Describe your annual PPMP review process. For example, you may state who is assigned to create the PPMP update and the timeline for review (e.g., some sole practitioners contract out the creation of their PPMP). Because you are a sole practitioner, this section may be brief.

# PPMP Part 2: Ethical Practice

## Ethical Practice

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

Refer to the Code of Ethics and any additional ethical framework adopted by the company, such as the corporate code of conduct or business-specific policies.

# PPMP Part 3: Professional Business Practice

## Quality Management

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

Describe your quality-control or assurance processes or practices, which must meet the bulleted requirements outlined in the practice standard.

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

During a practice review, APEGA may ask to see how execution and due diligence are demonstrated, and will check that the permit holder’s practice aligns with what is written in this 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)*.*

## Authentication and Validation of Professional Work Products

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

Describe how authentication and validation are performed, including information on:

* methods used (physical, digital, or a combination of both).
* how revisions to previously authenticated professional work products (PWPs) are authenticated.
* PWPs produced in partnership with other permit holders, if applicable.
* PWPs to be exported outside Alberta, if applicable.

## Stamps—Control and Security

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

The Permit to Practice stamp is the permit holder’s responsibility, which rests with the senior officer. You describe how the permit holder secures its licensed professional and Permit to Practice stamps.

# 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*.

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

If you 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 be described or referenced 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 here.

If you outsource professional work, 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)*.*

## 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 here.

If you outsource professional work to entities not licensed by APEGA (such as out of province engineers or non-APEGA professionals), 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).

The following are key diligence requirements:

* The *Authenticating Professional Work Products* practice standard requires thatall imported PWPs must be authenticated and validated by an APEGA licensed professional.
* When outsourcing to entities not licensed by APEGA, you must create a separate outsourcing plan each time, as required 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

## Use of Title

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

Describe how you ensure reserved titles are used correctly in your practice (e.g., if an engineer-in-training or geoscientist-in-training works for the sole practitioner).

## Organizational Structure

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

Describe the corporate organization. For example:

* The sole practitioner is the sole APEGA licensed professional.
* The sole practitioner works collaboratively with a network of other small permit holders who contribute to technical work.
* The sole practitioner employs a team of non-licensed technical staff.

If an organizational chart exists, it may also be included.

## Roles

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

Outline the roles of the sole practitioner related to the Permit to Practice. If roles are delegated to others, clarify those roles.

# PPMP Part 7: Management of Professional Resources

## Recruitment

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

If the sole practitioner hires engineers, geoscientists, or members-in-training, describe the practices used to check the licensure status of candidates and verify good standing with APEGA. Otherwise, state that this section does not apply because the permit holder does not hire APEGA registrants.

## Continuing Professional Development

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

Describe the sole practitioner’s plan for maintaining their continuing professional development obligations.

## Supervision

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

If professional engineering or geoscience work is performed by someone who is not licensed, they must be under the direct supervision and control of a licensed professional.

If you do not employ such individuals, state that here. If you do, describe how their professional work is supervised. For example, how is professional work assigned and checked?

# PPMP Part 8: Management of Technical Resources

Professional work must be carried out with appropriate technical resources that are maintained and available. The PPMP must describe the available technical resources as outlined in the next three sections.

## Practice Reference Resources and Aids

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

Document the current resources and materials used in your professional practice.

## Information Technology

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

Describe how the corporate confidentiality and integrity of information, such as permit holder information, are protected (e.g., through technology policies and data backup procedures).

## Equipment and Tools

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

Describe how 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

## Originals and Copies

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

Describe how originals and copies of PWPs and other documents are circulated and controlled.

## Revision Control and Transmittals

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

Describe the permit holder’s practices for issuing and controlling revisions and transmittals of professional services outputs.

## Retention

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

Describe the permit holder’s practices related to the retention of professional services outputs. If applicable, this section should include:

* the information and data used to create the outputs, such as specifications or related contracted information.
* relevant regulations, standards, and codes.
* the lifespan of PWPs.
* 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*.

Describe how professional services outputs are stored and disposed of, including storage format and security.