

PROFESSIONAL PRACTICE MANAGEMENT PLAN GUIDELINES

Introduction

The following guidelines have been developed to assist ASET permit holders with preparation of a Professional Practice Management Plan (PPMP) and are based on the *Guidelines for Professional Practice Management Plans* published by APEGA. All permit holders must submit a PPMP at the time of permit application. The PPMP will also be reviewed by the ASET/APEGA Joint Practice Review Board should the permit holder be selected as part of the annual practice review process.

Management, Organization, and Responsibilities

The PPMP should outline the overall policy, scope, applicability, and management responsibilities of the permit holder's professional practice management process and include the following:

- A statement of the permit holder's policy on professional practice management, including the importance of professional practice management procedures to the organization and why;
- Identification of the COO or authorized designate who is responsible for the permit and a discussion of the authorities of the organization's responsible members;
- An organizational structure including lines of authority and communication and alternative organizational arrangements established for special projects; and
- Lines of technical responsibility from COO and/or Responsible Member down through the organization.

Scope of Practice

The PPMP should include the permit holder's defined scope of practice and the scopes of practice of any other Professional Technologists employed by the permit holder.

Ethical Standards

The PPMP should describe how the organization creates an environment that ensures the standards of professional conduct and technical competency are maintained and that supports professional employees in discharging their legal and ethical duties under the *Engineering and Geoscience Professions Act* and Professional Technologists Regulation.

The PPMP should include a written statement committing the permit holder to the standards of professional conduct prescribed in ASET's Code of Ethics (aset.ab.ca).

Professional Resources and Responsibilities

The PPMP should include documented procedures and policies for the following:

- Hiring practices;
- Inventory of expertise/competencies available to conduct the work of the organization and provision of supervision, where required;
- Job descriptions, including areas of special expertise and registration requirements for individuals engaging in the practice of engineering or geoscience;
- Assuring the qualifications of technical and other staff support;

- Review and authentication of work; and
- Methods of assessing and reviewing employees' skills including:
 - An annual review of Continuing Professional Development submissions and/or formal performance reviews; and
 - Training plans for professionals (professional development plans) to maintain and develop competencies including formal and informal training, direct supervision, ongoing communications in work procedures, policies, standards, and specifications.

Technical Facilities and Resources

The PPMP should generally describe how the permit holder maintains, communicates and makes technical facilities and resources available to professional members including:

- Reference materials (e.g., relevant current codes and standards, technical journals, operating manuals);
- Standard company contract forms and general conditions of contracts, subject to professional and legal reviews on a regular basis;
- Information technology policy;
- Computer hardware and software with adequate number of licenses; and
- Necessary laboratory testing equipment.

Quality Control

Professional Business Practices:

- Ensure the PPMP describes the following:
 - Corporate strategy (objectives, purposes, goals, internal/external clients, and major policies stated so as to define the business of the permit holder);
 - Policies and procedures on handling confidential materials;
 - Policies and procedures on dispute/conflict resolution between professionals and with clients;
 - Policies on advertising and corporate promotion;
 - Policies on handling intellectual property;
 - Policies/guidelines on conflict of interest, including the handling of obligating gratuities;
 - Methods of negotiating and contracting professional services, including sample contracts;
 - Methods of coordination of multi-disciplinary teams and teamwork; and
 - Description of resident Loss Control and Risk Management programs or formal quality management plan (e.g., ISO 9001, 12001).

Technical Work

- Ensure the PPMP describes the following:
 - How the permit holder documents due diligence requirements for relying on work by others;
 - How the permit holder provides training in and use of all applicable codes, standards, regulations, and other relevant documents and techniques;
 - How the permit holder defines the methods of documenting assumptions, reviewing the operation and limitations of computer programs, verifying the results obtained from computer software, and training for users of equipment and software; and
 - How the permit holder outline the procedures for independent checks and documentation of concepts, processes, and procedures.

Project Management

- Ensure the PPMP describes the following:
 - How the permit holder documents the procedures for preparing cost estimates and tracking expenditure commitments;
 - What project management systems are in place and how they define the following:
 - Organizational structure, lines of communication, project scope and quality management systems, deliverables, and provision of professional expertise;
 - Development of work plan, budget, and schedules;
 - Implementation of the assignment;
 - Documentation and distribution of change orders and modifications to contracts; and
 - Project close-out.
 - The documented procedures for handling change requests, change orders, progress payment processing, shop drawing reviews, and other documentation; and
 - The documented procedures for assignment of personnel conducting field reviews of projects during construction (subject to scope of services agreed to with client).

Outsourced Professional Work

- Ensure the permit holder's PPMP includes a section that addresses procedures for quality assurance and control of outsourced professional work, if applicable.

Professional Documents and Records

Ensure the permit holder's PPMP addresses controls for the development and handling of documents of a professional nature, including procedures, roles, and responsibilities for the following:

- Identifying the organization's professional documents requiring controls (printed and electronic), such as contracts, investigations, reports, designs and design changes, recommendations, field reviews, and certifications;
- Preparing, reviewing, approving, issuing, using, and revising documents and records;
- Determining responsibility for authentication (sealing, signing, and dating) professional documents;
- Managing and maintaining documents and records including, transmittal, retention (including retention times), access, protection (from loss, damage, and deterioration), retrieval, and disposal;
- Ensuring compliance with applicable regulatory codes, standards, etc.; and
- Recording communications.