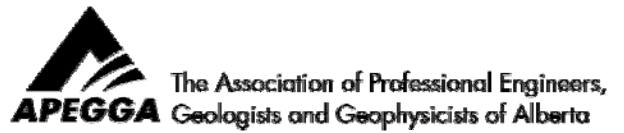


# Responsible Member Declaration



I, \_\_\_\_\_, \_\_\_\_\_, APEGGA Member \_\_\_\_\_,  
(Legal Name) (Prof. Designation) (Member Number)

occupy the position of \_\_\_\_\_ at \_\_\_\_\_, \_\_\_\_\_,  
(Job Title) (Legal Name of Organization) Permit Number

declare that I am a professional member or licensee of APEGGA, and work as a (select one):

- Full-Time Employee
- Part-Time Employee, working \_\_\_\_\_ hours per \_\_\_\_\_
- Owner of the firm
- Partner in the firm
- Officer of the firm, serving as \_\_\_\_\_
- Contract Employee (please complete attached Contract RM questionnaire)

and as such undertake to provide responsible direction and personal supervision to that portion of the applicant's professional practice performed by the organizational unit described below.

\_\_\_\_\_  
*(Describe what aspect(s) of professional practice you are taking responsibility for)*

I have read the relevant sections of The Engineering, Geological and Geophysical Professions Act and the Regulations reproduced on the reverse side hereof and I agree to conduct the professional practice for which I have assumed responsibility in strict accordance with the requirements of relevant legislation and regulations.

I understand that to be eligible to assume and maintain this responsibility that I must declare myself to be Practicing for the purposes of APEGGA's Continuing Professional Development program.

I undertake to attend a Permit to Practice Seminar within six months of first becoming a Responsible Member, and to attend the seminar at least once every five years thereafter while I remain a Responsible Member.

I further specifically undertake to notify the Registrar of APEGGA in writing if I cease to accept the responsibility indicated below and advise reasons for relinquishing that responsibility.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date



\*Reference in the Act on a full time employee or member of the firm is interpreted to mean that the relationship between the APEGGA member and the firm is an ongoing and continuous one as distinguished from one that does not have the depth or responsibility normally associated with a full time employee relationship.

# REGULATIONS

## PART 7 REGISTRATION OF PERMIT HOLDERS

**48(1)** The Council may issue to a partnership, corporation or other entity a permit to practice engineering, geology or geophysics in its own name if

- (a) an application is made to the Registrar in the form and containing the information required by the Council,
- (b) the application is accompanied with the fees prescribed by the Council, and
- (c) the Council is satisfied that the practice will be carried on under the direct personal supervision and responsibility of a full-time permanent employee or member of the partnership, corporation or other entity who is also a professional member or licensee and who is qualified by education and experience in the field of engineering, geology or geophysics in which the partnership, corporation or other entity intends to engage.
- (d) The professional member or licensee certifies to the satisfaction of the Council that the partnership, corporation or other entity has in place and will follow a professional; management plan that is appropriate to its professional practice.

(2) A permit expires one year after the date on which it is issued.

(3) When the Council issues a permit, it shall provide the permit holder with a permit number.

(4) No person shall use a permit number where the permit to which the number is assigned has been cancelled or suspended.

**48.1** A professional member or licensee who accepts responsibility under section 48(1)(c) shall every 5 years attend a permit to practice seminar acceptable to the Council.

**49** When the practice of engineering, geology or geophysics is carried on by a partnership, corporation or other entity pursuant to a permit under section 48, all final plans, specifications, reports or documents of a professional nature must

(a) be signed by and be stamped or sealed with the stamp or seal of

- (i) the professional member or licensee who prepared them or under whose supervision and control they were prepared, or
- (ii) in the case of plans, specifications, reports or documents that were prepared by other persons, the professional member or licensee who thoroughly reviewed and accepted professional responsibility for them,

and

(b) show the permit number issued to the partnership, corporation or other entity under section 48.

**50(1)** A partnership, corporation or other entity practising pursuant to a permit under section 48 shall keep the Association advised of the name of the professional member or licensee referred to in that section.

(2) The professional member or licensee referred to in section 48 shall forthwith advise the Registrar if the professional member or licensee

- (a) ceases to be person accepting responsibility under that section, or
- (b) is no longer able to provide the certification referred to in section 48(1)(d)

**51** The Council may revoke a permit issued under section 48 if the permit holder contravenes the Act, this Regulation or a term or condition of the permit.

**52** No partnership, corporation or other entity may be incorporated or registered in the Province of Alberta under a name including the words "Engineering", "Geology" or "Geophysics", or variations of those words, unless it holds and continues to hold a valid permit issued under section 48.

**53** The permit number issued to a permit holder may only be used by the professional members or licensees referred to in section 48(1)(c).

**53.1** The Council may, subject to any terms and conditions it considers appropriate, waive compliance with the requirements of sections 48(1)(d) and 48.1

# Contract RM Questionnaire

The Engineering, Geological and Geophysical Professions Act requires that a firm engaging in the practice(s) of engineering, geology, and/or geophysics in the Province of Alberta obtain a Permit to Practice and ensure that the practice is conducted under the direct personal supervision and control of a professional member of APEGGA who is also a full-time employee or member of the firm - the Responsible Member(s). Often, however, there may be valid reasons for persons who are classified as contract employees to serve in this role. APEGGA permits contract employees to serve as Responsible Members for a Permit to Practice, provided that the depth of the relationship is such that it is similar to that of a full-time employee.

To ensure that the contract professional has sufficient influence and control over the practice of the profession within the firm to carry out the duties of a Responsible member, APEGGA has determined that the contract must have characteristics and contain certain elements. **Please check off all that apply to your contract:**

- The contract between the firm and the Professional is in writing.
- The contract clearly states that the Professional is in a position to examine all the work being done within the firm and determine what constitutes the practice of the profession and what does not.
- The contract clearly states that the Professional has the authority to establish policies and procedures for the practice of the profession within the firm.
- The contract clearly states that the Professional has the authority to audit the records of the work being done in the firm to ensure that the established policies and procedures are being adhered to.
- The contract clearly states that the Professional has the authority to thoroughly review the professional work done within the firm to ensure that he or she is satisfied and can take professional responsibility for the work.
- The contract clearly defines the frequency and method(s) by which Professional is in contact with the firm.

Please describe the Professional's working interaction with the firm (minimum number of hours per week, frequency of being on-site at the firm, alternative forms of supervision and control, etc.) and any other details you feel are relevant.

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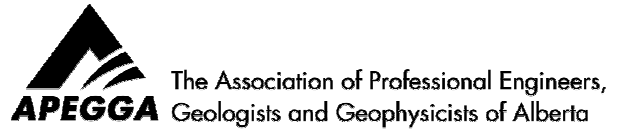
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I hereby certify the above statements are true.

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(Signature of Responsible Member) (Date)

# Questionnaire for Responsible Members of Multiple Firms



The Engineering, Geological and Geophysical Professions Act requires that a firm engaging in the practice(s) of engineering, geology, and/or geophysics in the Province of Alberta obtain a Permit to Practice and ensure that the practice is conducted under the direct personal supervision and control of a professional member of APEGGA who is also a full-time employee or member of the firm - the Responsible Member(s). This generally means that a Professional would serve as a Responsible Member for only one company at any given time. Often, however, there may be valid reasons for a professional to serve as the Responsible Member for more than one company. This is permitted, provided APEGGA is assured that the Professional is positioned appropriately in each company to directly and personally supervise and control the work he or she is taking responsibility for.

To ensure that the contract professional has sufficient influence and control over the practice of the profession within the firms to carry out the duties of a Responsible Member, APEGGA requires answers to the following questions:

1. Please provide a description of your relationship with each of these companies, together with a description of your job duties and responsibilities with respect to each of the companies.

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2. Please describe the relationship of the companies to each other.

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3. Please provide an indication of how your time is divided between the companies.

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4. Please provide an indication of whether the companies share common office space, employees and the like.

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5. Please provide a description of how you feel you can adequately supervise and direct the Professional Practice for all the companies.

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6. Please provide any additional information you feel may be relevant.

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I hereby certify the above statements are true.

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*(Signature of Responsible Member)*

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*(Date)*



## CHANGE OF CHIEF OPERATING OFFICER Declaration by Chief Operating Officer or His Authorized Designate for Existing Permit Holder

Permit Holder: \_\_\_\_\_ (Permit No.) \_\_\_\_\_  
(Company Name)

I \_\_\_\_\_ Member No. (if applicable) \_\_\_\_\_ occupy the  
position of \_\_\_\_\_ in the applicant's organization and in that position have  
authority and undertake to maintain an organization in which the practice of the professions indicated  
above can be conducted in accordance with requirements described in The Engineering, Geological and  
Geophysical Professions Act with specific reference to Parts 1 & 4 of the Act and Part 7 of the  
Regulations.

I further undertake:

- (a) To notify the Registrar in writing forthwith if the APEGGA member(s) who has assumed responsibility for the professional practice ceases to be a full time employee, member of the firm or in any other way no longer meets the criteria to assume professional responsibility.
- (b) To report on an annual basis the names of:
  - (i) The Chief Operating Officer or his designate taking corporate responsibility for the Permit Holder.
  - (ii) The APEGGA member(s) assuming responsibility for direction of the professional practice of the Permit Holder.
- (c) To ensure that the partnership, corporation, or other entity has in place and will follow a professional practice management plan that is appropriate to its professional practice.
- (d) If the Permit to Practice is cancelled for any reason or in circumstances where there are not members or licensees of APEGGA assuming responsibility for the professional practice of the Permit Holder, I undertake:
  - (i) To surrender forthwith all permit stamps and certificates to the Registrar
  - (ii) To remove the words "Engineering", "Geology", or "Geophysics", or variations thereof, from the company name, OR deregister the Permit Holder entity at the Corporate of Central Registry of the Province of Alberta, if applicable.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)



## REQUEST FOR ANNUAL PERMIT DUES REDUCTION

### Declaration by Chief Operating Officer or his Authorized Designate for Existing Permit Holder

Permit Holder: \_\_\_\_\_ (Permit No.) \_\_\_\_\_  
(Company Name)

I, \_\_\_\_\_ occupy the position of \_\_\_\_\_ in the Permit Holder firm. In that position I have authority and undertake to maintain an organization in which the practice of the profession (s) for which the above Permit Holder is authorized to practice, can be conducted in accordance with The Engineering, Geological and Geophysical Professions Act and Regulations.

I hereby apply for a 50% reduction of the annual permit dues payable by the Permit Holder for the invoiced billing year and declare:

- The Permit Holder has only one Professional Engineer, Professional Geologist, Professional Geophysicist or Registered Professional Technologist as a full time employee or member of the firm, and
- The gross revenues of the firm did not exceed \$250,000.00 in the last 12 months.

I declare the above statements to be true, complete and accurate to the best of my knowledge and have enclosed a payment of 50% of the Permit to Practice dues.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)