

**ACTION PLAN - YEAR 2 PROGRESS UPDATE**  
**LICENSED PROFESSIONAL PLANNERS ASSOCIATION OF NOVA SCOTIA**

As per the following Year 2 Progress report, [Year 1 Progress report](#), and FRPA Review Officer comments:  
 All areas of non-compliance, as originally identified in the [November 2021 FRPA review report](#), have now been brought into compliance.

**ACTION PLAN TIMELINES:**

TIMELINES FOR ACTION PLAN PROGRESS UPDATES					
Due Date	Action Plan Deadline	Action Plan Progress Update 1	Action Plan Progress Update 2		
Due Date	2021-11-03	2022-11-18	2023-11-18		
Actual Completed Date	2021-10-20	2022-11-18	2023-11-09		

**ACTION PLAN:**

ACTION PLAN – AREA #7:	Response to FRPA Review Question #11:
<b>FRPA SECTIONS:</b>	<b>Sections 7(a), 10(1)</b>
<b>AREAS OF NON-COMPLIANCE TO BE ADDRESSED:</b>	Areas of non-compliance to be addressed in an action plan are as follows: <ul style="list-style-type: none"> <li>- Ensure that a process is in place for an internal review of the LPPANS registration decision</li> <li>- Communicate information about the internal review process on a publicly accessible LPPANS site</li> <li>- Document how and when applicants who have not been granted registration are informed about the internal review process</li> <li>- Document how an applicant who has not been granted registration can initiate an internal review of the registration decision</li> </ul>
<b>REGULATOR ACTION PLAN:</b>	LPPANS proposes the following remedies in its Action Plan: <ul style="list-style-type: none"> <li>- Develop and put in place a process for an internal review of any LPPANS registration decision;</li> <li>- Communicate information about the internal review process on the LPPANS publicly facing website;</li> <li>- Document how and when applicants who have not been granted registration are informed about the internal review process; and</li> <li>- Document how an applicant who has not been granted registration can initiate an internal review of the registration decision</li> </ul>
<b>INTENDED COMPLETION DATE:</b>	November 1, 2022
<b>Year 1: Action Plan update. Due: 2022-11-18</b>	In progress. Best practice and examples of processes from other similar organizations are being reviewed. Work, as noted above, to change processes with our third party assessor is underway. The anticipated completion date is Q1 2023.
<b>FRPA Review Officer Comments – Nov 21, 2022</b>	As noted by the regulating body, this area is a work in progress. Therefore, a Year 2 progress report will be required. Compliance is expected to be achieved by that time.
<b>Year 1: Action Plan update. Due: 2023-11-18</b>	Policy and process has been developed and adopted by the Board and was posted here: <a href="https://lppans.ca/applicants/applicants_policies/">https://lppans.ca/applicants/applicants_policies/</a> Applicants who have not been granted registration will be informed in writing of the decision and of their opportunity to appeal/request a review. Information on how an applicant can initiate a review is included in the above link.
<b>FRPA Review Officer Comments</b>	<b>Compliance with the above cited FRPA Sections could be determined from the information provided above and from information found on LPPANS’s website (<a href="https://lppans.ca/">https://lppans.ca/</a>) on November 17, 2023.</b>

ACTION PLAN – AREA #8:	Response to FRPA Review Question #12:
<b>FRPA SECTIONS:</b>	<b>Sections 10(1), (2), (4) and 16(3)(m)</b>
<b>AREAS OF NON-COMPLIANCE TO BE ADDRESSED:</b>	Areas of non-compliance to be addressed in an action plan are as follows: <ul style="list-style-type: none"> <li>- document a detailed LPPANS internal review policy/process that includes the following:                             <ul style="list-style-type: none"> <li>o procedures - how the internal review process works</li> <li>o opportunities the applicant has to provide new information and to make submissions in support of their internal review (documented evidence, hearing, etc.)</li> <li>o timeframes associated with the process</li> </ul> </li> </ul>

<b>REGULATOR ACTION PLAN:</b>	LPPANS proposes, as part of its Action Plan, to document a detailed internal review policy/process that includes the following: <ul style="list-style-type: none"> <li>- procedures – how the internal review process works;</li> <li>- opportunities the applicant has to provide new information and to make submissions in support of their internal review (documented evidence, hearing, etc.); and</li> <li>- timeframes associated with the process.</li> </ul>
<b>INTENDED COMPLETION DATE:</b>	November 1, 2022
<b>Year 1: Action Plan update. Due: 2022-11-18</b>	In progress. Best practice and examples of processes from other similar organizations are being reviewed. Work, as noted above, to change processes with our third party assessor is underway. The anticipated completion date is Q1 2023.
<b>FRPA Review Officer Comments – Nov 21, 2022</b>	As noted by the regulating body, this area is a work in progress. Therefore, a Year 2 progress report will be required. Compliance is expected to be achieved by that time.
<b>Year 1: Action Plan update. Due: 2023-11-18</b>	The link above documents the internal review policy/process. The link above indicates when the applicant has an opportunity to provide new information and make submissions. Timeframes are associated with the process.
<b>FRPA Review Officer Comments</b>	<b>Compliance with the above cited FRPA Sections could be determined from the information provided above and from information found on LPPANS’s website (<a href="https://lppans.ca/">https://lppans.ca/</a>) on November 17, 2023.</b>

<b>ACTION PLAN – AREA #9:</b>	<b>Response to FRPA Review Question #13:</b>
<b>FRPA SECTIONS:</b>	<b>Sections 10(5) and 16(3)(n)</b>
<b>AREAS OF NON-COMPLIANCE TO BE ADDRESSED:</b>	Areas of non-compliance to be addressed in an action plan are as follows: <ul style="list-style-type: none"> <li>- ensure that the LPPANS internal review decision-makers are different from the original decision-makers</li> <li>- document the process that is used to ensure that no one who acted as a decision-maker in a registration decision may act as a decision-maker in an internal review of the same decision</li> <li>- Include in the description of the internal review process a statement to the effect that no one who acted as a decision maker in a registration decision may act as a decision maker in an internal review of the same decision</li> </ul>
<b>REGULATOR ACTION PLAN:</b>	LPPANS proposes, as part of its Action Plan, the following remedies: <ul style="list-style-type: none"> <li>- Ensure that the LPPANS internal review decision-makers are different from the original decision-makers;</li> <li>- Document the process that is used to ensure that no one who acted as a decision-maker in a registration decision may act as a decision-maker in an internal review of the same decision;</li> <li>- Include in the description of the internal review process a statement to the effect that no one who acted as a decision-maker in a registration decision may act as a decision-maker in an internal review of the same decision</li> </ul>
<b>INTENDED COMPLETION DATE:</b>	November 1, 2022
<b>Year 1: Action Plan update. Due: 2022-11-18</b>	In progress. Best practice and examples of processes from other similar organizations are being reviewed. Work, as noted above, to change processes with our third-party assessor is underway. The anticipated completion date is Q1 2023.
<b>FRPA Review Officer Comments – Nov 21, 2022</b>	As noted by the regulating body, this area is a work in progress. Therefore, a Year 2 progress report will be required. Compliance is expected to be achieved by that time.
<b>Year 1: Action Plan update. Due: 2023-11-18</b>	<ul style="list-style-type: none"> <li>- The link above documents how members of the Registration Appeal Committee are selected to ensure they are different from the original decision makers.</li> <li>- Statement is included in the linked document.</li> </ul>
<b>FRPA Review Officer Comments</b>	<b>Compliance with the above cited FRPA Sections could be determined from the information provided above and from information found on LPPANS’s website (<a href="https://lppans.ca/">https://lppans.ca/</a>) on November 17, 2023.</b>

<b>ACTION PLAN – AREA #10:</b>	<b>Response to FRPA Review Question #14:</b>
<b>FRPA SECTIONS:</b>	<b>Sections 11, 16(3)(p)</b>
<b>AREAS OF NON-COMPLIANCE TO BE ADDRESSED:</b>	Areas of non-compliance to be addressed in an action plan are as follows: <ul style="list-style-type: none"> <li>- ensure that individuals acting as decision-makers in LPPANS internal reviews receive training on conducting an internal review.</li> <li>- develop a plan and document training provided to individuals who make internal review decisions</li> </ul>
<b>REGULATOR ACTION PLAN:</b>	LPPANS proposes, as part of its Action Plan, the following remedies: <ul style="list-style-type: none"> <li>- ensure that individuals acting as decision-makers in LPPANS internal reviews receive training on conducting an internal review; and</li> <li>- develop a plan and document training provided to individuals who make internal review decisions.</li> </ul>
<b>INTENDED COMPLETION DATE:</b>	November 1, 2023
<b>Year 1: Action Plan update. Due: 2022-11-18</b>	In progress. Best practice and examples of processes from other similar organizations are being reviewed.
<b>FRPA Review Officer Comments – Nov 21, 2022</b>	As noted by the regulating body, this area is a work in progress. Therefore, a Year 2 progress report will be required. Compliance is expected to be achieved by that time.
<b>Year 1: Action Plan update. Due: 2023-11-18</b>	LPPANS has developed a series of reference materials/reading list that those involved in internal reviews are required to read. The training will be reviewed yearly. LPPANS has developed a form that those involved in internal reviews are required to sign indicating that they have reviewed the materials as required.
<b>FRPA Review Officer Comments</b>	<b>Compliance with the above cited FRPA Sections was determined based on the information provided above.</b>

<b>ACTION PLAN – AREA #11:</b>	<b>Response to FRPA Review Question #15:</b>
<b>FRPA SECTIONS:</b>	<b>Sections 10(3)</b>
<b>AREAS OF NON-COMPLIANCE TO BE ADDRESSED:</b>	Areas of non-compliance to be addressed in an action plan are as follows: <ul style="list-style-type: none"> <li>- document the process used by LPPANS internal review decision makers to communicate internal review decisions that includes the following: <ul style="list-style-type: none"> <li>o timeframe for decision-making</li> <li>o all decisions are provided in writing</li> <li>o reasons for the internal review decision.</li> </ul> </li> </ul>
<b>REGULATOR ACTION PLAN:</b>	LPPANS proposes, as part of its Action Plan, to document the process used by LPPANS internal decision makers to communicate internal review decisions that includes the following: <ul style="list-style-type: none"> <li>- timeframe for decision-making;</li> <li>- all decisions are provided in writing;</li> <li>- reasons for the internal review decision.</li> </ul>
<b>INTENDED COMPLETION DATE:</b>	November 1, 2022
<b>Year 1: Action Plan update. Due: 2022-11-18</b>	Best practice and examples of processes from other similar organizations are being reviewed. Work, as noted above, to change processes with our third-party assessor is underway. The anticipated completion date is Q1 2023,
<b>FRPA Review Officer Comments – Nov 21, 2022</b>	As noted by the regulating body, this area is a work in progress. Therefore, a Year 2 progress report will be required. Compliance is expected to be achieved by that time.
<b>Year 1: Action Plan update. Due: 2023-11-18</b>	Included in the policy document.
<b>FRPA Review Officer Comments</b>	<b>Compliance with the above cited FRPA Sections could be determined from the information provided above and from information found on LPPANS’s website (<a href="https://lppans.ca/">https://lppans.ca/</a>) on November 17, 2023.</b>



SIGNATURE OF THE AUTHORIZED MEMBER OF THE REGULATING BODY:

X 

Name (print): Greg Zwicker

DATE: 2023-11-20