Alberta Safety Codes Authority (ASCA)

Conference 2015

Presented by:
Kent Verlik,
Director, ASCA
June 4, 2015
Outline

• History of the Alberta Safety Codes System
• Safety Codes System today
• Municipal Affairs (MA) & Unaccredited Municipalities
• Safety Codes Amendment Act
• The ASCA Project - Update
• ASCA Vision
• early 1900s: Codes/Standards in place;
• provincial, national and international levels;
• design, construction and maintenance of facilities (by discipline);
System before 1994

- system controlled by Alberta government and some municipalities;
- role of “Inspector”
- minimum standards for constructing facilities;
1994: System transformation

- *Safety Codes Act* proclamation;
- establishment of the Safety Codes Council;
- provincial level → local level
- alternate forms of service delivery:
  - accredited municipalities, corporations and agencies
  - delegation of authority to administrative organizations
System improvements: 1994 -

- further training and certification for SCOs;
- appeal process administration;
- Quality Management Plans;
- certification of Master Electricians;
- standards for barrier free design and access;
- province wide permitting and information management system (eSITE);
- monitoring and audits of accredited organizations;
Safety Codes System - 2014

- > 40 meetings
- 469 accredited organizations
  - 312 municipalities
  - 99 corporations
  - 58 agencies
- 124 audits of accredited organizations
- 2,658 certified SCOs; 2,077 designation of powers
- 4,448 certified master electricians
- 10 appeals; 201 orders; 1,162 variances
- 24 complaint investigations
Accreditation by organization type and discipline

- Building
- Electrical
- Fire
- Plumbing
- Gas

Agencies
- Gas
- Plumbing
- Fire
- Electrical
- Building

Corporations
- Gas
- Plumbing
- Fire
- Electrical
- Building

Municipalities
- Gas
- Plumbing
- Fire
- Electrical
- Building

2014
- Building: 250
- Electrical: 250
- Fire: 250
- Plumbing: 250
- Gas: 250

2013
- Building: 250
- Electrical: 250
- Fire: 250
- Plumbing: 250
- Gas: 250

2012
- Building: 250
- Electrical: 250
- Fire: 250
- Plumbing: 250
- Gas: 250

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Safety Codes Council
## Provincial Permit and Inspection Activity 2014

<table>
<thead>
<tr>
<th>Type of Permit</th>
<th>2013 Total Permits Issued</th>
<th>2013 Total Inspections Completed</th>
<th>2013 Total # Inspections/Permit</th>
<th>2014 Total Permits Issued</th>
<th>2014 Total Inspections Completed</th>
<th>2014 Total # Inspections/Permit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Building</td>
<td>17,723</td>
<td>33,354</td>
<td>1.88</td>
<td>13,195</td>
<td>41,202</td>
<td>3.12</td>
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<tr>
<td>Electrical</td>
<td>60,969</td>
<td>115,274</td>
<td>1.89</td>
<td>66,162</td>
<td>123,374</td>
<td>1.86</td>
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<tr>
<td>Gas</td>
<td>27,138</td>
<td>38,948</td>
<td>1.44</td>
<td>31,609</td>
<td>47,774</td>
<td>1.51</td>
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<tr>
<td>Plumbing</td>
<td>12,231</td>
<td>25,369</td>
<td>2.07</td>
<td>13,087</td>
<td>29,243</td>
<td>2.23</td>
</tr>
<tr>
<td>Private Sewage</td>
<td>2,682</td>
<td>2,767</td>
<td>1.03</td>
<td>2,963</td>
<td>2,953</td>
<td>1.00</td>
</tr>
<tr>
<td>Plumbing and Gas</td>
<td>11,834</td>
<td>13,648</td>
<td>1.15</td>
<td>12,493</td>
<td>14,349</td>
<td>1.15</td>
</tr>
<tr>
<td>Combination*</td>
<td>24,671</td>
<td>201,592</td>
<td>8.17</td>
<td>27,278</td>
<td>198,665</td>
<td>7.28</td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>157,248</strong></td>
<td><strong>430,952</strong></td>
<td><strong>2.74</strong></td>
<td><strong>166,787</strong></td>
<td><strong>457,560</strong></td>
<td><strong>2.74</strong></td>
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</tbody>
</table>
Unaccredited municipalities (UM)

→ some municipalities have chosen not to become accredited;

• Municipal Affairs → safety code services in unaccredited areas;
  – Authorized accredited agencies → permit and inspection services;
  – Safety services branch monitors and reviews agency activities;
Unaccredited municipalities profile

- Cities: Brooks, Lloydminster
- Towns: Rainbow Lake, Peace River, Slave Lake, Whitecourt, Hinton, Drayton Valley, Olds, Canmore, Banff...
- Municipal Districts: Yellowhead, Red Deer County, Clearwater, Lethbridge

Some urban, but mostly rural communities:
- Municipal Districts, Hamlets, Summer Villages, Villages, Metis Settlements
- Lloydminster is the only fully unaccredited city
- Most municipalities are partially accredited

- Broad geographic area
- Total resident population of 363,000
## UM Accreditation Profiles

<table>
<thead>
<tr>
<th>Municipal Government Type</th>
<th>Unaccredited Municipalities</th>
<th>Accredited Disciplines</th>
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<tbody>
<tr>
<td></td>
<td></td>
<td>None</td>
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<tr>
<td>Cities</td>
<td>2</td>
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<td>Towns</td>
<td>36</td>
<td>4</td>
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<td>Villages</td>
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<td>Summer Villages</td>
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<td>Specialized Municipalities</td>
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<tr>
<td>Municipal Districts</td>
<td>34</td>
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<tr>
<td>Hamlets</td>
<td>163</td>
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<td>Improvement Districts</td>
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<tr>
<td>Metis Settlements</td>
<td>8</td>
<td>4</td>
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<tr>
<td>Special Areas</td>
<td>-</td>
<td>-</td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>332</strong></td>
<td><strong>85</strong></td>
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<tr>
<td><strong>Population</strong></td>
<td><strong>362,859</strong></td>
<td><strong>71,123</strong></td>
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</table>
UM permits, inspections, revenue

Revenue in Unaccredited Municipalities: 2010 - 2014

<table>
<thead>
<tr>
<th></th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
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<tbody>
<tr>
<td>Building</td>
<td>$2,143,948</td>
<td>$2,471,603</td>
<td>$2,935,186</td>
<td>$3,376,127</td>
<td>$3,026,675</td>
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<tr>
<td>Electrical</td>
<td>$1,490,716</td>
<td>$1,269,992</td>
<td>$1,676,671</td>
<td>$1,526,918</td>
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<tr>
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<td>$585,591</td>
<td>$613,505</td>
<td>$637,076</td>
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<td>Plumbing</td>
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<td>$380,450</td>
<td>$378,314</td>
<td>$397,742</td>
<td>$389,411</td>
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<td>Private Sewage</td>
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<td>Private Sewage</td>
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<tr>
<td>2010</td>
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<tr>
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<td>$389,411</td>
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<td>Inspections</td>
<td>3567</td>
<td>6532</td>
<td>4597</td>
<td>2511</td>
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Safety Codes Amendment Act

- March 30, 2015: Royal assent
- establishment of ASCA
- responsibility for unaccredited municipalities: MA → ASCA;

- safety system transformation
- expanded service delivery standards
- aligns with accredited municipality standards
- consistency and effectiveness across Alberta
The ASCA project

• Purpose & objectives
• Approach
• Key deliverables & milestones
• Completion: January 1, 2016
Project module approach

- Research Benchmarks & Best Practices
- Define PMO
- Performance Management System
- Infrastructure & Operations
- Change management plan
- Define FMO
- Process Design
- Gap analysis to FMO
- IT systems functionality
<table>
<thead>
<tr>
<th>Project ID</th>
<th>Project Name</th>
<th>Project Module</th>
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<tr>
<td>ASCA – 02</td>
<td>Permit Issuance Process Project</td>
<td>Process Design Projects</td>
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<td>ASCA – 03</td>
<td>Inspection Process Project</td>
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<td>ASCA – 04</td>
<td>Permit Cancellation Process Project</td>
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<td>ASCA – 05</td>
<td>Invoice Management Process Project</td>
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<td>ASCA – 06</td>
<td>Management Oversight Process Project</td>
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<td>ASCA – 13</td>
<td>Operational &amp; Management Reporting Project</td>
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<td>ASCA – 15</td>
<td>Standardize ASCA Templates Project</td>
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<td>ASCA – 01</td>
<td>eSITE Mandatory Fields Project</td>
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<td>ASCA – 07</td>
<td>ASCA eSITE Organizational Structure Project</td>
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<td>Document Storage Transformation Project</td>
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<td>ASCA – 09</td>
<td>Mobile Application Project</td>
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<td>ASCA – 10</td>
<td>Business Case for eSITE System Replacement Project</td>
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<td>ASCA – 11</td>
<td>New Fields and Business Rules Project</td>
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<td>ASCA – 14</td>
<td>Electronic Signature - Approvals Project</td>
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<td>ASCA – 16</td>
<td>Additional Functionality Project</td>
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<td>ASCA – 18</td>
<td>ASCA Change Management Project</td>
<td>Change Management Projects</td>
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<td>ASCA – 17</td>
<td>ASCA Fee Structure Project</td>
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<td>ASCA – 19</td>
<td>Agency Procurement and Onboarding Project</td>
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<td>ASCA – 20</td>
<td>Municipal Affairs-ASCA Transition Project</td>
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</tr>
<tr>
<td>ASCA – 21</td>
<td>ASCA Operations Infrastructure Project</td>
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</table>

ASCA Project portfolio
## Key Deliverables

<table>
<thead>
<tr>
<th>Variable</th>
<th>CURRENT Model</th>
<th>ASCA Model</th>
</tr>
</thead>
</table>
| Permit Fees determination       | Agencies set the fees within the Minister’s maximum fee guidelines            | Permit fees set by ASCA
Agencies will keep portion at issuance, remainder of service fee paid at the end |
| Permit fee structure            | Largely unstructured & variable within & across Agencies                      | Largely structured and fixed within and across Agencies                   |
| Who keeps the collected permit fee? | Agencies keep 100% of the collected fee prior to work being done             | ASCA will collect all the fees and will reimburse the Agencies upon satisfactory work completion |
| Agency differentiators          | Cost is a key differentiator                                                  | Competition will be service and quality based                            |
| System of record                | eSITE is not the system of record for all agencies                            | • eSITE & other ASCA systems will be the system(s) of record              |
Change management

- A structured process for managing the ‘people side’ of change on a project or initiative

### Prosci® 3-Phase Change Management Process

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Degree of Process</th>
<th>Degree of Technology</th>
<th>Degree of Organization</th>
<th>Degree of Role Changes</th>
<th>Amount of Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>ASCA Project</td>
<td>High</td>
<td>High</td>
<td>Low</td>
<td>High</td>
<td>High</td>
</tr>
<tr>
<td>Alberta Municipal Affairs (AMA)</td>
<td>Med - High</td>
<td>Med - High</td>
<td>Medium - High</td>
<td>Medium - High</td>
<td>Medium</td>
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<tr>
<td>Safety Codes Council</td>
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<td>Med</td>
<td>Med</td>
<td>Low</td>
<td>Medium</td>
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<tr>
<td>Accredited Municipalities</td>
<td>Med</td>
<td>Med</td>
<td>Med</td>
<td>Low</td>
<td>Medium</td>
</tr>
<tr>
<td>Unaccredited Municipalities</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
</tbody>
</table>

### Phase 1 - Preparing for change
- Define your change management strategy
- Prepare your change management team
- Develop your sponsorship model

### Phase 2 - Managing change
- Develop change management plans
- Take action and implement plans

### Phase 3 - Reinforcing change
- Collect and analyze feedback
- Diagnose gaps and manage resistance
- Implement corrective actions and celebrate successes

### Key Aspects of Change

- **A** - Awareness of the need to change
- **D** - Desire to change and support the change
- **K** - Knowledge of how to change and support the change
- **A** - Ability to implement the change
- **R** - Reinforcements to help retain the change
Opportunities & benefits

• **Pay-for-service model**
  – mitigates service delivery risk
  – improves service quality and timeliness

• **Contracts for Service**
  – increases accountability
  – improves service delivery standards

• **Standardized permit fee structure**
  – provides fair market value for services
  – eliminates price-shopping for safety services
ASCA vision

Key change drivers:
- Conformance to the Alberta Safety Codes Act
- Adherence to best practices and operating standards
- Quality increase
- Costs reduction
- Customer-oriented approach
### Best in-class characteristics

<table>
<thead>
<tr>
<th>Adherence to the Act</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Integrate stakeholders into safety codes management</td>
</tr>
<tr>
<td>• Track performance</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Process-oriented operation</th>
</tr>
</thead>
<tbody>
<tr>
<td>• ↑ end to end process management</td>
</tr>
<tr>
<td>• ↑ automation of tasks</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Effectiveness &amp; quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Track and analyze data</td>
</tr>
<tr>
<td>• ↑ User satisfaction</td>
</tr>
</tbody>
</table>
Operational excellence maturity model

**Maturity Model**

1.0 2.0 3.0 4.0 5.0

**Organizational Performance**

**2014-2015**
- Inactive
- Paper-based
- Minimal standards
- Maturity Model: 1.0

**2015 - 2016**
- Reactive
- Significant variation in safety codes standards conformance
- Semi-automated processes
- Manual, minimal management oversight
- Design, Testing & CM Focus:
  - Operational excellence
  - Plan & Design AMA to ASCA Migration – for OE
  - Lower variation in safety codes standards conformance
  - Improved and consistent management oversight
  - Increased process automation
  - Improved Agencies’ & Applicant/Owner satisfaction with ASCA
  - Improved stakeholder engagement
  - Improved consistency in Permit Issuance & Inspections processes
  - Increased Agency data input for ASCA oversight
  - Design minimum defect/rework
  - Migrate MA functions to ASCA

**2017 - 2018**
- Successful Migration to ASCA
- High & consistent safety codes conformance
- Fully integrated information system supporting the ASCA business model
- Automated workflows and tasks
- High customer satisfaction with ASCA
- Matured, stable, and fully implemented hand-held technology supporting the Inspections Process
- High stakeholder engagement – Applicant/Owner, Agencies, AMA, SCC
- Achieve minimum defect/rework
- Low variation in permit fee structure
- High & consistent safety codes conformance
- Fully implemented and stable implementation of the new permit fee structure
- User feedback mechanism
- Performance metrics tracking
- Consistent, trustworthy content
- High stakeholder engagement
- Fully implemented hand-held technology supporting the Inspections Process
- Unaccredited municipalities engagement initiated
- ASCA business model effectively operational

**Through The ASCA Project**

2015 - 2016

Operational Excellence

Safety Codes Council

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Alberta Safety Codes Authority (ASCA)

Questions?

askASCA@safetycodes.ab.ca