



Verification of Compliance

February 13, 2012

Background

Verification of Compliance (VOC) is a compliance monitoring tool that was introduced in the Uniform Quality Management Plan (UQMP) to recognize means by which a Safety Codes Officer (SCO) may accept a third party verification in certain circumstances.

The Safety Codes Council has recently become aware of situations where VOCs are being used in a manner for which they were not intended (eg. in lieu of required inspections).

The purpose of this communication is to provide clarification to Accredited organizations and SCOs to ensure that there is a clear and consistent understanding of the appropriate use of a VOC as a compliance monitoring tool.

VOC Provisions in the UQMP

The UQMP authorizes and establishes the parameters for use of a VOC as a means by which a third party may provide an SCO with reasonable assurance of compliance. The UQMP provides that:

- a third party may provide a VOC to the SCO,
- an SCO has the discretion to accept (or reject) a VOC,
- a VOC must provide the SCO with reasonable assurance of compliance,
- a VOC may be used as a follow-up to deficiencies noted on an site inspection report form, and
- a VOC may be used in lieu of a site inspection only for inspection types identified in an approved QMP.

A VOC needs to provide an SCO with a reasonable assurance of compliance, therefore an SCO should only sign acceptance of a VOC after due consideration of such factors as the degree of the non-compliance, the reputation and compliance history of the person submitting the VOC, and review of supporting documentation or information provided in support of the VOC (if any).

An SCO is not obligated to accept a VOC if they are of the opinion that a reasonable assurance of compliance has not been provided, and may choose to require additional information or conduct a re-inspection.



VOC Records

The VOC process must be properly documented as should all compliance monitoring processes, and should form part of the permit file. The records will typically include:

- a description of the deficiencies or inspection stage the VOC applies to,
- identification of the person requesting the VOC,
- whether the VOC request was verbal, written, and what information/assurance was provided,
- the name, signature and Designation number of the SCO when accepting a VOC, and
- the date of acceptance.

The attached sample inspection report form has a built-in VOC component that may be adapted for use by an accredited organization to incorporate the VOC process.

Other VOC Best Practices

While not specifically recognized or provided for in the UQMP there are other circumstances where using a VOC may be an acceptable compliance monitoring tool for an SCO to use.

In a situation where an SCO finds that work has been started or completed without a permit, or a required inspection was not called in and the work can no longer be reasonably inspected (eg. work is covered) the SCO may choose to have work uncovered, or make available submission of a VOC as an option, or some combination of the two. In this scenario the SCO may direct who should be providing the VOC (eg. engineer, supplier, specific trade, sub-contractor, etc.).

It is not appropriate for an SCO to be using VOCs in lieu of required inspections in such a manner as to result in lowering the number of inspections below the minimum number required. For example, if an Accredited organization's QMP requires that a particular type of permit requires a minimum of 2 inspections then the SCO should not be accepting a VOC in lieu of one or both required inspections.

Please feel free to contact the Safety Codes Council if there are questions or a need for further clarification on the appropriate use of VOC.

Municipal Logo here

Site Inspection - Report

Municipal Address here

Municipal phone number here xxx-xxx-xxxx Municipal Fax number here xxx-xxx-xxxx

Permit applicant name _____ Permit number _____

Project address _____ Subdivision _____

Legal description Lot _____ or Condo unit _____ Block _____ Plan _____
(if applicable) Quarter _____ Section _____ Township _____ Range _____ Meridian _____

Inspection type

Building Electrical Plumbing Gas PSD Lot grading other _____

Construction stage

Framing Insulation/v.b. Fireplace Rough-in Final other _____

Inspection results

No entry (contact the SCO/Inspector to arrange for re-inspection)

List non-compliances (circle D for deficiency, U for unsafe condition)

| | | |
|---|---|--|
| D | U | |
| D | U | |
| D | U | |
| D | U | |
| D | U | |
| D | U | |
| D | U | |
| D | U | |
| D | U | |
| D | U | |

Passed **Not passed** **Contact the inspector**

When the above noted non-compliances are corrected contact the inspector by phone, or complete the Verification of Compliance section below and return this Site Inspection form to the inspector.

SCO/Inspector's name _____

SCO/Inspector's signature _____

SCO's designation number _____

Inspection date _____

| | |
|---|---|
| <p>Verification of Compliance (to be completed by the contractor and returned to the inspector)</p> <p>I certify that the above noted non-compliances have been corrected.</p> <p>_____</p> <p>Print name of person providing verification of compliance</p> <p>_____</p> <p>Signature and date of person providing verification of compliance</p> | <p>Acceptance of Verification of Compliance (completed by the SCO who conducted the inspection if V.O.C. is accepted)</p> <p>Verbal <input type="checkbox"/> Written <input type="checkbox"/> Re-inspection <input type="checkbox"/></p> <p>_____</p> <p>SCO/Inspector signature and designation number</p> <p>_____</p> <p>Date of acceptance</p> |
|---|---|

Collection and use of personal information

Personal information is collected in accordance with section 3 of the *Municipal Government Act* and section 33 (c) of the *Freedom of information and Protection of Privacy Act* (FOIP) and is protected by FOIP. It will be used to ensure that deficiencies and unsafe conditions are addressed and may be shared with the homeowner and/or contractor. If you have any questions about the use of your information, contact the (contact position here) at xxx-xxx-xxxx.

White – Office

Yellow – Site