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Safety Codes Audit

Parkland County

Administration of the *Safety Codes Act*
pursuant to Order of Accreditation Nos. 1534, 1533, 1531, and 1532
for the building, electrical, plumbing, and gas disciplines.

— SAMPLE PERIOD: *January 1, 2012 to December 31, 2012* —

Audit Date:

September 4-6, 2013

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SAFETY CODES AUDIT

Overview

ACCREDITED ORGANIZATION INFORMATION

The Parkland County ("Municipality") is a municipality with a population of over 30,568 in 2012 encompassing 242,595 hectares. The Municipality is situated west of Edmonton on Highway 16 surrounding the Town of Stony Plain, Villages of Spring Lake and Wabamun, Summer Villages of Betula Beach, Kapasiwin, Lakeview, Point Alison and Seba Beach. Parkland County provides safety codes services within its municipal boundaries. Hamlets within the municipal boundary include Carvel, Duffield, Entwistle, Fallis, Gainford, Keephills and Tomahawk.

The Parkland County is accredited under the *Safety Codes Act* in the disciplines of Building, Electrical, Plumbing, and Gas under Order of Accreditation Nos. 1534, 1533, 1531, and 1532. It is these accreditations that are the subject of this audit.

AUDIT TEAM

Audit Lead: Bill Crozier

Auditor(s): Len Ranch

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AUDIT HISTORY

The previous municipal checklist review was conducted by Alberta Municipal Affairs on June 21 & 22, 2011, for the period of *January 1, 2010 to December 31, 2010*. The review found some deficiencies within the scope of the Quality Management Plan and reported the following:

Recommendation 1: Obtain plans when required (building, PSDS).

Recommendation 2: Ensure required documents are in completed files.

Suggestion 1: The Municipality should assure their service provider has a process in place to accept Verification of Compliance which includes:

- Name, signature, and title of person providing the VOC.
- how the VOC was received (fax, written, phone),
- date the VOC was received,
- SCO name, signature, and designation number.

Suggestion 2: Prior to a PSDS permit issuance, a Plumbing Level 2 Safety Codes Officer is to complete a review of information for compliance to the requirements of the Private Sewage Disposal System regulations. The reviewed information shall show the SCO name, signature, and designation number. Handle the same as a building application.

Corrective actions implemented from June 21 & 22, 2011 review:

Recommendation 1: Prior to permit issuance, two complete sets of construction documents are being received for application for Building and Private Sewage permits.

Recommendation 2: The Municipality has made improvements on maintaining a file system for all the records associated with performing the safety service, yet falls short of providing copies of all inspection reports and tracking that site inspections are completed with the 2-5 day time requirement.

Suggestion 1: A safety codes officer may, at their discretion, accept a verification of compliance as follow-up to deficiencies noted on a site inspection. A safety codes officer, when accepting a verification of compliance, will document all required information as per the Safety Codes Council policy.

Suggestion 2: The Municipality is, prior to permit issuance, having a Plumbing Level 2 safety codes officer to complete a review of the information for compliance with the requirements of the Private Sewage Disposal System regulations.

FILE SELECTION PARAMETERS

A total of 3,084 closed and 823 open and over one year old safety codes permit files were applicable to the audit sample period of *January 1, 2012 to December 31, 2012*. Of these, the audit sample planned to review the permit issuance, inspections, and enforcement follow-up of 141 files; however, only 103 were provided for the audit.

A total of 23 Variances and one (1) Order were reported under this audit. Of these, four (4) Variances and one (1) Order were reviewed for compliance.

Recommendation: The Municipality's accreditation, through its Quality Management Plan, clearly identifies that the Municipality will be subjected to periodic reviews or audits and, that it is imperative, that the Municipality will provide full cooperation to these reviews/audits; failing which, the Municipality is subject to losing its accreditation. Full cooperation with auditors, including providing requested files and related documentation, is mandatory.

Quality Management Plan Review

SCHEDULE A – SCOPE AND ADMINISTRATION

A.1 SCOPE OF ACCREDITATION

The Municipality service delivery matches the scope of accreditation. The Municipality's service delivery model meets the Safety Codes Council standard respecting scope and application of Safety Codes administration.

A.2 ADHERENCE TO THE UNIFORM QUALITY MANAGEMENT PLAN

The Municipality has held accreditation since 2004. The Uniform Quality Management Plan was approved by the County Council in November 2004 with an acceptance by the Administrator of Accreditation and in-force date of December 10, 2004. The Municipality has a 3-year signed contract with *Superior Safety Codes Inc.* ("Agency") on file. The contract was effective on April 1, 2012 and will expire on March 31, 2015. The contract includes a one year option for extension. The contract does include a transition clause. The contract does address the return of all municipal files upon termination of the contract under the Obligations upon Termination clause. The Municipality has regular meetings with the safety codes officers and they also track their permits progress on an Excel spreadsheet which is considered as the monitoring program according to the Quality Management Plan. The Agency contract does address the ownership of records, related to the services provided under the *Safety Codes Act*, under the Ownership and Control clause. After talking to the Municipality's representative, the auditors were assured the Municipality does maintain an atmosphere of safety codes officer objectivity, free of undue influence.

A.3 POLICY FOR PERSONNEL TRAINING

The Municipality provided assurance that all safety codes officers attended required update seminars and renewed certifications as required. This was further confirmed through sampling of staff records.

A.4 FREEDOM OF INFORMATION AND PROTECTION OF PRIVACY ACT

The Municipality's representative is aware that all information collected under the *Safety Codes Act* is subject to the *Freedom of Information and Protection of Privacy Act*.

A.5 RECORDS RETENTION AND RETRIEVAL

Based on interviewing the Municipality's representative, the Municipality retains files for a period of 3 years as indicated in their Quality Management Plan, and retains the completed files to the property file. The Municipality has a procedure in place to have completed files returned from the Agency back to the Municipality every month. This process is identified under the Agency's contract. The records retention and retrieval process employed by the Municipality meets the intent of the Quality Management Plan.

A.6 DECLARATION OF STATUS

A sampling of files and interviews with safety codes officers found no issue respecting conflict of interest with respect to being the owner, contractor, or designer. The Municipality was found to be aware of the limits of their role and of safety codes officer requirement to stay within scope of their Designation of Powers.

A.7 REVISIONS

The Municipality is accredited in the Building, Electrical, Plumbing, and Gas disciplines. The Municipality does not at this time maintain a registry of safety codes officers and permit issuers who have been provided with a copy of the Quality Management Plan and approved revisions.

SCHEDULE B – SERVICE DELIVERY STANDARDS

B.1 SCOPE OF SERVICE

The Municipality is aware of their responsibility under the *Safety Codes Act* and the Quality Management Plan for provision of non-permitted code advice, site inspections, accidents and unsafe conditions reporting, and uncertified materials follow-up. There were no reportable accidents or incidents for this audit period.

B.2 PERFORMANCE

Service delivery by the Agency is monitored by the Municipality for compliance with the Municipality's Quality Management Plan and service delivery commitments through regular meetings with the Agency.

B.3 PERSONNEL

The Municipality does not maintain a registry of safety codes officers and permit issuers as they are not employees of the Municipality.

B.4 QUALITY MANAGEMENT PLAN TRAINING

The Municipality trains its safety codes officers and other involved staff in the requirements of the Quality Management Plan and provides a copy of the Quality Management Plan to the safety codes officers for their assigned areas. The Municipality does not maintain a record of employees' Quality Management Plan training. The staff has knowledge of the applicable parts of the Quality Management Plan based on their roles.

Recommendation: *The Municipality will maintain Quality Management Plan training records applicable to their staff.*

B.5 RECORDS

The Municipality has a system to ensure that the appropriate records and documents are included in the file. The Municipality uses an Excel spreadsheet to track all permits and maintain the required summary record as set out in their Quality Management Plan.

Suggestion: The Municipality may wish to use eSITE to assist in tracking all permit status and ensuring completeness of project files. The Municipality has an interest in exploring the benefits of the Safety Codes Council electronic permitting system to improve tracking of all permits.

B.6 SAFETY CODES COUNCIL OPERATING FEES/LEVIES

The Municipality has a process in place for the collection and remitting of the Safety Codes Council levies. The audit found no evidence of the Municipality submitting incorrect levies. As required, the Municipality is using the Safety Codes Council levy remittance form and submitting the required levies on a monthly basis.

B.7 ORDERS AND VARIANCES

The Municipality has certified safety codes officers through its contracted agency who may issue Orders in accordance with the *Safety Codes Act*. The Agency contacts the Municipality prior to the issuance of an Order to make them aware of the safety concern. The Municipality is aware that the Safety Codes Council has a prescribed policy for Orders & Variances. The safety codes officers understood the use of Orders and circumstances that would warrant their use as per the intent of the *Safety Codes Act*. The safety codes officers understood the use of Variances, and if issued, are doing so in accordance with the intent of the *Safety Codes Act*.

Prior to the audit, the Municipality had indicated a total of 23 Variances in the Private Sewage Disposal Systems discipline. During the audit, the auditors found that none of the 23 Variances have been registered with the Safety Codes Council. The one (1) Variance found on the Safety Codes Council was for the Building discipline and was not indicated by the Municipality.

Recommendation: The Municipality will ensure Variances are issued and registered on the information system in accordance with the Safety Codes Act and Safety Codes Council policy.

Compliance Monitoring

PERMIT APPLICATIONS

The audit sampling showed that the correct permit forms are being used and filled out completely.

CONSTRUCTION DOCUMENTS

Files showed that two (2) sets of construction documents were received prior to building permit issuance along with the required professional involvement schedules. After conducting a preliminary audit of the construction documents, the drawings were provided with the required professional seal and signature.

A construction document review (plan review) is required as per Appendix A: *Building Discipline*. The plan review is required to be completed within 15 days of permit issuance. The document review of the plans was found to meet the requirements of the Quality Management Plan.

SITE INSPECTION REPORT FORM

No records of building inspection requests within the files reviewed were found. According to Section 9, a safety codes officer is expected to conduct site inspections within two (2) working days and not exceed five (5) working days of a request. The Quality Management Plan Manager indicated that the Agency was providing requested inspections within the time requirements of the Quality Management Plan; however, no records were available to show when or if a building inspection request had occurred.

Suggestion: A safety codes officer should inspect within the timeframes noted in the discipline specific sections of the Quality Management Plan. A safety codes officer will inspect all work in place at the time of the inspection.

INSPECTION REPORTS

The audit sampling showed that the correct site inspection forms were used for the inspections with most information filled out. The stage of the project was noted on the inspection report and the safety codes officer's certification level was appropriate for the project. The minimum number of building site inspections conducted was completed as per the Quality Management Plan. Any noted deficiencies on inspection reports were followed up as required by the Quality Management Plan. There were no reported unsafe conditions observed or noted. Based on the results of the Site Inspection review, the site inspection process does meet the intent of the *Safety Codes Act* and Quality Management Plan.

VERIFICATION OF COMPLIANCE

Of the reviewed files, the Verification of Compliance process was found to be inconclusive. Based on the results of the Verification of Compliance reviews, the Verification of Compliance process could not be verified as meeting the intent of the *Safety Codes Act* and Quality Management Plan.

Recommendation: Verification of Compliance process identified in Quality Management Plan must be followed.

NO-ENTRY POLICY

After reviewing the files, there were no no-entries recorded. Based on the results of the No-Entry Policy reviews, the No-Entry Policy process is not being used during this audit period.

PERMIT SERVICES REPORT

The Municipality's Quality Management Plan requires a Permit Services Report to close a file. The Municipality will issue a Permit Services Report within 30 days of completing the compliance monitoring services as required in the Quality Management Plan. Based on the results of the File Closure reviews, no concerns were found.

PERMITS REVIEW

A. Closed Permits - Completed

A.1 BUILDING: Total number of files: 564 Number of files required for the audit: 13

PERMIT #	OBSERVATIONS
245245-12-B0001	Bathroom Renovation – Missing inspection requests. PSR was issued with deficiencies. Identify how VOC was accepted by SCO. S111784
245245-12-B0027	Woodstove – Missing inspection requests. S111784
245245-12-B0054	Cold Storage Building – Construction document review shall be signed by SCO. Missing inspection requests. Identify how VOC was accepted by SCO. S111784
245245-12-B0105	New Single Family Dwelling – Plans examination should identify specific code articles. Construction document review shall be signed by SCO. Missing inspection requests. Foundation inspection not signed by SCO. Identify how VOC was accepted by SCO. S111784
245245-12-B0146	New Single Family Dwelling – Plans examination should identify specific code articles. Construction document review shall be signed by SCO. Missing inspection requests. Progress inspection has deficiencies; SCO has not received a VOC; still outstanding. Identify how VOC was accepted by SCO. S111784
245245-12-B0201	Hot Tub – Missing inspection requests. No final inspection on file. Permit was cancelled. S1761
245245-12-B0257	Detached Garage – Construction document review shall be signed by SCO. Missing inspection requests. S1761
245245-12-B0298	Basement Development – Construction document review shall be signed by SCO. Missing inspection requests. One site inspection report only (requires 2 inspections). Residential new construction, alteration and renovations with a value of work of more than \$20,000 require a minimum of 2 inspections. S1761
245245-12-B0333	File not provided for the audit.
245245-12-B0390	Basement Development – Missing inspection requests. One site inspection report only (requires 2 inspections). Residential new construction, alteration and renovations with a value of work of more than \$20,000 require a minimum of 2 inspections. S1761
245245-12-B0497	Storage Building – Missing inspection requests. Final inspection report shows deficiencies; no follow-up to deficiencies. PSR issued with deficiencies. S1761
245245-12-B0579	Basement Development – Construction documents reviewed shall be signed by the SCO. Missing inspection requests. Framing inspection only (project requires a minimum of 2 inspections). Residential new construction, alteration and renovations with a value of work of more than \$20,000 require a minimum of 2 inspections. S1761

245245-12-B0620	Demolition of Single Family Dwelling – Construction document review shall be signed by SCO. Missing inspection requests. S111784
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Recommendations:

- *Permit Applications – The Municipality will collect all information required by the Safety Codes Council to be collected as part of each permit application. The Municipality will issue permits that include the project value, permit conditions, issuer’s name, signature, and designation number, and a Freedom of Information and Protection of Privacy Act statement that meets the requirements.*
- *Construction Document Review – The Municipality will collect all information required by the Safety Codes Council to be collected as part of each permit application. The Municipality will issue permits that include the issuer’s name, signature, and designation number on all reviewed documents.*
- *Inspection Requests/Site Inspection Report Forms – A safety codes officer will inspect within the timeframes noted in the discipline specific sections of the Quality Management Plan. A safety codes officer will inspect all work in place at the time of the inspection.*
- *Site Inspections – A safety codes officer will conduct site inspections at a minimum of two inspections for Part 9 or Part 3 buildings with a value of work of more than \$20,000. The final inspection stage is to be complete within 180 days of permit issuance or within 365 days of permit issuance if the homeowner is the contractor.*
- *Inspection Reports – A safety codes officer will, for each inspection required by the Quality Management Plan, complete an inspection report noting the description of the work in place at the time of inspection, all observed deficiencies, and name, signature, and designation number of the safety codes officer conducting the inspection. The Municipality will, for each required inspection, follow-up on noted deficiencies or unsafe conditions through re-inspections or at the discretion of the safety codes officer acceptance of a verification of compliance.*
- *Verification of Compliance – A safety codes officer may, at their discretion, accept a verification of compliance as follow-up to deficiencies or unsafe conditions noted on a site inspection. A safety codes officer, when accepting a verification of compliance, will document the information to the permit file including the name and title of the person who provided the verification of compliance and how it was provided (i.e., written assurance, verbal assurance, site visit by designate), date accepted by the safety codes officer, and signature and designation number of the safety codes officer.*
- *Permit Services Report – The Municipality will issue a Permit Services Report within 30 days of completing the compliance monitoring services as required in the Quality Management Plan. The Municipality will not issue a Permit Services Report or close a file if there is an unsafe condition, until such time as the unsafe condition is corrected.*

A.2 ELECTRICAL: Total number of files: 683 Number of files required for the audit: 19

PERMIT #	OBSERVATIONS
245245-11-E0619	Shop Addition. S3185
245245-12-E0046	New SFD – No inspection request on file. S115592
245245-12-E0069	New Cottage – No inspection request on file. S115592
245245-12-E0096	Underground wiring. No inspection request on file. S115592

245245-12-E0119	Industrial Liquid Emulsion Blending Facility – No inspection request on file. Final inspection only on file (minimum 2 inspections required on separate reports). <i>Commercial and Industrial with value of work over \$4000 requires a minimum of 2 inspections on separate reports.</i> S3185
245245-12-E0144	Basement Development – No inspection request on file. S115592
245245-12-E0165	New SFD – No inspection request on file. S115592
245245-12-E0193	Basement Development – No inspection request on file. S115592
245245-12-E0219	Underground – No inspection request on file. S115592
245245-12-E0246	Temporary Commercial – No inspection request on file. S115592
245245-12-E0273	A/C Installation – No inspection request on file. S3185
245245-12-E0301	New 3 Car Garage. S3185
245245-12-E0326	Single Family Dwelling – No inspection request on file. S3185
245245-12-E0349	Basement Development – No inspection request on file. Final inspection only (2 inspections required). <i>Single Family Residential – Homeowner permit with value of work over \$500 - minimum of 2 inspections.</i> S115592
245245-12-E0382	Temporary Service – No inspection request on file. Final inspection only (2 inspections required). <i>Single Family Residential – Homeowner permit with value of work over \$500 - minimum of 2 inspections.</i> S115592
245245-12-E0418	Underground – Service inspection only (2 inspections required). <i>Single Family Residential – Homeowner permit with value of work over \$500 - minimum of 2 inspections.</i> S3185
245245-12-E0447	Underground – No inspection request on file. S3185
245245-12-E0485	New Garage – No inspection request on file. S3185
245245-12-E0535	Underground to Mobile Home – No inspection request on file. S3185

Recommendations:

- *Inspection Requests/Site Inspection Report Forms – A safety codes officer will inspect within the timeframes noted in the discipline specific sections of the Quality Management Plan. A safety codes officer will inspect all work in place at the time of the inspection.*
- *Site Inspections – A safety codes officer will conduct site inspections at a minimum of two inspections for Commercial or Industrial buildings with a value of work over \$4,000, and a minimum of two site inspections for Single Family Residential under a homeowner permit with a value of work over \$500.00. The final inspection stage is to be complete within 180 days of permit issuance or within 365 days of permit issuance if the homeowner is the contractor.*

A.3 PLUMBING: Total number of files: 637 Number of files required for the audit: 16

PERMIT #	OBSERVATIONS
CPL P 0002 12 MU	New Single Family Dwelling with 18 fixtures – No Inspection request with file. Site report comments Stacks/Rough In ok. One inspection done. PSR timeframe ok.
CPL P 0011 12 MU	Plumbing for new shop with 11 fixtures – Three inspections done. PSR timeframe ok.
CPL P 0031 12 MU	Re-locatable structure with 12 fixtures, Unit 19862 – Inspection report, Plumbing installation ok. No inspection request with file. PSR timeframe ok.
CPL P 0002 12 MU	Hook up to mobile home by homeowner – One inspection done, no deficiencies noted. PSR timeframe ok.
CPL P 0147 12 MU	New Single Family Dwelling with 19 fixtures – No Inspection request with file. Site report comments Stacks/Rough In ok. One inspection done. PSR timeframe ok.
CPL P 0186 12 MU	After fire, 13 new fixtures roughed in – One inspection done. PSR timeframe ok

CPL P 0209 12 MU	New Single Family Dwelling with 18 fixtures – Inspection consisted of ground work and stacks/vents. No inspection report with file. PSR timeframe ok.
CPL P 0231 12 MU	Shop and Office with 13 fixtures – Three inspections done. More description of work on inspection report required. Timeframes for inspections and PSR ok.
CPL P 0251 12 MU	Secondary suite with 4 fixtures – Deficiencies on first site report and followed up on second site report. Timeframes for inspections and PSR ok.
CPL P 0274 12 MU	Water and sewer connection for 2 fixtures – Inspection report states In and Covered. No actual inspection done. No verification of compliance. No inspection request with file. PSR timeframe ok.
CPL P 0378 12 MU	New Single Family Dwelling with 16 fixtures – Two site inspections on one site report. Site report states Stack/Rough In in progress and ok. Timeframes for inspections and PSR ok.
CPL P 0467 12 MU	New Single Family Dwelling with 19 fixtures – Two inspections done. Ground work ok, and Stacks/Vents ok. Timeframes for inspection and PSR ok.
CPL P 0615 12 MU	New Single Family Dwelling with 23 fixtures – One inspection done, Stacks Rough In ok. No inspection report with file. PSR timeframe ok.
CPL P 0050 12 MU	Reloadable structure with 12 fixtures, Unit 19747 – No inspection request with file. PSR timeframe ok.
CPL P 0443 12 MU	New Single Family Dwelling with 17 fixtures – One inspection done. Timeframes for inspections and PSR ok.
CPL P 0550 12 MU	Re-locatable structure with 12 fixtures, Unit 20202 – Inspection report, Plumbing installation ok. No inspection request with file. PSR timeframe ok.

Recommendation:

- *Inspection Reports – A full description of work in place at time of inspections required on site reports.*

Suggestions:

- *Ensure timeframes for inspections are not exceeded.*
- *When an inspection is requested, the Inspection Request form shall become part of the file. A safety codes officer will inspect in a timely fashion within two working days and will not exceed five working days when contacted for a required inspection.*

A.4 GAS: Total number of files: 988 Number of files required for the audit: 20

PERMIT #	OBSERVATIONS
CPL G 00001 12 MU	3 Outlets – One inspection done and report states Final gas ok. No inspection request with file. PSR ok.
CPL G 0025 12 MU	Furnace replacement – One inspection done. Inspection report states CSST piping cannot be used as a gas connector. No follow-up or VOC in place. Timeframes for inspections and PSR ok.
CPL G 0047 12 MU	Unit 19854, 12x64 sleeper – No inspection report with file. Site inspection report, gas installation ok. PSR ok.
CPL G 0190 12 MU	Furnace replacement – One inspection done. Site inspection report states Install ok. Timeframes for inspections and PSR ok.
CPL G 0255 12 MU	New Duplex with 4 outlets – Inspection report, Final Gas ok. No inspection request with file. PSR ok.
CPL G 0281 12 MU	Residential hook up to fireplace – One inspection done with note Valve @ fireplace to install. No inspection request. PSR ok.
CPL G 0347 12 MU	Residential hook up to fireplace – One inspection done. No Inspection request. PSR ok.
CPL G 0409 12 MU	Install unit heater in garage – One inspection done. Site inspection report, Install ok. Timeframes for inspections and PSR ok.

CPL G 0476 12 MU	Furnace and boiler installation in truck wash bay – Two inspections done, first one with deficiencies, but followed up with second. Final gas ok. Timeframes for inspections and PSR ok.
CPL G 0515 12 MU	Fireplace install for residential – One inspection done. Install ok. Timeframes for inspections and PSR ok.
CPL G 0568 12 MU	Install unit heater in horse barn – One inspection done. Timeframes for inspections and PSR ok.
CPL G 0607 12 MU	New Single Family Dwelling with 5 outlets – One inspection done. Site report states Final gas ok. No inspection request with file. PSR ok.
CPL G 0641 12 MU	Propane tank set and hook up to heater – Temporary hook up with one inspection. Site inspection report, temporary tank set and heater hook up ok. PSR ok.
CPL G 0698 12 MU	Commercial building with 13 outlets – Three inspections done. First site inspection report, Gas installation in progress. Second Site Inspection Report, Gas air test ok, Gas line rough in ok. Third Site Inspection Report, Final gas ok. No inspection request with file. PSR ok.
CPL G 0751 12 MU	Temporary hook up – Permit application not filled in completely. Unsure if this is natural gas or propane hook up. No mention of heating source (furnace or space heater, etc.) One inspection done. No inspection request with file. PSR ok.
CPL G 0853 12 MU	1000 gallon propane dispenser installation – One inspection done. Site report states Propane Dispenser ok. Timeframes for inspections and PSR ok.
CPL G 0904 12 MU	500 gallon propane tank set and hook up – Timeframes for inspections and PSR ok.
CPL G 0780 12 MU	Re-locatable structure #20190, 12x64 sleeper – Site inspection report, Gas installation ok. No inspection request with file. PSR ok.
CPL G 0066 12 MU	Re-locatable structure #19740, 12x64 sleeper – Site inspection report, Gas installation ok. No inspection request with file. PSR ok.
CPL G 0780 12 MU	Re-locatable structure #19759, 12x64 sleeper – Site inspection report, Gas installation ok. No inspection request with file. PSR ok.

Recommendation:

- *Inspection Reports – A full description of work in place at time of inspections required on site reports.*

Suggestions:

- *Ensure timeframes for inspections are not exceeded.*
- *When an inspection is requested the Inspection request form shall become part of the file. A safety codes officer will inspect in a timely fashion within two working days and will not exceed five working days when contacted for a required inspection.*

A.5 PRIVATE SEWAGE TREATMENT SYSTEMS: Total number of files: 126 Number of files required for the audit: 11

PERMIT #	OBSERVATIONS
CPL S 0001 12 MU	Application issue date January 6, 2012. Inspection requested on March 3, 2012 and inspection done on July 9, 2012. One inspection done and site inspection report states In and covered. Meets setback requirements. PSR ok.
CPL S 0010 12 MU	Residential holding tank installation – Timeframes for inspection and PSR ok.
CPL S 0019 12 MU	Septic tank and disposal field for residential – One inspection done. Application issue date May 15, 2012 and inspection date was on May 14, 2012. Site report states Install ok. No inspection requested. PSR ok.
CPL S 0029 12 MU	Septic tank and disposal field for residential – Timeframes for inspection and PSR ok.

CPL S 0039 12 MU	Septic tank and disposal field for residential – No inspection request with file. PSR ok.
CPL S 0051 12 MU	Septic tank and disposal field for residential – No inspection request with file. PSR ok. Plan review done, Inspection done. Site inspection report comments Installation ok. Application issue date August 3, 2012 and inspection date was on August 2, 2012.
CPL S 0060 12 MU	Septic tank and disposal field for residential – No inspection request with file. PSR ok. Water table depth not on permit application.
CPL S 0072 12 MU	Packaged treatment plant with At-Grade system for residential – Request for variance and accepted variance in order. One inspection done. Site inspection report, Installation ok. PSR ok.
CPL S 0081 12 MU	Septic tank and disposal field for residential – One inspection done by site inspection report, Installation ok. Inspection date December 5, 2012. Ground should have been frozen at time of inspection.
CPL S 0097 12 MU	Septic tank and disposal field for residential – One inspection done. Timeframes for inspection and PSR ok.
CPL S 0010 12 MU	Septic tank replacement for residential – Timeframes for inspection and PSR ok.

Recommendation:

- *Inspection Reports – A full description of work in place at time of inspections required on site reports.*

Suggestions:

- *Ensure timeframes for inspections are not exceeded.*
- *Safety codes officers should try to work with contractors so that work will be exposed for inspection by the use of inspection requests.*
- *When an inspection is requested, the Inspection Request form shall become part of the file. A safety codes officer will inspect in a timely fashion within two working days and will not exceed five working days when contacted for a required inspection.*

B. Closed Permits - Cancelled

B.1 BUILDING: Total number of files: 25 Number of files required for the audit: 5

PERMIT #	OBSERVATIONS
245245-09-B0263	Single Family Dwelling – PSR issued. Permit was cancelled. The PSR shall be issued showing that the permit was cancelled and state the reason Permit issued in error.
245245-09-B0591	Addition – PSR issued, Permit issued in error.
245245-10-B0035	Storage Shed – No PSR has been issued. The PSR shall be issued showing that the permit was cancelled and stating the reason Permit issued in error.
245245-11-B0116	Shelter for Music Festival – No inspection request in file. PSR issued. Permit was cancelled. The PSR shall be issued showing that the permit was cancelled and stating the reason Permit issued in error.
245245-12-B0198	Single Family Dwelling – PSR has not been issued. The PSR shall be issued showing that the permit was cancelled and stating the reason.
<i>A permit issuer cannot initiate a permit to be cancelled, only a safety codes officer may cancel a permit. If a safety codes officer cancels a permit, the reason needs to be recorded on the cancelled permit to meet the Permit Regulation.</i>	

Recommendation:

- Permits – Only a safety codes officer may suspend or cancel a permit.

(Permit Regulation, Section 26 – A safety codes officer may suspend or cancel a permit that has been issued if the existing undertaking is unsafe or will reduce the level of safety of the undertaking, ...incorrect or insufficient information is submitted with respect to the permit, in the opinion of the permit issuer, the undertaking for which the permit would be or has been issued would or does contravene the Act or another enactment, the permit fee has not been paid, there is a contravention of any condition under which the permit was issued, or the permit was issued in error.)

B.2 ELECTRICAL: Total number of files: 5 Number of files required for the audit: 4

PERMIT #	OBSERVATIONS
	Four (4) files not provided for the audit.

B.3 PLUMBING: Total number of files: 2 Number of files required for the audit: 2

PERMIT #	OBSERVATIONS
	Two (2) files not provided for the audit.

B.4 GAS: Total number of files: 1 Number of files required for the audit: 1

PERMIT #	OBSERVATIONS
	One (1) file not provided for the audit.

C. Closed Permits - Expired

C.1 BUILDING: Total number of files: 34 Number of files required for the audit: 15

PERMIT #	OBSERVATIONS
245245-09-B0178	Addition to single family dwelling – Issued May 5, 2009. No extensions have been granted. The owner has not requested a Final inspection within 365 days of permit issuance. No PSR has been issued.
245245-09-B-0450	Garage with loft – Issued August 19, 2009. Framing inspection only. No extensions have been granted. The owner has not requested a Final inspection within 365 days of permit issuance. No PSR has been issued.
245245-10-B0023	Basement development – No extensions have been granted. The owner has not requested a Final inspection within 365 days of permit issuance. No PSR has been issued.
245245-10-B0152	Addition to single family dwelling – No extensions have been granted. The owner has not requested a Final inspection within 365 days of permit issuance. No PSR has been issued.
245245-10-B0307	Pool house – No extensions have been granted. The owner has not requested a Final inspection within 365 days of permit issuance. PSR has been issued as the permit has expired.
245245-10-B0576	Single family dwelling – Issued October 21, 2010. No inspections completed. No extensions have been granted. The owner has not requested a Final inspection within 365 days of permit issuance. No PSR has been issued.
245245-11-E0151	Condo – Permit expired, no work started. PSR issued as the permit expired.
245245-11-E0154	Condo – Permit expired, no work started. PSR issued as the permit expired.
245245-11-E0157	Condo – Permit expired, no work started. PSR issued as the permit expired.

245245-11-E0160	Condo – Permit expired, no work started. PSR issued as the permit expired.
245245-10-P0051	Swimming pool – Permit expired, no work started. PSR issued as the permit expired.
245245-10-G0105	Pool – Permit expired, no work started. PSR issued as the permit expired.
245245-11-G0397	New residential – Permit expired, no work started. PSR issued as the permit expired.
245245-10-G0560	Tankless water heater – Permit expired, no work started. PSR issued as the permit expired.
245245-10-G0569	Secondary gas line to garage – Permit expired, work not completed. PSR issued as the permit expired.

Suggestions:

- *Permit issuers may wish to consider the following when issuing a permit:*
 - *Permit Regulation, Section 22 – A permit issuer may issue a permit and impose terms and conditions on the permit, such as setting the date on which the permit expires. See the above reference.*
 - *Permit Regulation, Section 25 – A permit expires if the undertaking to which it applies is not commenced within 90 days from the date of issuance of the permit, or is suspended or abandoned for a period of 120 days.*
 - *The permit system may identify the term of a permit, as per the Permit Regulation. Action: A Permit Services Report shall be issued to identify the permit has expired.*

C.2 ELECTRICAL: Total number of files: 13 Number of files required for the audit: 4

PERMIT #	OBSERVATIONS
	Four (4) files not provided for the audit.

C.3 PLUMBING: Total number of files: 1 Number of files required for the audit: 1

PERMIT #	OBSERVATIONS
	One (1) file not provided for the audit.

C.4 GAS: Total number of files: 5 Number of files required for the audit: 4

PERMIT #	OBSERVATIONS
	Four (4) files not provided for the audit.

D. Open Permits - Over One Year Old

A total of 823 files were found over the one year timeframe of the audit period.

D.1 BUILDING: Total number of files: 597 Number of files required for the audit: 5

PERMIT #	OBSERVATIONS
245245-09-B0524	Detached garage – Issued September 23, 2010. No extensions have been granted. The owner has not requested a Final inspection within 365 days of permit issuance. PSR has been issued, work complies.
245245-10-B0336	Garage addition – Issued July 21, 2010. No extensions have been granted. The owner has not requested a Final inspection within 365 days of permit issuance. PSR has not been issued.
245245-10-B0563	Single family dwelling renovation – Issued October 20, 2010. No extensions have been granted. The owner has not requested a Final inspection within 365 days of permit issuance. PSR has not been issued.
245245-11-B0032	Garage – Issued February 14, 2011. No extensions have been granted. The owner has not requested a Final inspection within 365 days of permit issuance. PSR has not been issued.
245245-11-B0143	Basement renovation – Issued May 11, 2011. No extensions have been granted. The owner has not requested a Final inspection within 365 days of permit issuance. PSR has not been issued.

Suggestion:

- *Time Extensions – The Municipality may, at their discretion, extend the timeframe for a required site inspection by documenting in the file the reason for the extension, and the new timeframe or date for conducting the inspection(s).*

D.2 ELECTRICAL: Total number of files: 110 Number of files required for the audit: 4

PERMIT #	OBSERVATIONS
	Four (4) files not provided for the audit.

D.3 PLUMBING: Total number of files: 29 Number of files required for the audit: 5

PERMIT #	OBSERVATIONS
	Five (5) files not provided for the audit.

D.4 GAS: Total number of files: 84 Number of files required for the audit: 9

PERMIT #	OBSERVATIONS
	Nine (9) files not provided for the audit.

D.5 PRIVATE SEWAGE TREATMENT SYSTEMS: Total number of files: 3 Number of files required for the audit: 3

PERMIT #	OBSERVATIONS
	Three (3) files not provided for the audit.

F. Orders & Variances

F.1 ORDERS: Total number of files: 1 Number of files required for the audit: 1

ADDRESS	OBSERVATIONS
Walker Lakes Estates	(BUILDING) The order issued was missing a compliance date, the Direction of Action to be taken recorded on the order, evidence that the order was served in accordance with the Administrative Items Regulation, evidence that a copy of the order was sent to the appropriate Technical Administrator, the order had not been complied with, and the municipality did not have a plan in place for this order.

Recommendation:

- *The legislated requirements and established processes to enforce compliance requirements must be followed. The Quality Management Plan does not include the portion that Orders are to be in accordance with legislation and the Safety Codes Council policy. The Quality Management Plan needs to be revised to include the Safety Codes Council policy requirement.*

F.2 VARIANCES: Total number of files: 23 Number of files required for the audit: 4

ADDRESS	OBSERVATIONS
Muir Lake School	(BUILDING) The variance issued was missing the Request for Specific Variance and the specific variance request was not made on the Application for a Specific Variance form. Prior to the issuance of a specific variance, the owner must submit a written request for the variance together with evidence in support of the request.
245245-12-S0092 (Municipal Number)	(PSTS) The variance issued was missing the Request for Specific Variance and the specific variance request was not made on the Application for a Specific Variance form. Prior to the issuance of a specific variance, the owner must submit a written request for the variance together with evidence in support of the request. Only an accepted variance for review. Reasoning for variance, "Installing At-Grade." More reasoning required.
245245-12-S0093 (Municipal Number)	(PSTS) The Variance issued was missing the Request for Specific Variance and the specific variance request was not made on the Application for a Specific Variance form. Prior to the issuance of a specific variance, the owner must submit a written request for the variance together with evidence in support of the request. Only an accepted variance for review. Reasoning for variance, "Installing At-Grade." More reasoning required.
245245-13-S0001 (Municipal Number)	(PSTS) The Variance issued was missing the Request for Specific Variance and the specific variance request was not made on the Application for a Specific Variance form. Prior to the issuance of a specific variance, the owner must submit a written request for the variance together with evidence in support of the request. Only an accepted variance for review. Reasoning for variance, "Installing At-Grade." More reasoning required.

Recommendation:

- *The use of Variances/Alternative Solutions must be in accordance with legislated requirements and established Safety Codes Council processes.*


Key Observations

1. The Municipality was very open with the audit team.
2. The Municipality indicated a high level of support from management and elected officials for the safety codes operation and authority.
3. The Municipality mandates inspections at designated construction stages that are well in excess of the minimum requirements of the Quality Management Plan.
4. The Municipality generally followed the administrative requirements of the Quality Management Plan based on the files audited, which included a cross-section of various stages of the compliance monitoring process.
5. The auditing of the Municipality's compliance monitoring documentation at permit issuance stage, inspection stage, and file closure stage provided some assurance that compliance monitoring services are generally meeting the minimum standards of the Quality Management Plan.

Conclusion

Parkland County was found to be generally providing safety codes services in the Building, Electrical, Plumbing, and Gas disciplines towards meeting the intent of the *Safety Codes Act* and within the Municipality's accreditation.

SAFETY CODES COUNCIL



Bill Crozier, SCO
Lead Audit Field Officer