

# **Construction Sector Council (CSC)**

in partnership with

## **The Alliance of Canadian Building Officials Association (ACBOA)**

# **CHIBO II Project**

National Certification and Accreditation Model  
for Professional Building Officials



October 2005



## Acknowledgements

The Construction Sector Council (CSC) is pleased to present the Certification and Accreditation Models for Professional Building Officials (PBO).

The Construction Sector Council was created in 2001 to address human resource issues in the construction industry. It is a partnership between business and labour, and is funded by the Government of Canada's Sector Council Program and by industry contributions.

This report is the result of many months of research and consultations, and would not have been possible without the industry expertise and valuable input provided by:

- The Alliance of Certified Building Officials' Associations (ACBOA)
- Canadian Association of Home and Property Inspectors (CAHPI)
- First Nations National Building Officers Association (FNNBOA)
- Canada Mortgage and Housing Corporation (CMHC)
- Human Resources and Skills Development (HRSDC)

The CHIBO II Working Group consisted of professional building officials from across Canada who volunteered hundreds of hours to this project. The Working Group was composed of the following individuals:

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Joshua Rose	Construction Sector Council (CSC) <i>ex-officio</i>
Lisa Lawr	Human Resources and Skills Development (HRSDC) <i>ex-officio</i>

This project is dedicated to the memory of Michael Ludolph, who as a volunteer chair of the CHIBO Working Committee guided us through some very difficult times.

## Executive Summary

In Canada, Professional Building Officials (PBO or 'building officials') are responsible for plan review and inspection services to ensure that construction projects are in compliance with building codes. As a rule, building officials are employed or contracted by government and are 'appointed' by government to enforce the building code.

During the 1990s, a great deal of research was undertaken by the Canada Mortgage and Housing Corporation (CMHC) with regard to the building inspections industry. The research found that for building officials, provincial/territorial Acts varied in their certification and licensing requirements. Building officials had tried, with limited success, to agree on training standards with DACUMS (an acronym for Developing A Curriculum) conducted at the provincial level.

Other key findings highlighted by the research were:

- differences in certification procedures across Canada;
- a lack of portability of certification from one province to another; and
- a lack of minimum standards of performance required to work as a building official.

The inconsistency in standards, qualifications and quality has resulted in confusion and a lack of credibility for the inspection industry.

In 1999, the Canadian Home Inspectors and Building Officials National Initiative (CHIBO) was launched to enhance the credibility and status of the building inspection industry and to harmonize licensing, standards of performance and certification of both home and property inspectors and building officials across Canada. During the first CHIBO project, National Occupational Standards for building officials and home and property inspectors were developed. The National Occupational Standards are detailed, describing the range and depth of skills, knowledge and ability necessary to perform occupational tasks at a competent level.

In 2003, the second CHIBO project commenced (CHIBO II). The primary objective of CHIBO II was:

'To establish and develop certification and accreditation models that will lead to a recognizable and credible inspection industry and also increase worker mobility between jurisdictions'

The CHIBO II project consisted of four 'steps'. The first step consisted of a documentation review and gap analysis. The consultants engaged to conduct the project reviewed existing curriculum and training materials and compared the materials to the National Occupational Standard developed for building officials. The second step consisted of a review and assessment of existing certification models for building officials, leading to a national certification model. The third step consisted of a review and assessment of existing models used to accredit courses, programs, and training providers. The fourth step consisted of the creation of a strategic framework outlining the key organizational policies and framework which will need to be created to fully implement the model.

The governance and structural elements of the models were based on criteria defined in the CAN-P-9 Standard 'Criteria for Accreditation of Personnel Certification Bodies'. The CAN-P-9 Standard is published by the Standards Council of Canada, and is based on the international ISO Standard ISO/IEC 17024.

While the most appropriate national certification body for building officials has yet to be determined, the project assumes that the national certification body will hold the authority to certify. This authority will be

used to implement a national certification program for building officials. Elements of this authority will be delegated to a national certification council, national registrar, a national accreditation committee, and to other committees, associations, and organizations as appropriate.

Individuals who are within the National Certification Program will be at one of three stages – 'Candidate', 'Associate', or 'Certified'. Candidates can become Associates (and eventually become 'Certified') in one, two or all three of the following specialties:

- Residential
- Part 9
- Part 3

Note that individuals may be Certified in one specialty, and at the same time be 'Candidates' or 'Associates' in another specialty. Individuals who become 'Certified' in all three specialties will be awarded a designation tentatively called 'Registered Canadian Building Official'.

A 'Background Review' process will be used by the National Certification Council to determine the appropriate stage for each individual. Any individual who wants to be considered for placement at one of the stages would apply to the National Certification Council and present their personal background. Background review criteria are based on the tasks defined in the National Occupational Standard for building officials.

Accreditation is the process a certifying body uses to determine whether the courses or programs offered by training providers meet some or all of the skill and knowledge requirements of a National Occupational Standard. It also involves an assessment of a provider's ability to provide a consistent standard of training. For building officials, national accreditation will be the responsibility of a national accreditation committee. As part of this project, a large number of courses and programs related to the building official occupation have been reviewed and compared to the National Occupational Standard for Professional Building Officials.

In order to implement and administer a viable national certification and accreditation model, a number of roles would need to be established, with formally defined responsibilities and inter relationships. These roles include the:

- National Certification Body
- National Certification Council
- National Registrar
- National Accreditation Committee

Ideally, all roles and responsibilities related to the national certification and accreditation model will be aligned with CAN-P-9 criteria.

Others issues to consider prior to implementation include the large number of building officials who will need to undergo a background review in order to be properly placed within the national certification program, the time that a national certification council will require to conduct a background review, and the cost of conducting a background review.

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## Project Background

The Canadian building inspection industry is composed primarily of individuals employed as professional building officials (PBO, or 'building officials'), home and property inspectors (HPI), and First Nations building officers (FNBO).

- Professional Building Officials (PBO or 'building officials') are responsible for plan review and inspection services to ensure that construction projects are code compliant. As a rule, building officials are employed or contracted by government, and are 'appointed' by government to enforce the building code.
- Home and property inspectors (HPI) provide private inspection services to existing residential and small commercial buildings. Home and property inspectors act as advisors on the condition of buildings and building components.
- First Nations Building Officers (FNBO) generally provide inspection services for buildings located on First Nations lands in Canada. Services provided by First Nations Building Officers may include plan review, inspections, and recommendations for repairs, technical advocacy and advisory roles for both residential and commercial buildings.

**Note:** This report focuses on the building officials sector of the building inspection industry.

During the 1990s, there was a great deal of investigative research undertaken by Canada Mortgage and Housing Corporation (CMHC) into the building inspections industry. The research concluded that with regard to professional building officials, provincial/territorial Acts varied with regard to the certification and licensing requirements within jurisdictions. Other key findings highlighted by CMHC were:

- differences in certification procedures across Canada
- lack of portability of certification from one province to another
- lack of minimum standards of performance required to work as a municipal building official

The inconsistency in standards, qualifications and inspection quality has resulted in the industry as a whole facing credibility issues with the general public. As a result, to restore consumer confidence, the CMHC research called for the creation of a unified national body to represent both the private inspection industry and public building officials, but as separate entities. The professional building officials already had a national body, the Alliance of Canadian Building Officials Associations (ACBOA) to represent their provincial associations, while, the Canadian Association of Home and Property Inspectors (CAHPI) was formed to represent the existing provincial associations and oversee a uniform national standard of competency for the private home inspection industry.

## **The Canadian Home Inspectors and Building Officials (CHIBO) Initiative**

### ***CHIBO I***

In 1999, the Canadian Home Inspectors and Building Officials National Initiative (CHIBO) was launched to enhance the credibility and status of the building inspection industry and to harmonize licensing, standards of performance and certification of both Professional Building Officials (PBOs) and Home and Property Inspectors (HPIs) across Canada. This industry led initiative began as a partnership effort involving the Alliance of Canadian Building Officials' Associations (ACBOA) and the Canadian Association of Home and Property Inspectors (CAHPI). Funding for this project was contributed by ACOBA, CAHPI, as well as CMHC and the former federal department of Human Resources Development Canada (HRDC), now Human Resources and Skills Development Canada (HRSDC).

A Working Committee was created to conduct occupational analyses and develop a set of National Occupational Standards (NOS) for building officials and for home and property inspectors across Canada.

The CHIBO I initiative was successfully completed in May of 2001, with the delivery of the following documents:

- Occupational Standards: Professional Building Official
- Occupational Standards: Home and Property Inspector
- Common Core Competencies for Professional Building Officials and Home and Property Inspectors

The National Occupational Standards (NOS) developed for each profession are very detailed describing the range, depth of skill, knowledge and ability necessary to perform the associated tasks at a professional level.

In March 2003, the First Nations National Building Officers Association (FNNBOA) also completed an occupational standard based on the above to reflect the core competencies required to function in First Nations communities. FNNBOA joined the CHIBO initiative after the completion of CHIBO Phase I.

### ***CHIBO II***

In December 2003, the second phase of the CHIBO initiative commenced with the signing of a Memorandum of Understanding (MOU) between the Construction Sector Council (CSC) and CHIBO (CAHPI, ACBOA and FNNBOA). The MOU outlined the roles and responsibilities associated with the design and development of certification and accreditation models which reflect the National Occupational Standards of each sector. A project Working Group consisting of representatives from the Canadian Association of Home and Property Inspectors (CAHPI), the Alliance of Canadian Building Officials' Associations (ACBOA), and the First Nations National Building Officers Association (FNNBOA) was established to help develop and set the direction of the CHIBO II initiative. Also represented at the Working Group level in an ex-officio capacity were representatives from the Construction Sector Council (CSC), HRSDC and CMHC. It is important to note

however, that although representatives from FNNBOA participated and contributed to the development of the certification and accreditation models, FNNBOA is developing First Nation specific certification and accreditation models which are outside the scope of the CHIBO II initiative.

The rationale for inclusion of FNNBOA was to ensure that the certification and accreditation models being developed for the home and property inspector and professional building inspector sectors are flexible enough to allow for the First Nations Building Official (FNBO) sector to use and modify at a later date to reflect the specific needs of the FNBO sector as per the National Occupational Standards for First Nations Building Officers.

**The primary goal of CHIBO II was:**

**"To establish and develop certification and accreditation models that will lead to a recognizable and credible inspection industry and also increase worker mobility between jurisdictions"**

Specific project objectives included:

- A high level comparative analysis of the current curriculum and training materials to determine their future use in the development of courses related to the National Occupational Standards for the 'home and property inspector' and 'professional building official' occupations
- The identification of training providers (private and public) with experience in certification training, and the capability and infrastructure to develop and deliver curriculum and training programs that meet the requirements of the National Occupational Standards. The list of training providers was NOT intended to be a comprehensive listing of all training providers, but rather to act as a starting point for the building inspection industry to determine which types of training institutions have the capabilities and the 'appetite' to provide the necessary certification training for building officials and home and property inspectors
- The identification and development of a national certification model for the professional building official and home and property inspector occupations
- The identification and development of a national accreditation model for the professional building official and home and property inspector occupations
- The development of a basic framework for the roll-out of the certification and accreditation models for both occupations
- A framework or process for building officials and home and property inspectors to conduct a complete program review of their existing certification programs against the tasks listed in the National Occupational Standard (NOS) for each occupation

## The Business Case for a National Certification Scheme for Building Officials

The need for a National Certification Program for building officials centers on the question of 'appointment' or 'empowerment'. In this report the definition of 'appointment' is based on Block D Task 12 of the National Occupational Standard for Professional Building Officials:

*The regulation of construction in Canada is a provincial and territorial responsibility. The province passes enabling legislation allowing municipalities and other levels of government to become responsible for enforcing building, property and life safety regulations and codes. The authority and responsibilities of the Professional Building Official are derived from the provincial legislation. Professional Building Officials are responsible for the enforcement of provincial laws and related regulations and codes.*

*NOS Block D Task 12 - Administers provincial law*

Currently, there is nothing that prevents a municipality or other level of government from 'appointing' anyone to act in the role of professional building official. Each municipality does it differently. There is no nationally recognized standard for granting this authority. Working Group participants recounted instances where municipalities had appointed individuals with little or no understanding of the National Building Code to make decisions related to code enforcement. Having individuals who do not have the requisite knowledge, skills and training to be a professional building official can also have economic impacts such as:

- Projects and plans being approved that do not meet building code standards, endangering the public
- Projects may be delayed or denied permits, resulting in decreased economic activity in a jurisdiction

In both instances, municipalities/jurisdictions are exposing themselves to potential legal action in event that projects are not up to code or delayed. Because there is no consistent means of appointing an individual to a building official capacity, the public image of the profession also suffers.

There is a need for a national standard, as well as a means for verifying that individuals meet the national standard. Therefore, a national certification program for building officials will provide a benchmark for municipalities and other jurisdictions to use when establishing criteria for the appointment of individuals to enforce building code. In addition, a national certification scheme supports the mandate of the Alliance of Canadian Building Official's Associations (ACBOA) and the Alliance's regional affiliates, "to promote the profession of building officials and the uniform application and interpretation of building codes within Canada" and "to unify training and education of building officials across Canada".

Implementation of a national certification program will involve:

- A concerted effort by national and provincial associations to align practices around common standards and approaches
- Close coordination between provincial associations to ensure reciprocity between jurisdictions
- Implementation of coordinated national and regional databases to track the progress of individuals within the national certification program
- Coordinated national and regional marketing to promote the national certification program to practicing building officials, and perhaps more importantly to jurisdictions and municipalities

Despite the increased visibility and recognition professional building officials will receive through a national certification program, the general acceptance of national certification (by individual building officials) will only come when regulators at the municipal, provincial, or national level require that all 'appointed' building officials be part of a national or regional certification program.

## **Building Officials' Certification and Accreditation Project Methodology**

This project was carried out in steps. Each of these steps was incremental, and designed to build on the other steps. The steps included:

- Step 1: Documentation Review, Framework Analysis, and "Gap" Analysis
- Step 2: Design and Development of the Certification Models and Implementation Outlines
- Step 3: Design and Development of the Accreditation Models and Implementation Outlines
- Step 4: Implementation of the Certification and Accreditation Models

### ***Step 1: Documentation Review, Framework Analysis, and "Gap" Analysis***

The first step of the project consisted of a documentation review and gap analysis. Existing curriculum and training materials were reviewed and compared against the National Occupational Standard developed for professional building officials. This work consisted of:

- Defining curriculum and training programs that need to be developed to ensure that National Occupational Standards are met
- Creating a list of private and public training providers experienced in certification training that have the capability and infrastructure to implement curriculum and training programs in accordance with the National Occupational Standards

**Note:** The list of training providers is not a comprehensive listing of all providers. It was intended to be a starting point for the industry to determine the types of training providers that have the capabilities and the "appetite" to provide the necessary certification training for municipal building officials.

A number of building official courses and programs delivered by both public and private sector training providers were reviewed. The course and program content and instructional levels were reviewed using a taxonomic analysis method, which considered both 'knowledge' and the 'application of knowledge'. The analysis also linked course and program content to the blocks and tasks defined in the National Occupational Standard for building officials. (For more information about the Taxonomic Analysis, refer to Appendix A of this report)

The data gathered from the documentation review was captured in a searchable Access database. The database has been designed to provide information to building officials on:

- Courses and programs that address specific tasks in the National Occupational Standard
- Courses and programs provided by each training provider
- Region of course or program delivery
- Delivery method of courses and programs

The database will allow a certification committee (hereafter referred to as certification council) to determine if an individual has the necessary technical education required to be placed within the national certification program.

### ***Step 2: Design and Development of the National Certification Model***

This step consisted of a review and assessment of existing certification models for building officials. The review covered certification models currently used by:

- Provincial associations of building officials
- Building official associations in the United States
- Provincial associations of individuals working in similar occupations, such as home and property inspectors

The review covered certification programs, bylaws where available, and the organization structure of certifying bodies (where available). The review also covered the 'CAN-P-9 Standard' - the ISO guideline for structuring certification bodies.

**Note:** The CAN-P-9 standard is the basis for the national certification model for building officials.

Once the review of existing certification models was complete, relevant elements of the models were presented to the CHIBO Working Committee. These elements coupled with input from the Working Group formed the basis for the national certification model. The draft model was presented and distributed to building officials across Canada for comment and feedback. As a result of the feedback, the model went through a number of modifications and revisions.

### ***Step 3: Design and Development of the National Accreditation Model***

This step consisted of a review and assessment of existing models used to accredit course, programs, and training providers. The review covered accreditation models currently used by:

- Provincial associations of building officials
- Building official associations in the United States
- Provincial associations of individuals working in similar occupations, such a home and property inspectors

Once the review of existing accreditation programs was complete, the national accreditation model was developed. As with Step 2, the draft model was presented and distributed to building officials across Canada for comment and feedback. As a result of the feedback, the model went through several revisions.

The CAN-P-9 Standard (accreditation elements) formed the basis for the national accreditation model for building officials.

#### ***Step 4: Strategic Framework for the National Certification & Accreditation Models***

This step consisted of the creation of a strategic framework outlining the key issues which need to be addressed prior to each sector implementing their respective model.

The strategic framework:

- Compared the national certification model to existing provincial certification models to determine where provinces have certification schemes that meet or exceed the requirements of the national certification model
- Made a series of recommendations on how the national certification model should align with CAN-P-9 criteria
- Noted any other considerations that could affect the implementation of the national certification model
- Created a preliminary timeframe for implementation



## The CAN-P-9 Standard

As mentioned previously, the national certification and accreditation models developed for this project have been built using the CAN-P-9 Standard. The CAN-P-9 Standard is based on the international ISO standard ISO/IEC 17024, and is published by the Standards Council of Canada; CAN-P-9 is the Canadian standard that defines 'Criteria for Accreditation of Personnel Certification Bodies'.

The introduction to the CAN-P-9 document states:

*"This International Standard has been drawn up with the objective of achieving and promoting a globally accepted benchmark for organizations operating certification of persons. Certification of persons is one means of providing assurance that the certified person meets the requirements of the certification scheme. Confidence in the respective certification schemes is achieved by means of a globally accepted process of assessment, subsequent surveillance and periodic re-assessments of the competence of certified persons."*

*Source 'Criteria for Accreditation of Personnel Certification Bodies' CAN-P-9 Published by Standards Council of Canada, April 2003*

An article on the CAN-P-9 Standard by Penny Silberhorn, Canadian Standards Board, states:

*"This comprehensive standard lays out the general operating requirements for the certification body, including provisions for a management system. It describes conditions for application, examinations, surveillances and recertification. And, it specifies the requisites for independence of training from certification, confidentiality of information, competence of staff and subcontractors, and the need for stakeholder input into certification schemes."*

*Source 'Calibre', Winter 2002 Issue*

The rationale for the selection of CAN-P-9 methodology as the basis for building the certification and accreditation models is as follows:

- CAN-P-9 is the globally accepted benchmark for organizations operating certification of persons
- CAN-P-9 is the basis for recognition of certification bodies and their certification schemes, in order to facilitate their acceptance at a national and international level
- CAN-P-9 specifies requirements which ensure that certification bodies operating certification schemes for persons operate in a consistent, comparable, and reliable manner

For further information on the CAN-P-9 standard, please go to [www.scc.ca](http://www.scc.ca)

The National Certification and Accreditation model for Building Officials is intended to comply reasonably closely with CAN-P-9 criteria as published by the Standards Council of Canada. This does not guarantee or ensure that the model is in complete compliance with CAN-P-9 criteria.

In order to determine whether or not this model is in complete compliance with CAN-P-9 criteria, it would be necessary for the national certification body to undergo a comprehensive audit conducted by a firm qualified to conduct ISO audits. Such an audit is outside the scope of this project.

## The National Occupational Standard (NOS) for Building Officials

The competency requirements for building officials are defined in the National Occupational Standard (NOS). To facilitate the understanding of the nature of the occupation, the work performed by building officials is divided into blocks, tasks, sub-tasks and supporting knowledge and abilities.

**Block** – the largest division within the analysis, and reflects a distinct operation relevant to the occupation.

**Task** – distinct, observable, measurable, activity that combined with others makes up the logical and necessary steps the practitioner is required to perform to complete a specific assignment within a block.

**Sub-task** – the smallest division into which it is practical to subdivide any work activity, and, combined with others, fully describes all duties constituting a task.

**Supporting Knowledge and Abilities** – define the elements of skill and knowledge an individual must acquire to adequately perform the sub-task. Examples of material, components etc. following the knowledge and ability statements are provided to further clarify the type and level of knowledge and ability required. These examples come from actual situations encountered by municipal building officials.

In the National Occupational Standard for building officials, the following blocks and tasks have been defined:

### Block A: Communications

- Task 1: Communicates in Writing
- Task 2: Communicates Verbally
- Task 3: Resolves Conflicts

### Block B: Conducts Design Review

- Task 4: Reviews Technical Documents
- Task 5: Obtains Clearance Certificates from other Authorities
- Task 6: Issues Special Approvals
- Task 7: Issues Permits

### Block C: Investigations

- Task 8: Requests Tests
- Task 9: Conducts On-Site Inspections
- Task 10: Conducts Research

**Block D: Legislation**

- Task 11: Administers Federal Law
- Task 12: Administers Provincial Law
- Task 13: Administers Municipal Law
- Task 14: Recognizes Legal Responsibility

**Block E: Administration**

- Task 15: Maintains Documentation
- Task 16: Maintains Resource Library
- Task 17: Administers Office

The primary objective of the National Certification Program for building officials is to verify competence in each of these Blocks and Tasks, and competence in the Sub Tasks that define each Task.

**Task Priority Analysis of the National Occupational Standard (NOS) Tasks**

A key component in determining the criticality of the tasks identified in the NOS is Task Priority Analysis or TPA. Task Priority Analysis is an assessment technique that is used to help determine which tasks are critical in the NOS and MUST be evaluated as part of the certification process.

For this project, the Task Priority Analysis involved a surveying practicing building officials from across Canada. The TPA asked for each practitioner to rate the importance of each of the 17 tasks identified in the building official's NOS. Tasks were rated against 4 criteria: Danger, Criticality, Complexity and Frequency. Each task was awarded a point score (1-5) against each criterion and an overall score (the sum of the 4 criteria scores).

The TPA allows for the rank ordering of tasks based on their importance, and allows for recommendations on which tasks MUST be evaluated under the certification model. Generally speaking, tasks that score less than 10 in overall rating are likely to be either specialty tasks (performed by a select few in the industry), or tasks that are so technically simple OR infrequently performed by the majority of practitioners that testing for it under a certification program is not necessary.

The Rating criteria used are detailed below:

**Danger Rating**

There is a high risk of serious injury or death to the performer or to other persons if the task is not performed correctly	<b>5</b>
There is a risk of serious injury to the performer or other persons if the task is not performed correctly	<b>4</b>
There is a risk of moderate injury to the performer or other persons if the task is not performed correctly	<b>3</b>
There is a risk of moderate injury to the performer if the task is not performed correctly	<b>2</b>
There is virtually no danger associated with this task	<b>1</b>

### Criticality Rating

There is a high risk that the performer will be subjected to MAJOR lawsuits or civil claims if the task is not performed correctly	5
There is a high risk that the performer will be subjected to lawsuits or civil claims if the task is not performed correctly	4
There is a moderate risk that the performer will be subjected to lawsuits or claims if the task is not performed correctly	3
There is low risk that the performer will be subjected to claims if the task is not performed correctly	2
There is virtually no risk associated with this task	1

### Complexity Rating

This task is very difficult and lengthy to master and requires a great deal of concentration and practice to remain proficient	5
This task is difficult to master and requires concentration and practice to remain proficient	4
This task is moderately difficult to master and takes moderate concentration and occasional practice to remain proficient	3
This task is easily mastered and requires only minimal concentration and minimal practice to remain proficient	2
This task is easily mastered and once learned is routine	1

### Frequency Rating

This task is performed at least once per day	5
This task is performed at least once per week	4
This task is performed at least once per month	3
This task is performed occasionally	2
This task is almost never performed	1

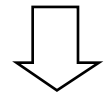
### Task Priority Assessment Results

A total of 50 TPA surveys were received from building officials across Canada. The regional breakdown of surveys received was:

Region	Responses Entered in Database
British Columbia	21
Saskatchewan	6
Manitoba	13
Ontario	2
Nova Scotia	2
New Brunswick	4
Unknown	2
<b>National Total</b>	<b>50</b>

During the development of the National Occupational Standards (NOS) the original CHIBO I Working Committee made no attempt to prioritize the tasks in order of importance. The task priority analysis ranked the NOS tasks for building officials as follows.

**Note: The higher the ranking, the more important the task is considered.**



NOS Task #	NOS Task Description	Danger	Criticality	Complexity	Frequency	Overall Rating	Ranked Importance of this Task
9	Conducts on-site inspections	4.0	3.7	4.2	4.7	16.59	<b>1</b>
4	Reviews technical documents	2.0	3.8	4.1	4.3	14.24	<b>2</b>
6	Issues special approvals	2.0	3.9	4.0	3.3	13.19	<b>3</b>
13	Administers municipal law	2.0	3.3	3.4	4.3	13.02	<b>4</b>
2	Communicates verbally	1.0	3.6	3.7	4.6	12.94	<b>5</b>
14	Recognizes legal responsibility	2.0	3.6	3.2	4.1	12.89	<b>6</b>
12	Administers provincial law	2.0	3.3	3.7	3.4	12.32	<b>7</b>
3	Resolves Conflicts	2.0	3.0	3.7	3.6	12.31	<b>8</b>
1	Communicates in writing	1.0	3.8	3.5	4.1	12.26	<b>9</b>
10	Conducts research	2.0	2.7	3.7	3.7	12.12	<b>10</b>
8	Requests tests	2.0	3.3	3.6	3.0	11.86	<b>11</b>
5	Obtains Clearance Certificates from other authorities	2.0	3.0	2.9	4.0	11.84	<b>12</b>
7	Issues permits	1.0	3.1	2.8	4.2	11.10	<b>13</b>
15	Maintains documentation	1.0	3.0	2.33	4.4	10.69	<b>14</b>
17	Administers office	1.0	2.2	2.73	4.6	10.51	<b>15</b>
11	Administers federal law	1.0	2.4	3.42	2.3	9.14	<b>16</b>
16	Maintains resource library	1.0	2.0	2.51	3.0	8.43	<b>17</b>

It is important to note that while the response rates for this survey were not sufficient to draw conclusions with a high degree of statistical confidence, the data does represent a pan-Canadian view of which tasks are considered most important by practicing building officials. To validate and substantiate these results, a more comprehensive Task Priority Analysis (TPA) should be done at a later date.

Based on the results of TPA, of the 17 tasks identified, two tasks (Task 11 and Task 16) are below the threshold score of 10. As a result, inclusion of these tasks in a certification exam or demand specific technical training is questionable. As a result, these two tasks probably don't require specific training. Competency in these tasks can be deemed through continuous employment in the industry.

## **National Certification Model – Authority to Certify**

The key to any successful certification program is the ability to certify individuals who meet the competence standard for their occupation. A certification model is only as good as the certifying body's ability to certify individuals against that standard (NOS).

### **Authority to Certify : definition**

- The authority or right to certify individuals as competent to practice or work within an occupation or profession
- Authority to certify may be provincial, national, or international
- In the case of a national certification, authority to certify would have to be national. However, national certification may not be recognized as valid within a province or sufficient to practice or work within a province
- Authority to certify may be granted through legislation, or simply assumed by a national organization
- More than one organization may hold authority to certify for an occupation
- More than one type of national certification for an occupation or profession may exist

The national certification model for building officials is based on two assumptions:

**Assumption 1** – a national certification body to oversee the national certification and accreditation of building officials will be formed

**Assumption 2** – the most appropriate national certification body for building officials has yet to be determined, although ACBOA is a good candidate

### ***National Certification Council***

The national certification body would delegate 'Authority to Certify' to a national certification council, which would operate under the authority of the national certification body.

A CAN-P-9 criterion does not allow decisions on certification to be subcontracted. However, other organizations (such as provincial associations) could provide the National Certification Council with recommendations as to whether specific individuals meet the background requirements of the national certification program.

Elements of the national certification model developed by the CHIBO Working Committee would be difficult for a National Certification Council to administer. Therefore, this model assumes that associations at the provincial level will be involved in the national certification program, and will provide recommendations on certification to the National Certification Council.

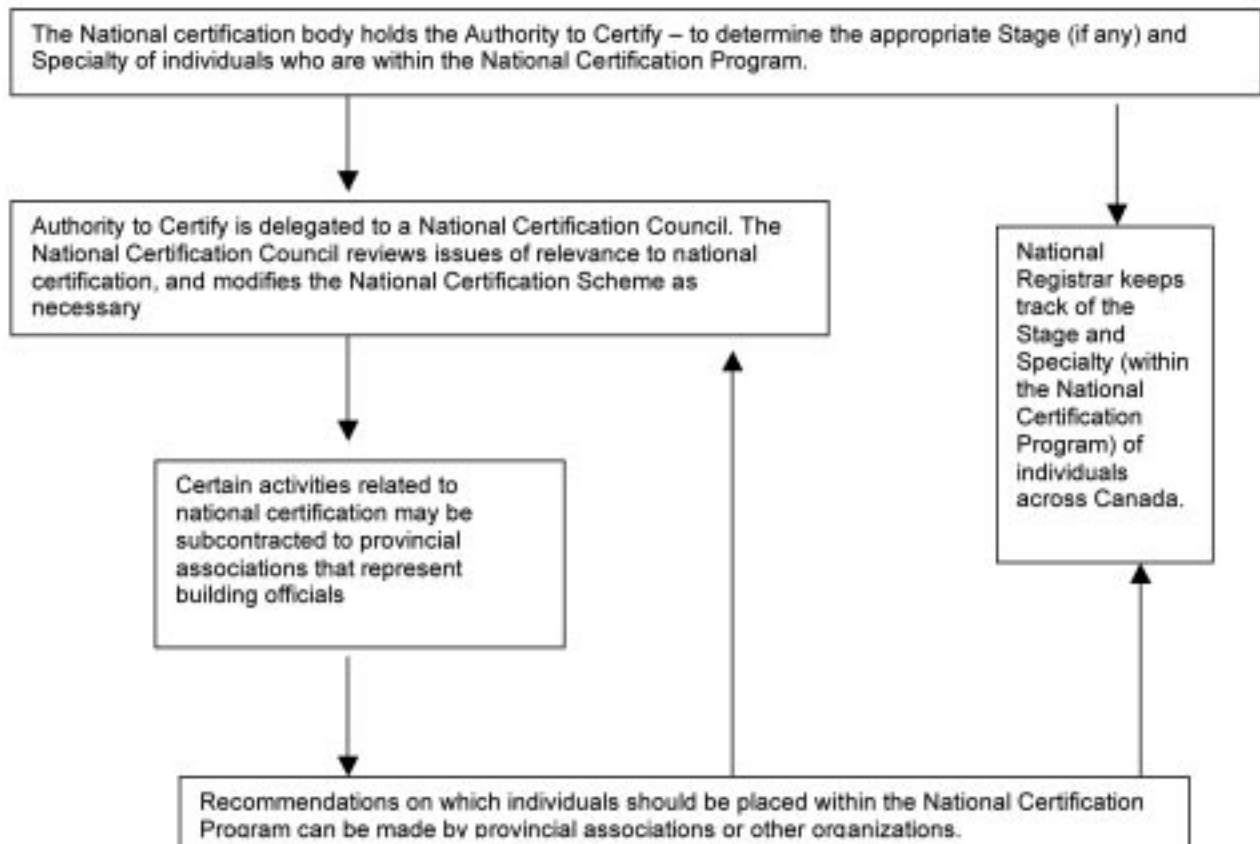
## **National Registrar**

The national certification body requires a national registrar. The national registrar will be responsible for recording and tracking individuals who are within the national certification program. The national registrar will also be responsible for maintaining the integrity and confidentiality of the data and personal information contained in the database as well as ensuring that the register of certified individuals is kept up to date and open for public scrutiny.

## **Authority to Certify**

The National Certification Council will be empowered with the authority to certify individuals as being competent to practice or work within the building official occupation. Because this project called for the development of a national certification model for PBOs, the authority to certify will reside at the national level. It is important to note national certification may not be recognized as valid within a province or be deemed sufficient to practice or work within a province. Individuals are required to check with their respective building official association to determine what is required to work within that province or jurisdiction.

The flow chart below graphically lays out how the authority to certify functions.





## **National Certification Model – The Certification Process**

### ***The Three Stage Approach to Certification***

The certification model for building officials is a three stage process. Individuals who are within the national certification program are classified as 'Candidate', 'Associate', or 'Certified'.

**Candidate** – classification given to an individual who meets the entry level requirements as defined in the certification scheme.

**Associate** – classification given to an individual who has been appointed to enforce building code as defined in the certification scheme.

**Certified** – classification given to an individual who meets all the criteria as defined in the certification scheme. Individuals can be certified in one, two, or all three building official specialties.

The three stage approach allows inexperienced individuals to gain experience while working within the national certification program. This allows the national certification body to exercise a degree of control over the practice of individuals at the 'Candidate' (most junior) Stage, while recognizing their achievements.

Within the National Certification Program, 'Candidates' can become 'Associates' or 'Certified' in one or more of three specialties that are related to building classes and sizes.

Depending on experience and the type of work performed, individuals may be 'Certified' in one specialty, while being 'Candidates' or 'Associates' in another specialty.

For the verification strategy for each task within the NOS, please see Appendix E.

### ***'Specialties' for individuals at the Associate and Certified Stages***

There are three classes of buildings defined in the National Building Code that are relevant to the National Certification Program for building officials:

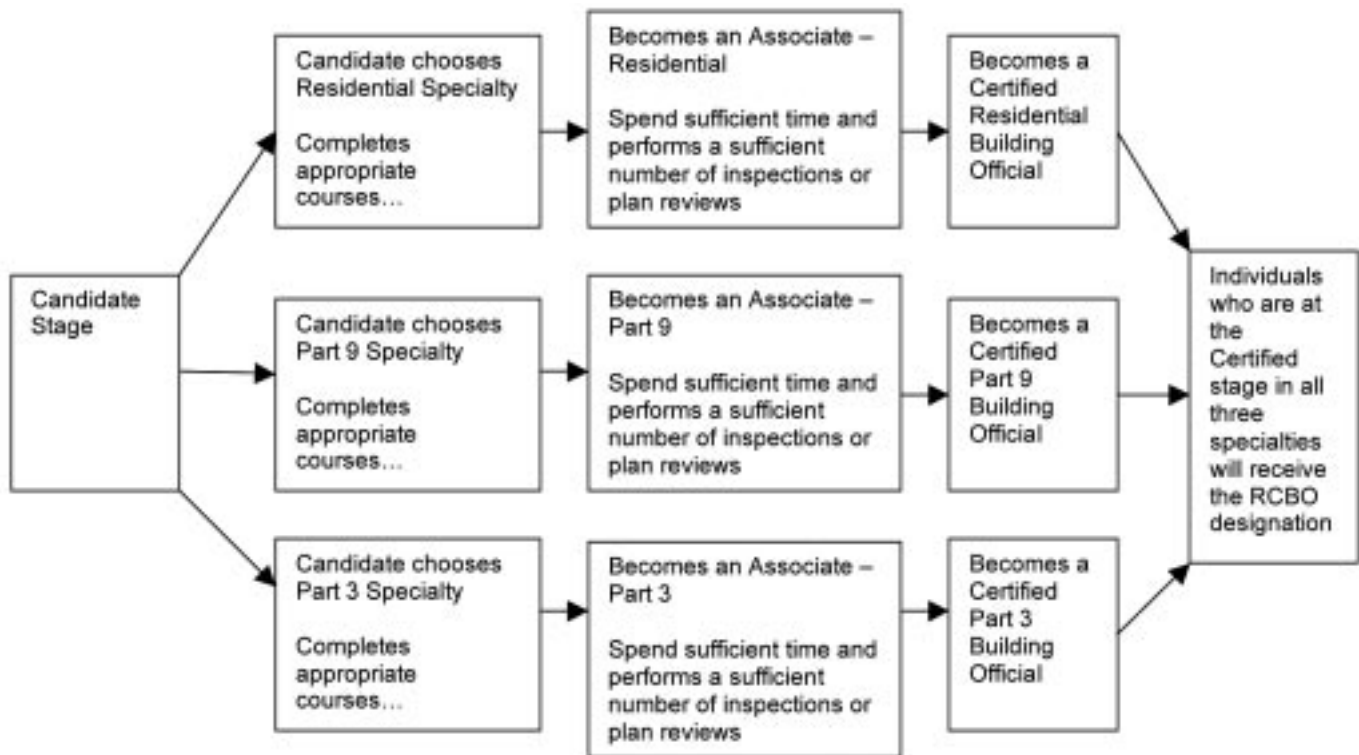
- Residential – single and two-family dwellings under 600 square meters that do not require professional certification or specific engineering calculations on plans, provided the structure is in accordance with recognized standards.
- Part 9 – buildings that qualify as Part 9 buildings, which do not qualify as 'residential'
- Part 3 – buildings which do not meet the specific requirements to qualify as Part 9 buildings. Part 3 buildings require that specific engineering calculations be made to ensure safety standards are met.

The skill sets required to conduct plan reviews and perform inspections differs with each class of building. Moreover, individual building officials do not necessarily work with all three classes of buildings.

To address this, the CHIBO Working Group decided to create specialties that align with building class definitions for individuals at the 'Associate' and Certified stages in the national certification program.

Individuals at the 'Associate' stage in the national certification program could be associates in one, two, or all three of the specialties, depending on their training and experience and the type of work they perform. Likewise, individuals at the 'Certified' stage in the national certification program could be certified in one, two, or all three of the specialties, depending on their training and experience and the type of work they perform.

The flow chart below illustrates how an individual proceeds through the certification process



Any individual who is certified as meeting the criteria for all three specialties will receive a designation tentatively called "Registered Canadian Building Official (RCBO)."

### **Background Review**

To determine where an individual fits within the national certification program, an assessment process called a 'background review' is used. Background review is the name given to the process that the certification council uses to determine if an individual should be part of the certification program, and if so, at what stage? The background review compares an individual's personal background to the background requirements for the defined 'stages' within the certification program.

Therefore, an individual who wants to be considered for any stage (and/or any specialty within a stage) would apply to the National Certification Council and present their personal background. This application is made by an individual who wants to enter the national certification program (individuals who are not yet 'Candidates'), and by individuals who want to move from one stage to another stage within the program.

An individual's personal background would be presented through a structured application form completed by the individual, which may be supplemented if necessary through an interview.

The criteria used to assess an individual during the background review process at each stage are discussed elsewhere in this report.

### ***Ethics and Professional Standards***

A key component of the national certification program is 'Ethics and Professional Standards'. Ethics and professional standards provide the public with assurance that individuals who are within a national certification program will abide by a set of rules and be governed by standards of practice that are enforceable. This component of national certification is part of the CAN-P-9 criteria.

Currently, there is no national Code of Ethics for building officials. To meet CAN-P-9 requirements, the national certification body representing building officials will have to develop or adopt a comprehensive Code of Ethics.

### ***Maintenance Requirement***

In order to ensure the competence of 'Certified' building officials, the national certification program will include a maintenance requirement. Typical maintenance activities may include some or all of the following:

- Continued industry involvement
- Continuing education and courses
- Continued professional development
- Association membership
- Meeting attendance, etc.

The CHIBO Working Committee decided that maintenance should include the following:

- Compliance with a national Code of Ethics
- Remain Current to Code – pass an exam or series of exams within three years of the introduction of a new code edition
- Commitment to a minimum of 30 hours of continuing education or service to the national certification body (or affiliated organizations) in a five year period

## ***Grand-parenting***

'Grand-parenting' is an optional element of a certification program. Where grand-parenting is used, individuals who are appointed and practicing as building officials might be made 'Associates' or 'Certified' by the National Certification Council based on their declared experience or history alone, without further background review.

Because of the comprehensive nature of the certification process, the CHBO Working Group decided there would be no grand-parenting of individuals into the national certification program for building officials. Instead, any individual who is interested in becoming part of the national certification program would present their personal background to the National Certification Council for background review. The National Certification Council would make a decision on whether to place the individual within the national certification program, and if so at what stage.

## ***Provincial Certification***

It is important to note that National Certification and Provincial Certification are two different things.

Provincial associations of building officials exist in most provinces. However, the three stages of the national certification program - 'Candidate', 'Associate' and 'Certified' - may or may not link to existing provincial certification programs.

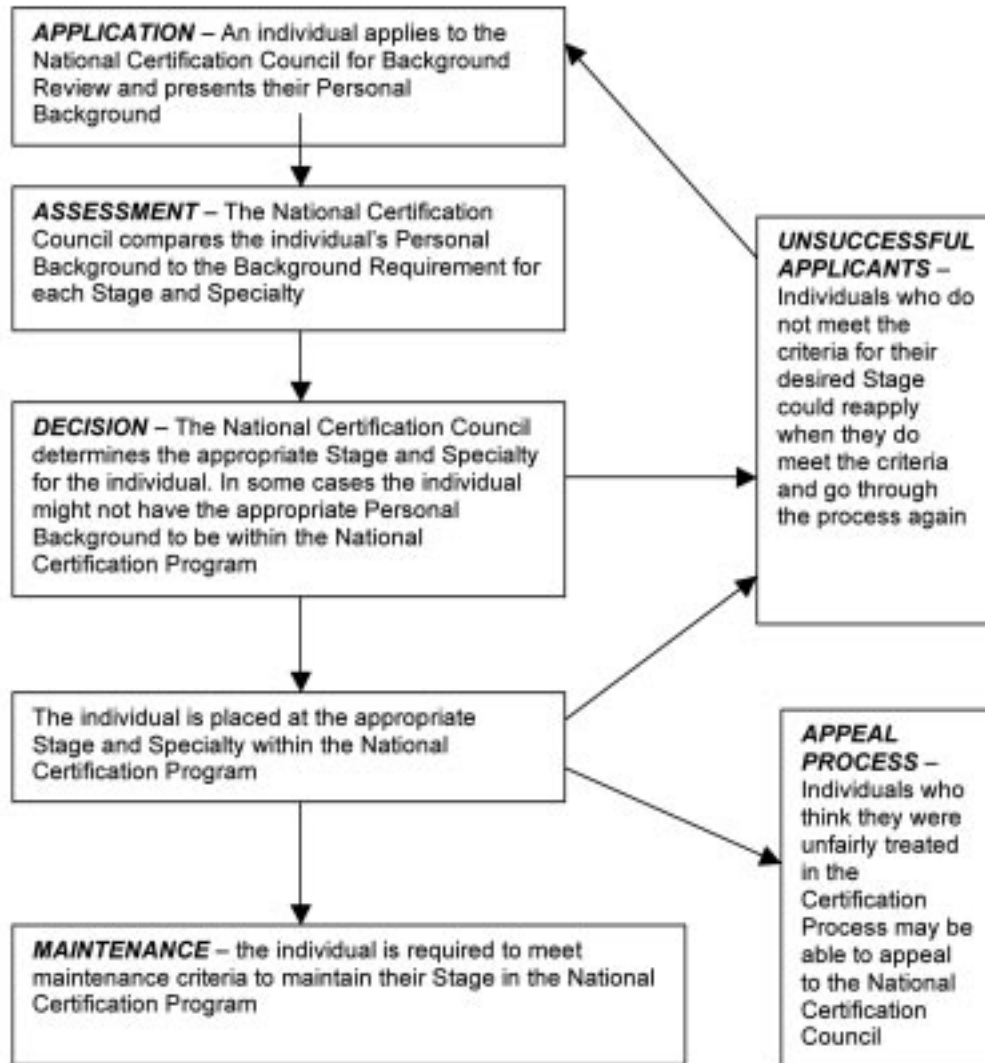
Provincial associations are free to set standards for provincial certification at any competence level they choose – either higher, lower, or the same as the competence levels required to be at any stage within the national certification program.

## ***Special Note on Liability and Certification Committees***

National Certification Bodies (and/or National Certification Committees) that determine the appropriate Stage for individuals MAY be held liable in some circumstances for the competence of that individual. The National certification body for building officials (once established) should obtain a legal opinion on this issue, and procure appropriate insurance should it be required.

## Professional Building Official National Certification Process

The certification process outlines the activities which the certification council will undertake in determining if an individual meets the specified competence requirements as defined by the certification scheme, including application, evaluation, decision on certification, surveillance and recertification, use of certificates and logos/marks. The flow chart below graphically illustrates the certification process for an individual wishing to be nationally certified as a professional building official.



## The 'Candidate' Stage

*Individuals who are not 'Candidates', 'Associates' or 'Certified' are not part of the National Certification Program, and have no status in the National Certification Program. Such individuals may or may not be members of a provincial association of building officials.*

'Candidate' is the entry point into the National Certification Program.

In this section, individuals at this Stage in the National Certification Program are called 'Candidates'.

### ***Purpose***

The 'Candidate' stage can best be described as a point of entry. The 'Candidate' stage provides interested individuals with appropriate background information required to enter into the certification program. This stage provides the national certifying body some control over the activities of individuals who are already working as or interested in working as building officials.

### ***Mentoring Entitlement***

Individuals who have entered into the national certification program as 'Candidates' would benefit from assistance or guidance in working through the certification program. While the source of this guidance should be 'Certified' individuals, this issue was not resolved by the CHIBO Working Committee.

### ***General Background Requirement for a 'Candidate'***

General background consists of all the courses and programs taken and completed by individuals in their lives AND their general work experience. The required background for building officials is:

- High School Diploma (or Equivalent)

...and one or more of the following:

- Completion of a diploma or degree program in program related to the building industry (e.g. architecture, relevant engineering or engineering technology)
- Journeyman provincial trade ticket in a building trade
- Five years of relevant work experience in the building industry

This general background provides individuals with the requisite knowledge and abilities necessary to learn the required technical skills of the building official occupation.

### ***Ethics and Professional Standard Requirements for a ‘Candidate’***

Individuals who apply to the National Certification Council to become a 'Candidate' within the national certification program would be required to sign an undertaking to uphold a national code of ethics.

### ***The Background Review Process for a ‘Candidate’***

Individuals interested in becoming a 'Candidate' would be required to complete an application for Background Review. This application would include all detailed information on how the individual meets the general background requirement for the candidate stage in the national certification program.

### ***Proposed Fees for ‘Candidate’ Background Review***

For individuals interested in becoming a 'Candidate', the background review process should be straight forward. When the fee is implemented, it is recommended the 'Candidate' background review fee be kept relatively. The fee structure is something that will be determined by the National Certification Council.

### ***Rights and Responsibilities of ‘Candidates’***

As a result of entering into the national certification program and becoming a 'Candidate', certain rights and responsibilities are assigned to the individual. These rights and responsibilities are described below:

- Candidates should not be 'appointed' (to enforce building code) until they reach the next stage of the national certification program – Associate
- Candidates must uphold a national code of ethics
- Candidates would be subject to disciplinary proceedings if they violate the code of ethics
- Candidates may also be required to uphold bylaws that may be developed by the National certification body

### ***Maintenance Requirement for ‘Candidates’***

There are no maintenance requirements for individuals at the 'Candidate' stage.

## The 'Associate' Stage

'Associate' is the stage where individuals have sufficient training to be 'appointed' (to enforce building code) within their area(s) of specialty.

Individuals at this stage are 'Associates' in one or more specialties related to building classes.

### ***Purpose***

Individuals at the 'Associate' stage have completed the courses and training required to move to the 'Certified' stage in a specialty, but do not have sufficient technical experience.

### ***Technical Training Requirements for 'Associates'***

The National Occupational Standard (NOS) for building officials requires practitioners to have a broad range of knowledge and experience. Performing this work requires a strong background in the building industry (as defined in general background requirements at the 'Candidate' stage), as well as specific and focused training on tasks specific to the building official occupation.

The CHIBO Working Group developed a comprehensive training requirement for national certification for building officials. This requirement is intended to ensure 'Associates' have the requisite skills and knowledge to act as 'appointed' building officials, and that their duties will be performed in accordance with the NOS

Prior to becoming an 'Associate', candidates must complete the following courses:

- A 'Legal Course' appropriate to the province – e.g. 'Implementation of the Building Code Act' Ontario – must have an ethical component
- An introductory 'Code Course' appropriate to the province – e.g. 'Introduction to the Building Code' British Columbia
- A 'Communications Course' appropriate to the province – e.g. 'Communications Skills' Ontario

These courses CAN be challenged.

As mentioned previously, there are three specialty areas in which an individual entering the national certification scheme can seek certification. An individual may seek to become an associate in one, two, or three streams. The following outlines the educational requirements an individual must take at each of the respective associate levels.



### **Associate – Residential**

Candidate must complete and pass the following courses:

- Building Envelope
- Health and Safety

...and/or equivalent courses approved and accredited by the national certification body

These courses CANNOT be challenged.

### **Associate – Part 9**

Candidate must complete and pass the course required for Associate – Residential, plus the following courses:

- HVAC and Fire
- Structural Course
- Basic Plan Examination

...and/or equivalent courses approved and accredited by the national certification body

These courses CANNOT be challenged.

### **Associate – Part 3**

Candidate must complete and pass the course required for Part 3:

- Large Building Health and Safety
- Large Building Classification and Construction
- Plan Examination Strategies
- Life Safety Systems
- Fire Protection

...and/or equivalent courses approved and accredited by the national certification body

These courses CANNOT be challenged.

### ***Ethics and Professional Standard Requirements for 'Associates'***

Individuals who apply to the National Certification Council to become an 'Associate' within the national certification program would be required to sign an undertaking to uphold a national code of ethics.

### ***The Background Review Process for an 'Associate'***

Individuals interested in becoming 'Associates' would complete an application for background review. This application would include detailed information on how the individual meets the general background requirement for the 'Associate' stage in the national certification program.

### ***Proposed Fees for 'Associate' Background Review***

For individuals interested in becoming 'Associates', the background review process should be straight forward. When the fee is implemented, it is recommended the 'Associate' background review fee be kept relatively low. The fee structure is something that will be determined by the National Certification Council.

### ***Rights and Responsibilities of 'Associates'***

When individuals enter into the national certification program, they are entitled to certain rights and obliged to take on certain responsibilities:

- Associates are considered ready to be 'appointed' (to enforce building code), and to conduct plan reviews and building inspections within their area(s) of specialty
- Associates must uphold a national code of ethics
- Associates would be subject to disciplinary proceedings if they violate the code of ethics
- Associates may also be required to uphold bylaws developed by the national certification body

### ***Maintenance Requirement for 'Associates'***

There is no maintenance requirement of individuals at the 'Associate' stage.

## The 'Certified' Stage

'Certified' is the top stage in the National Certification Program for Building Officials.

In this section, individuals at this Stage in the National Certification Program are called 'Certified'.

### ***Purpose***

For individuals who are actively practicing as building officials in one or more areas of specialty.

### ***Technical Experience Requirement for Becoming 'Certified'***

The public expects a practitioner who is 'Certified' in an occupation to have sufficient technical education and experience to be competent. The technical experience requirement for building officials can be measured in four ways:

- Duration – the total length of time working as a building official
- Quantity – the total number of inspections or plan reviews performed in a career
- Frequency – the total number of inspections or plan reviews performed in the last year
- Quality – confirmation that work performed complies with National Occupational Standard criteria

These requirements will ensure that 'Certified' individuals have demonstrated the knowledge and ability to apply all aspects of the NOS for building officials.

### ***Definition of 'Inspection'***

From the NOS for Professional Building Officials Block C Task 9 – 'Conducts on-site inspections'

*'Professional Building Officials physically review work undertaken at the site and determine compliance with the requirements of legislation.'*

To further clarify this definition, the CHIBO Working Group determined that:

- A typical Part 9 Residential project (such as a 2000 square foot house) may require from 4 to 6 inspections
- A typical Part 9 project may require from 4 to 6 inspections
- A typical Part 3 project (such as a 'big box' store) may require from 6 to 10 inspections

## **Definition of 'Plans Review' or 'Plans Examination'**

From the NOS for Professional Building Officials Block B Task 4 – 'Reviews Technical Documents'

'Professional Building Officials review an array of technical documents for compliance with provincial acts, regulations and municipal bylaws. This may involve the issuance of permits, licenses and special approvals.'

### **To further clarify this definition, the CHIBO Working Group determined that:**

- A typical Part 9 Residential project (such as a 2000 square foot house) may require from 1 to 3 plan reviews
- A typical Part 9 project may require from 1 to 5 plan reviews
- A typical Part 3 project (such as a 'big box' store) may require from 2 to 5 plan reviews

Generally, the practical experience requirements for an individual to become certified as a residential building official, the individual must be:

- *Appointed for a minimum of 2 years to enforce Building Code*
- *Perform a minimum of 60 Part 9 residential inspections and/or plan reviews*
- *Maintain a log that allows the Certification Council to verify that the inspections and/or plan reviews were conducted*

For an individual to become certified as a Part 9 Building Official, the individual must be:

- *Appointed for a minimum of 3 years enforcing Part 9 Building Code*
- *Perform a minimum of 60 Part 9 Inspections and/or Plan Reviews (excluding single and two family dwelling units)*
- *Maintain a log that allows the National Certification Council to verify that the inspections and/or plan reviews were conducted*

For an individual to become certified as a Part 3 Building Official, the individual must be:

- *Appointed for a minimum of 5 years enforcing Building Code*
- *Perform a minimum of 60 Part 3 Inspections and/or Plan Reviews*
- *Maintain a log that allows the National Certification Council to verify that the inspections and/or plan reviews were conducted*

Individuals who are at the certified stage in all three specialties will receive a designation tentatively called Registered Canadian Building Official (RCBO).

### ***Ethics and Professional Standard Requirements for Individuals who are 'Certified'***

Individuals who apply to the National Certification Council to become an 'Associate' within the national certification program would be required to sign an undertaking to uphold a national code of ethics.

### ***The Background Review Process for Individuals Interested in Becoming 'Certified'***

Individuals interested in becoming Associates would complete an application for background review. This application would include detailed information on how the individual meets the general background requirement for the 'Certified' stage in the National Certification Program.

### ***Proposed Fees for 'Certified' Background Review***

For individuals interested in becoming an Associate, the background review process should be straight forward. When the fee is implemented, it is recommended the 'Associate' background review fee be kept relatively low. The fee structure will be determined by the National Certification Council.

### ***Rights and Responsibilities of 'Certified' Individuals***

Certain rights and responsibilities are assigned to Certified individuals. These rights and responsibilities are described below:

- Certified individuals must uphold a national Code of Ethics
- Certified individuals would be subject to disciplinary proceedings if they violated the Code of Ethics
- Certified individuals may also be required to uphold bylaws developed by the National certification body

### ***Maintenance Requirement for 'Certified' individuals***

Individuals who have been certified through the national certification scheme will be required to maintain their certification status by adhering to the following:

- *Complying with a National Code of Ethics and/or Code of Conduct*
- *Remain Current to Code – pass an exam or series of exams within 3 years of the introduction of a new code edition*
- *Commitment to a minimum of 30 hours of continuing education or service to the national certification body (or affiliated organizations) in a 5 year period*

NOTE – continued 'appointed' status is not a maintenance requirement

## Exemptions for Individuals who are currently ‘Appointed’

Individuals who are currently ‘appointed’ to enforce building code may be exempted from the need to complete certain courses for a period of time. The decision on whether or not to grant the exemption will be made by the National Certification Council.

General exemptions are as follows:

Individuals who are currently appointed to enforce building code:

*Exempted from the General Background Requirement of the National Certification Program (Candidate stage)*

Individuals who are currently appointed, and who have been appointed to enforce building code for a **minimum of three years out of the past five years** may be exempted from the need to complete the following Associate stage courses:

- A ‘Legal Course’ appropriate to the province – e.g. ‘Implementation of the Building Code Act’ Ontario...must have an ethical component
- An introductory ‘Code Course’ appropriate to the province – e.g. ‘Introduction to the Building Code’ British Columbia
- A ‘Communications Course’ appropriate to the province – e.g. ‘Communications Skills’ Ontario

Individuals who are currently appointed, and who have been appointed to enforce building code for a **minimum of five years out of the past seven years** may be exempted from the need to complete and pass the courses required to become an Associate – Residential.

*In order to become certified in the residential specialty (Certified Residential Building Official), the individual must demonstrate that the required time and inspections necessary to meet the criteria for a Certified Residential Building Official have been completed.*

Individuals who have been appointed to enforce building code for a **minimum of six years out of the past eight years** may be exempted from the need to complete and pass the courses required to become an Associate – Part 9.

*In order to become certified in the Part 9 specialty (Certified Part 9 Building Official), the individual must demonstrate that the required time and inspections necessary to meet the criteria for a Certified Part 9 Building Official have been completed.*

Individuals who have been appointed to enforce building code for a **minimum of eight years out of the past ten years** may be exempted from the need to complete and pass the courses required to become an Associate – Part 3.

*In order to become certified in the Part 3 specialty (Certified Part 3 Building Official), the individual must demonstrate that the required time and inspections necessary to meet the criteria for a Certified Part 3 Building Official have been completed.*

## National Accreditation Model – The Accreditation Process

Accreditation is the process a certifying body uses to determine whether the courses or programs offered by a training provider meet some or all of the skill and knowledge requirements of a National Occupational Standard. It also involves an assessment of a provider's ability to provide a consistent standard of training.

For building officials, national accreditation will be the responsibility of a national accreditation committee.

The steps in accreditation are:

1. Establishing the *bona fides* of the training provider
2. Gathering information regarding specific courses or programs provided
3. Determining skill and/or knowledge levels delivered in the program
4. Mapping course or program topics to the requirements of the NOS
5. Determining the degree of compliance with the elements of the NOS
6. Auditing courses or programs
7. Reviewing program participants for satisfaction and competency

It is also necessary to review the occupational standard for indications of the degree of competency required for each listed task in order to allow comparison with course/program learning objectives (Step 5).

### **1. Establishing the Bona Fides of a Training Provider**

The first step ensures that the national accreditation committee (and the national certification body) maintains credibility by *NOT* granting accreditation to 'fly-by-night' operators. It is important that the accreditation (which is in effect the certifying body's seal of approval for a training provider) only be granted to legitimate training providers who meet certain eligibility criteria.

*At a minimum, training providers must demonstrate that they are legitimate, can demonstrate adequate processes for maintaining instructional standards, and maintain adequate processes for verifying the competence of trainees.*

#### **Verification of Legitimacy**

The test of legitimacy ensures that the training provider seeking accreditation is a legitimate entity. For any course or program being considered for accreditation, it is necessary to determine whether or not the provider:

- is a legal entity registered within its jurisdiction
- has been in operation a minimum of three years, and
- is financially solvent, and likely to remain so

The first criterion is easy to establish – the training provider will have a business number or other registration, which can be traced through the jurisdiction that granted it. It is also prudent for certifying bodies to conduct a background check through the local chamber of commerce, better business bureau or other organization.

The second criterion is somewhat harder to establish, but again if the entity is registered the information is available through the registering agency.

The third criterion requires a credit check. These can be done (for a fee), and normally the permission of the entity being checked is required. This last check is important where doubts exist as to the viability of a training provider. The criterion to submit to a credit check will often act as a disincentive to questionable practitioners.

In many cases, the test of legitimacy may already have been accomplished by another agency. A good example is a training provider that is accredited by a provincial education ministry as a post-secondary or vocational school. This would constitute *prima facie* evidence of legitimacy. All chartered Canadian universities, community colleges and technical institutes fall into this category, as do many private training providers who have proven to a provincial authority that they are legitimate centers of learning.

International colleges and technical schools are a bit trickier. Some have received accreditation from government departments (particularly in the USA) whose processes are rigorous and well documented, and these institutes may also be deemed as having passed the test of legitimacy. Accrediting bodies whose standards may be considered as the equivalent of a Canadian charter include the Accrediting Commission of Career Schools and Colleges of Technology (ACCST), and the Accrediting Council for Continuing Education and Training (ACCET).

There are other international accreditation agencies, many of which are serious, legitimate and rigorous in their processes. Wherever a claim to accreditation is made, the national accreditation committee must undertake due diligence to verify that the claimant is in fact accredited, and also that the process of accreditation meets the standards of the test of legitimacy.

## **Verification of Instructional Standards**

As part of the verification process, training providers seeking accreditation must provide details of their process for establishing and maintaining instructional standards:

- How they determine the standards required for teaching
- What processes they have in place internally to ensure these standards are being met

Where a training provider has a formal instructional standards program in place, it will be necessary to determine when the course/program under consideration was last audited, and what the findings of the audit were.



Again, Canadian chartered training providers and institutions may be deemed to have passed this test. International training providers with adequate standing in their respective jurisdictions MAY pass this test. Note that it may be difficult to determine the standing of private, non-chartered training providers under this criterion without conducting an on-site audit, which adds to the complexity and expense of the accreditation process.

### **Verification of Trainee Evaluation**

It is necessary to determine the mechanism(s) that a training provider uses to verify the competence of trainees. Accreditation cannot be granted to a course or program where no means of testing competence or confirming learning is in place. This would eliminate many seminar and workshop type courses from consideration unless there is a testing component built in.

Canadian chartered training providers and institutions can be considered as having passed this test for courses or programs offered as part of a recognized post-secondary curriculum. For adult education courses that are not part of a recognized program or curriculum, it will be necessary to verify the type and quantity of testing that occurs. Once again, private, non-chartered training providers present the greatest difficulty in verifying this criterion.

### ***Recommendations:***

- Canadian chartered institutions should be deemed to have passed the test of legitimacy for courses or programs that are part of a recognized post-secondary curriculum.
- International training providers should not be considered at this time due to the cost and complexity of verifying standards. Once the certification and accreditation programs are implemented and have been running for a period of 3 to 5 years, the national accreditation committee may begin to consider international training providers.
- Caution should be exercised in verifying private, non-chartered training providers. This verification should be conducted on a case-by-case basis and only where sufficient information exists to indicate that the organization will have a reasonable chance of passing the test of legitimacy.

## **2. *Gathering of Information Regarding Specific Courses or Programs Provided***

The national accreditation committee will have to gather information about the learning objectives of courses and programs. The information can be provided by the training provider as part of a submission of accreditation, or gathered by the organization independent of the institution.

A draft form for recording this information can be found in Appendix D to this report.

### **3. Mapping Course/Program Topics to the National Occupational Standard**

Courses and programs must be mapped or linked to specific tasks in the National Occupational Standard for building officials. The linkages may be apparent – for example, a program may have an obvious link to an NOS element, and this may be apparent in the name of the course (“Visual Inspection of Concrete Foundations”).

In other cases the link may be a bit more tenuous – for example, a course may require a trainee submit a written or verbal report (part of testing) that may satisfy a requirement under an administrative component of the NOS.

Course mapping is conducted using a standard form. A draft copy of the form can be found in Appendix D.

#### **Recommendations:**

- A review of this type should be conducted by two or more individuals and the results compared to ensure that all elements are correctly mapped.

### **4. Skill and/or Knowledge Levels Required in the NOS and Delivered by a Course/ Program**

As part of this project, the tasks defined in the National Occupational Standard for building officials underwent taxonomic analysis. All NOS tasks have been evaluated at an Application level of 3, and a Knowledge level of 2.

Elements of a course or program that map to specific elements of the NOS were analyzed to define the level of skill and/or knowledge acquired by successful trainees. Skill and knowledge levels were determined by analyzing the wording of learning objectives for course modules.

The complete procedure for performing this Taxonomic Analysis is included in the Appendices to this report. Note that taxonomic analysis will only determine what level of skill or knowledge has been designed into a program – only an audit can determine whether these levels are actually delivered.

### **5. Degree of Compliance with the Elements of the National Occupational Standard**

To address Step 5, a comparison is made between the required skill and knowledge level of the NOS and the design levels of a course or program. Once analysis is complete, the reviewer could make a statement like:

- "The course is designed to meet the skill and knowledge requirements for Task 18 of the NOS"

**OR**

- "The course is designed to meet the knowledge components of the NOS, additional training and/or experience would be required to fully meet the skill requirements of the NOS"

It is unlikely that a course or program will deliver the required application elements. Accreditation should be considered as a means of determining which courses or programs provide adequate knowledge, and move a candidate closer to the required skill level. Candidate skills are better evaluated through the practical experience requirements of the national certification scheme.

## **6. Audit of Course or Program**

It is important to establish a process for auditing a course or program to verify that it delivers in accordance with its design goals.

In addition, the national accreditation committee should establish an audit procedure for verifying courses or programs on a random basis as a quality control mechanism, as well as performing an audit in circumstances where the committee has reason to believe that there may be a problem with maintaining the standard of accreditation. Such circumstances could include complaints from trainees or the public, or the discovery of competency gaps in graduates of a course or program.

Audit may also consist of a review of average marks of trainees enrolled in the program, number of successful graduates versus the total number of enrollees, etc. A draft format and checklist for conducting an audit is included in the Appendices to this report.

### **Recommendations:**

- Periodic audit of programs should be a prerequisite for granting and maintaining accreditation.
- All accredited programs should be reviewed on a periodic basis to ensure they are still in compliance with the criteria for accreditation. At a minimum, this review should occur following any change to the NOS.

## **7. Review of Program Participants**

The last element of accreditation is a review of program participants, including current trainees and recent graduates. This can be accomplished through a survey tool administered after completion of a course to determine both the trainees' level of satisfaction with the training course or program, and the degree to which they believe the training is meeting their needs.

While it is true that such an evaluation is subjective, it does provide valuable information and points to trends and areas where further investigation may be required.

## **Strategic Framework - Infrastructure Required to Support National Certification and Accreditation**

### ***Roles and Responsibilities***

Assumption - a complete breakdown of responsibilities and authorities between the national certification body and provincial affiliated organizations will be negotiated as part of a formal affiliation or teaming agreement.

In order to implement and administer a viable national certification and accreditation model, a number of roles would need to be established. These include:

- National Certification Body
- National Certification Council
- National Registrar
- National Accreditation Committee

### ***National Certification Body***

Assumption – the most appropriate national certification body for building officials has not been determined, and is outside the scope of this project. Organizations that wish to act as the national certification body should comply closely with CAN-P-9 criteria.

### ***National Certification Council***

The national certification body would delegate 'Authority to Certify' to a National Certification Council. The Council would operate under the authority of the national certification body.

CAN-P-9 criteria does not allow decisions on certification to be subcontracted. However, other organizations could provide the National Certification Council with recommendations as to whether specific individuals meet the background requirements of the National Certification Program.

Elements of the national certification model developed by the CHIBO Working Committee would be difficult for a national certification council to administer. Therefore, this model assumes that associations at the provincial level will be involved in the national certification program and will provide recommendations on certification to the National Certification Council. **Note that certain elements could be outsourced as long as the final decision to certify rest with the certifying body.** Guidance on outsourcing is included in Appendix G

## ***National Certification Council Members***

The composition of the National Certification Council could be as follows:

- *One representative from each province:* The representative would be a 'Certified' individual, and would be appointed for a fixed term (3 years is a standard length in other organizations). Back-up or alternate candidates could also be designated to ensure continuity and attend committee meetings in the absence of the representative. Representatives would normally serve at most two consecutive terms, unless otherwise agreed upon. In the interests of continuity, staggered terms or other adjustments to the timing of National Certification Council appointments may be necessary.
- *Council Chair:* For continuity, the term of the Chair would normally be the same as the term of a provincial representative, with an individual normally limited to two consecutive terms. The Chair may not also represent a specific province. The Chair would be selected by the members of the National Certification Council.
- Other individuals as deemed appropriate by the national certification body.

## ***Meetings of the National Certification Council***

The National Certification Council would meet on a regular basis (at least twice per calendar year is recommended), with other meetings as may be designated from time to time. Work of the council will continue between such meetings through the work of sub committees and task groups who can communicate in other ways (e.g. e-mail, writing, phone calls) with both the council and the associations to expedite particular issues as designated by the council and report on such actions at subsequent meetings.

## ***National Registrar***

The national certification body should have a National Registrar to keep track of the status individuals who are part of the National Certification Program.

## ***National Accreditation Committee***

The National certification body would delegate accreditation to a National Accreditation Committee. The National Accreditation Committee would be a committee that operates under the authority of the national certification body.

The National Accreditation Committee will be responsible for reviewing and granting accreditation to training providers for their courses or programs, and would act as the single point of contact for organizations seeking accreditation.

National Accreditation Committee activity would center on the seven steps of accreditation:

1. Establishing the *bona fides* of the training provider
2. Gathering information regarding specific courses or programs provided

3. Determining skill and/or knowledge levels delivered in the program
4. Mapping course or program topics to the requirements of the NOS
5. Determining the degree of compliance with the elements of the NOS
6. Auditing courses or programs
7. Reviewing program participants for satisfaction and competency

While some elements of the national certification model can be administered by provincial or regional associations, accreditation should be handled centrally by the National Accreditation Committee. At a minimum, the responsibility for performing accreditation reviews at the request of a particular training provider should be national. This gives training providers a single point of entry into the national certification program.

### ***Maintenance of an Accreditation Database***

As shown above, a number of different agencies and organizations may be involved in conducting accreditation reviews. In order to avoid duplication of effort, a central repository of information on accredited courses/programs must be established. Periodic updates to this database (at least annually) will be required. Each provincial certification body must have access to the database, which forms part of a necessary communication link between provincial certification committees to ensure consistency in approach.

This report includes a database populated with accreditation data on a number of courses and programs from a number of training providers. The information was gathered as part of this project, and could be used as a starting point for a national accreditation database.

### ***Fees for Accreditation***

It is customary to charge an accreditation fee to institutions and training providers who seek accreditation. The fee is a reflection of the time and effort required to adequately determine whether a course or program meets the needs of the certification scheme. The logic is that accreditation provides a marketing advantage to organizations that achieve it; that is, they will be able to attract more students/trainees (or charge higher rates) if they can show that their product is accepted as part of the national certification program for an occupation. In the short term it is not practical to charge for accreditation, since there is currently no national certification program in place.

Once the national certification program is launched, it will be necessary to market the program to training providers. The success of a "for fee" accreditation will hinge on the overall marketing of the national certification. If national certification becomes mandatory (either through regulation or through market forces) then individuals who seek certification must first seek out accredited training providers.

### ***Recommendation:***

- As an interim measure, the national certification body could partner with one or more training providers to develop a complete, accredited training program for the occupation. Subsequent programs can then be measured against this standard, and a fee charged for the analysis.

## **Costs of a National Certification Program for Building Officials**

The cost of operating the National Certification Program must be considered. Cost is difficult to determine, but the following elements will ensure the national certification program will be viable:

- Volunteer certification and accreditation committees made up of 'Certified' individuals, and other individuals from outside the building official occupation.
- Structured use of background review, where the National Certification Council (and/or provincial organizations that make recommendations to the National Certification Council) use a checklist approach to compare personal background to background requirements.
- Use of computer based tools and records/data/examination/administration to quickly establish whether or not an individual's general education, technical education, and technical training meets the requirements of the NOS.
- An emphasis on individual applicants 'making their case' for acceptance into the National Certification Program (at all stages). Individuals will do the majority of the work in assembling their personal background information for background review by the National Certification Council.

Even with volunteers, there will be costs associated with running a National Certification Program. These costs must be borne by the individuals who apply for a change to their certification status and possibly by provincial associations.

In order to become 'Certified', an individual must demonstrate, through a combination of training, experience and verification that they are competent in all tasks in the National Occupational Standard for the building official occupation.

To provide a set of guidelines for verifying compliance, another section of this report maps each of the elements of the National Occupational Standard to an appropriate primary and secondary verification method, as well as a cursory indication of where training may be obtained to meet the standards. This is then fully developed into a checklist for conducting the background review and determining the appropriate stage for an individual.

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## **Implementation – Other Issues to Consider**

### ***Comments on the Situation and Potential Barriers to Implementation***

One thousand or more building officials will need to undergo background review in order to be properly placed within the national certification program. Ideally this mass placement should happen within a relatively short period of time – a maximum of one year.

At present, a national certification body has not been selected or created. Once the national certification body is created (or selected), there are many policies and committees that will have to be created to make the body compliant with CAN-P-9 criteria. Assuming each individual who applies for background review will require a minimum of 20 to 30 minutes of review time by the National Certification Council, approximately 500 hours of committee review time will be required to properly place 1000 individuals. It is unlikely that volunteers serving on the National Certification Council will be willing or able to provide the required time.

The recommended range for the background review fee is \$ 50 to \$100. However, individuals applying for entry into a new National Certification Program may be reluctant to pay this fee. This reluctance may be greater where the individual is already a member of a provincial association. Once the National Certification Program is widely known and accepted, new applicants are more likely to be willing to pay the fee.



## **Implementation – Possible Time Frame**

The following constitutes a possible timeline for implementation of this model. Additional points to be considered on the road to implementation are included in the Strategic Framework Appendix F.

### ***The First Six Months***

- The project report is distributed to interested parties in all provinces and jurisdictions with the creation of a national certification body compliant with CAN-P-9. The national certification body decides on background review fees during an introductory period that lasts for at least a year. It is the recommendation that for the first year of implementation that no fee be charged during introductory period.
- The national certification body (National Registrar) develops databases capable of compiling detailed information on each individual who is within the national certification program.
- The national certification body develops alliances with associations and organizations with a stake in the building official occupation to raise awareness amongst individual building officials – including members of ACBOA provincial associations, non member practitioners, and other interested parties.

### ***Months Six to Twelve***

- Hold informational meetings in all provinces. The meetings include all possible building official associations and groups.
- Explain the benefits of national certification and answer questions.
- Distribute background review applications – printed and electronic form.
- Invite all interested, qualified individuals to complete the application.
- Pilot the background review process using the applications that have been received. At first background review should only be performed by individuals with a deep understanding of the certification scheme in a pilot process. The pilot process would also test the integrity of the National Certification Program database.

### ***Months Twelve to Eighteen***

- As background review progresses, those individuals who are accepted into the scheme are notified and their background information is entered into the database. Certificates are distributed.
- Individuals who are not accepted into the scheme receive a letter explaining what deficiencies have to be corrected before they will be accepted.
- The national certification body continues to develop alliances with provincial associations and other organizations, and continues to promote the national certification scheme in every way they can, encouraging qualified practitioners to apply for background review.

- By the end of the period, the majority of background review applications should be received and processed, and qualified individuals are part of the National Certification Program.
- Provincial associations and organizations across Canada receive workshops on how to conduct the background review process – they would then begin conducting background reviews and making recommendations to the National Certification Council.

## Glossary of Terms

### **ACBOA (Alliance of Canadian Building Official's Associations)**

- A national association which represents the professional building official occupation.
- At the present time, members of ACBOA consist of provincial building official's associations
- Individuals are associated with ACBOA through membership in an ACBOA provincial association

### **ACBOA Code of Ethics**

- The ethical commitment that an individual must make in order to be a member of an ACBOA provincial association
- At the present time, an ACBOA Code of Ethics does not exist
- Most if not all ACBOA provincial associations have a code of ethics

### **ACBOA Logo**

- A symbol that identifies ACBOA
- The logo should be a registered trademark with restrictions on use imposed by ACBOA
- ACBOA could grant the right to use the logo to ACBOA provincial associations and to individuals

### **ACBOA Provincial Association**

- An association of building officials that is a member of ACBOA
- In some cases a provincial association may have jurisdiction in more than one province

### **Accreditation**

- The process a certifying body uses to determine whether the courses or programs offered by a training provider meet some or all of the skill and knowledge requirements of a National Occupational Standard. It also involves an assessment of a provider's ability to deliver a consistent standard of training
- See 'National Accreditation Committee'

### **Appeal**

- A request by an individual for reconsideration of any decision made by a certification committee
- *CAN-P-9 definition: Request by applicant, candidate, or certified person for reconsideration of any adverse decision made by the certification body related to his/her desired certification status*

### **'Appointed' or 'Appointment'**

- The authority to enforce building code(s)
- This authority is granted to an individual by municipalities or other political jurisdictions
- At the present time, municipalities and other political jurisdictions are free to 'appoint' whoever they wish
- From the NOS for Professional Building Officials Block D Task 12 – 'Administers Provincial Law': *The regulation of construction in Canada is a provincial and territorial responsibility. The province passes enabling legislation allowing municipalities and other levels of government to*

*become responsible for enforcing building, property and life safety regulations and codes. The authority and responsibilities of the Professional Building Official are derived from the provincial legislation. Professional Building Officials are responsible for the enforcement of provincial laws and related regulations and codes.*

**Associate**

- A stage in the national certification program for building officials
- In order to become an 'Associate', an individual must meet the requirements of the national certification program as defined in the certification scheme
- Individuals can be at the 'Associate' stage in one, two, or all three specialties – Residential, Part 9, Part 3
- See 'Associate-Residential'
- See 'Associate – Part 9'
- See 'Associate – Part 3'
- *CAN-P-9 definition: Applicant who has fulfilled specified pre-requisites, allowing his/her participation in the certification process*

**Associate – Part 9**

- An individual who is at the 'Associate' stage in the Part 9 specialty.....within the national certification program for building officials

**Associate – Part 3**

- An individual who is at the 'Associate' stage in the Part 3 specialty.....within the national certification program for building officials

**Associate – Residential**

- An individual who is at the 'Associate' stage in the Residential specialty.....within the national certification program for building officials

**Association Membership**

- Individual or organizational membership in a provincial or national association that represents an occupation
- Normally, individuals need to be members in good standing of an association in order to be part of a certification program. This membership may be with a national association or with a provincial association that is itself a member of the national association
- Normally carries obligations such as required compliance with a Code of Ethics

**Authority to Certify**

- The authority or right to certify individuals as competent to practice or work within an occupation or profession
- Authority to certify may be provincial, national, or international
- In the case of a national certification, authority to certify would have to be national. However, national certification may not be recognized as valid within a province or sufficient to practice or work within a province

- Authority to certify may be granted through legislation, or simply assumed by a national organization
- More than one organization may hold authority to certify for an occupation
- More than one type of national certification for an occupation or profession may exist

**Background Requirement**

- A combination of personal background, education, and experience relevant to the occupation that is required for an individual to be part of a national certification program
- The Background Requirement for building officials should be linked to the tasks that make up the National Occupational Standard (NOS) for building officials
- Specific background requirements for the 'Stages' in the national certification program for building officials are defined in the certification scheme

**Background Review**

- The process that a certification committee uses to determine whether or not an individual should be part of a certification program, and if so, the appropriate stage within the certification program as defined in the certification scheme
- Background Review compares an individual's personal background to the background requirements for the defined 'stages' within the certification program

**Board of Examiners**

- See 'Certification Committee'

**Building Official**

- See 'Professional Building Official'

**Building Science**

- Related to construction, architecture, engineering technology, or engineering

**Candidate**

- A stage in the national certification program for building officials
- In order to become a 'Candidate', an individual must meet the requirements of the national certification program as defined in the certification scheme

**CAN-P-9**

- An International Standard endorsed by the Standards Council of Canada which defines 'Criteria for Accreditation of Personnel Certification Bodies'
- The standards are based on ISO/IEC 17024:2003

**Certificate of Competence**

- A printed confirmation of certification that is provided to an individual by a certification body
- Certificates of Competence remain the property of the certification body
- See 'Designation'

**Certification**

- See 'Certification Process'
- See 'Certification Scheme'
- See 'Certification Program'

**Certification Body**

- An association or organization that oversees a certification program and/or a certification process
- See 'national certification body'

**Certification Committee**

- A group of individuals who determine whether or not an individual's Personal Background meets the Background Requirements defined in the Certification Scheme, and if so, the Stage that the individual has achieved
- See 'National Certification Council'
- See 'Provincial Certification Committee'

**Certification Process**

- All activities by which a certification council and/or committee establishes that an individual meets specified competence requirements defined within a certification scheme, including application, evaluation, decision on certification, surveillance and recertification, use of certificates and logos/marks
- *CAN-P-9 definition: All activities by which a certification body establishes that a person meets specified competence requirements, including application, evaluation, decision on certification, surveillance and recertification, use of certificates and logos/marks*

**Certification Program**

- The program that oversees all aspects of certification
- See 'National Certification Program'

**Certification Scheme**

- The specific background, technical, and relevant experience requirements defined for each stage within a certification program
- *CAN-P-9 definition: specific certification requirements related to specified categories of persons to which the same particular standards and rules, and the same procedures apply*

**Certification System**

- See 'Certification Process'
- *CAN-P-9 definition: Set of procedures and resources for carrying out the certification process as per a certification scheme, leading to the issue of a certificate of competence including maintenance*

**Certified**

- A stage in the national certification program for building officials
- In order to become 'Certified', an individual must meet the requirements of the national certification program as defined in the certification scheme
- Individuals can be at the 'Certified' stage in one, two, or all three of the following specialties - Residential, Part 9, Part 3

### **Certified Residential Building Official**

- A designation awarded to individuals who are at the certified stage in the Residential specialty....within the national certification program for building officials

### **Certified Part 9 Building Official**

- A designation awarded to individuals who are at the certified stage in the Part 9 specialty....within the national certification program for building officials

### **Certified Part 3 Building Official**

- A designation awarded to individuals who are at the certified stage in the Part 3 specialty....within the national certification program for building officials

### **Code of Conduct**

- See 'Code of Ethics'

### **Code of Ethics**

- The ethical commitment that an individual must make in order to be a member in good standing of an association

### **Competence**

- See 'Personal Background'
- *CAN-P-9 definition: Demonstrated ability to apply knowledge and/or skills, and where relevant, demonstrated personal attributes, as defined in the certification scheme*

### **Complaint**

- Concerns raised by members of the public regarding the conduct of an individual who is part of a certification program
- *CAN-P-9 definition: conformity assessment request, other than an appeal, by any organization or individual to a certification body, for corrective action relating to the activities of that body or to those of any of its customers*

### **Credentials**

- See 'Personal Background'

### **Designation**

- Awarded by a certification body to individuals who have achieved the 'Certified' stage within a certification program. Individuals are normally permitted to use the designation as a way of distinguishing themselves from uncertified individuals
- Normally a certificate of competence is awarded along with the designation
- See 'Certificate of Competence'

### **Disciplinary Process**

- A process used by a certification body and/or a certification committee to deal with complaints against individuals who are part of the certification program

**Empowered**

- See 'Appointed'

**Ethics & Professional Standards**

- This element of a certification scheme and/or certification program is intended to provide the public with assurance that certified individuals will abide by a set of rules and be governed by standards of practice that are enforceable
- Normally these standards are upheld by requiring individuals who are part of a certification program to comply with a code of ethics

**Evaluation**

- See 'Background Review'
- *CAN-P-9 definition: Process that assesses a person's fulfillment of the requirements of the scheme, leading to a decision on certification*

**Examination**

- A mechanism which measures an individual's competence by one or more means. Means could include written, oral, practical and/or through observation. Examination is normally part of a background review process
- Examinations should test for knowledge and demonstrated ability to perform the tasks defined in the National Occupational Standard.
- *CAN-P-9 definition: Mechanism that is part of the evaluation, which measures a candidate's competence by one or more means such as written, oral, practical and observational*

**Examiner**

- An individual with relevant technical and personal qualifications, competent to conduct and/or score an examination
- *CAN-P-9 definition: Person with relevant technical and personal qualifications, competent to conduct and/or score an examination*

**FNBO (First Nations Building Officer)**

- An occupation defined by a National Occupational Standard
- The occupation includes tasks that are part of the PBO (Professional Building Official) and HPI (Home and Property Inspector) occupations
- As a rule, work performed by FNBOs takes place on First Nations land in Canada

**General Background**

- All the courses and programs taken and completed by an individual in their lifetime, and their general work experience in all occupations
- General background is not necessarily directly related to a specific occupation

**Good Standing**

- A member of an association may be in 'good standing' when they:
  - o Are current with association dues and/or membership fees
  - o Conform to the association's code of ethics



- o Are in compliance with other membership requirements, such as maintenance or meeting attendance
- o Are not under the disciplinary process
- 'Good Standing' is normally part of the membership requirement of an association

### **Grand Fathering**

- An optional element of a certification process or certification scheme, where individuals who are practicing within an occupation become part of the certification program based on their experience, without undergoing further background review

### **Grand-parenting**

- See 'Grand Fathering'

### **Home and Property Inspector (HPI)**

- An occupation defined by a National Occupational Standard
- Home and property inspectors conduct visual inspections of new and existing buildings and properties to assess the condition of the building or property. Based on the inspection, they provide observations, opinions and recommendations to their customers

### **Inspection**

- From the National Occupational Standard for Professional Building Officials Block C Task 9 – 'Conducts on-site inspections'  
*'Professional Building Officials physically review work undertaken at the site and determines compliance with the requirements of legislation.'*

To further clarify this definition, the CHIBO working group determined that:

- A typical Part 9 Residential project (such as a 2000 square foot house) may require from 4 to 6 inspections
- A typical Part 9 project may require from 4 to 6 inspections
- A typical Part 3 project (such as a 'big box' store) may require from 6 to 10 inspections

### **Jurisdiction**

- Examples of jurisdictions include municipalities, towns, cities, counties, and provinces

### **Levels of Certification**

- See 'Stages'

### **Maintenance Requirement**

- Activities that must be completed in order for an individual to remain within a certification program
- Requirements may be different depending on the individual's stage within a certification program
- Maintenance Requirements are defined in the certification scheme
- Maintenance activities may include continued industry involvement, courses, continued professional development, association membership, meeting attendance, etc

**Member**

- An individual or organization who is a member in good standing of an association

**Mentor**

- An individual who helps other individuals to advance within a certification program

**Municipality**

- See 'Jurisdiction'

**National Accreditation Committee**

- A committee within a national certification body
- The committee is responsible for reviewing training companies and institutions and their course and program offerings to determine whether they are appropriate for inclusion in the national certification scheme
- Where the institutions and programs are appropriate, they are accredited by the national accreditation committee

**National Certification Body**

- The association or organization that oversees a national certification program and/or process, including accreditation of programs that are part of the national certification scheme

**National Certification Council**

- A committee within a national certification body that oversees a national certification program
- A National Certification Council has the authority to determine whether an individual should be within a national certification program, and if so, at what stage
- See 'Certification Committee'

**National Certification Program**

- A program that oversees all aspects of national certification and accreditation for an occupation or profession
- In the case of building officials, individuals at the 'Candidate', 'Associate', and 'Certified' stages are within the national certification program
- See 'Certification Program'

**National Occupational Standard (NOS)**

- A document that defines the Blocks, Task, and Sub-tasks that define a specific occupation.
- These Blocks, Tasks, and Sub-tasks should be understood and applied by competent individuals working in the occupation
- The National Occupational Standard is the basis for determining the background requirement within a certification scheme

**National Registrar**

- An individual or organization that is responsible for keeping track of all individuals who are within a National Certification Program
- The National Registrar is closely affiliated with the national certification body

**Occupation**

- A series of tasks that have been organized and defined into a National Occupational Standard

**Personal Background**

- An individual's combination of personal attributes, education, training, and/or work experience
- This includes general background, technical training, and experience specific to an occupation
- The individual may be required to demonstrate their ability to apply knowledge and/or skills and, where relevant, demonstrate personal attributes

**Plan Review...or Plan Examination**

- From the National Occupational Standard for Professional Building Officials Block B Task 4 – 'Reviews Technical Documents'

*'Professional Building Officials review an array of technical documents for compliance with provincial acts, regulations and municipal bylaws. This may involve the issuance of permits, licenses and special approvals.'*

To further clarify this definition, the CHIBO working group determined that:

- A typical Part 9 Residential project (such as a 2000 square foot house) may require from 1 to 3 plan reviews
- A typical Part 9 project may require from 1 to 5 plan reviews
- A typical Part 3 project (such as a 'big box' store) may require from 2 to 5 plan reviews

**Practice**

- Working within an occupation for pay or some other consideration

**Practitioner**

- An individual who works within an occupation for pay or some other consideration

**Professional Building Official (PBO)**

- An occupation defined by a National Occupational Standard
- Building officials conduct inspections and review plans for buildings under construction to ensure compliance with national or provincial building code
- Building officials are 'appointed' by a jurisdiction to enforce building code compliance

**Provincial**

- Pertaining to a province of Canada
- In this report, this term is also used to define a Territory of Canada
- See 'Jurisdiction'

**Provincial Certification Committee**

- A certification committee that certifies individuals within a provincial certification program
- Provincial Certification Committees do not have the authority to decide whether individuals should be within a national certification program, but can provide recommendations to a national certification committee

**Provincial Certification**

- Granted by provincial certification committees to individuals who meet the requirements of a provincial certification program

**Provincial Registrar**

- An individual or organization responsible for keeping track of the all individuals who are part of a provincial certification program

**Qualification**

- See 'Personal Background'
- *CAN-P-9 definition: demonstration of personal attributes, education, training, and/or work experience*

**RCBO – Registered Canadian Building Official**

- A designation awarded to individuals who are at the certified stage in all three specialties....within the national certification program for building officials

**Specialty... or Specialties**

- Within the national certification program for building officials, Candidates can become 'Associates' or 'Certified' in one or more of three specialties related to building classes and sizes
  - o Residential – single and two-family dwellings under 600 square meters that do not require an architect or engineer to provide specific engineering calculations on plans, provided the structure is in accordance with recognized standards. Note that 'residential' dwellings are Part 9 buildings
  - o Part 9 – buildings that qualify as Part 9 buildings, which do not qualify as 'residential'
  - o Part 3 – buildings which do not meet the specific requirements to qualify as Part 9 buildings. Part 3 buildings require that specific engineering calculations be made to ensure safety standards are met

**Sponsor**

- A 'Certified' individual who publicly supports or endorses another individual for advancement within a certification program

**Stages**

- Individuals who are part of the national certification program for building officials will be at one of three stages – 'Candidate', 'Associate', or 'Certified'
- 'Candidate' individuals have been accepted into the national certification program but have not reached the 'Associate' or 'Certified' stage
- 'Associate' individuals have been accepted into the national certification program but have not reached the 'Certified' stage
- 'Certified' individuals have been accepted into the national certification program and are certified
- Individuals may be 'Certified' in one specialty, and be 'Candidates' or 'Associates' in another specialty

### **Technical Training**

- Courses or programs specifically related to an occupation
- Normally these courses or programs would be accredited by an Accreditation Committee (national and/or provincial)

### **Technical Experience**

- Work experience specifically related to an occupation

### **Verification**

- A means of proving or testing absorbed or learned knowledge
- For example, a course examination is a way of proving that an individual has learned and benefited from a course or program

## Appendix A: Taxonomic Analysis Procedure

### Guidelines for Accrediting a Course or Program using Taxonomic Analysis

A significant portion of this project involved the taxonomic analysis of existing training programs to determine the extent to which they met the requirements of the National Occupational Standards. The methodology used is called Task-Knowledge-Application (TKA) Analysis, and can be applied by the working group in future for accrediting any training course or program for certification.

All tasks have required skill (application) and knowledge components. The TKA analysis is a structured way of identifying these components and is typically used to design training that achieves specific competency objectives. It can also be used in reverse; that is, the Task List from the National Occupational Standards can be used to analyze a training course or program to determine where and to what level skill and knowledge are acquired.

The TKA Analysis identifies:

- Tasks not covered in a training program (curriculum gaps)
- Tasks which are covered, but which require additional skills/knowledge to be developed on the job (training gaps)
- Material that may be covered in a training program, but which are NOT part of the duties of practitioners within the occupation (training relevancy)

**Note 1 (Taxonomic Gaps):** although information may be taught at a higher taxonomic level, it has been our experience that the vast majority of module testing in training programs, including certification exams, test for knowledge at the lowest (recall) level of the taxonomy, and that skills are assessed using purely subjective criteria on the job. Thus, raw taxonomic analysis is best teamed with an actual audit of a training course or program to ensure that taxonomic gaps do not exist.

### Assessing SKILLS (Application):

Dr. Willard Daggett is a world-renowned educator who conducted research into the consistent failure of training and education initiatives to transfer their knowledge and skills to the workplace.

Essentially, Daggett took the 6 levels of knowledge developed by Bloom and built a corresponding system to measure levels of application.

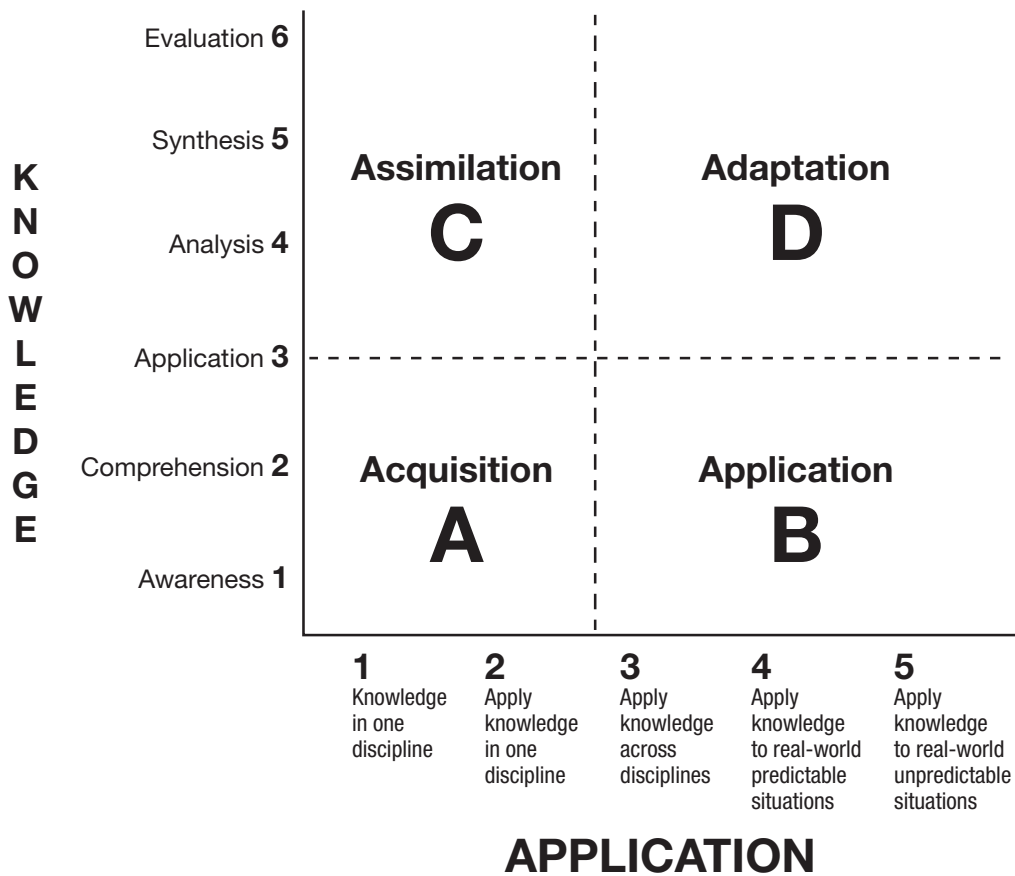
There are 5 levels of relevancy, which coincide nicely with levels of application 'in the field':

1. Knowledge in one discipline
2. Apply knowledge within discipline
3. Apply knowledge across disciplines
4. Apply knowledge to real-world predictable situations, and finally
5. Apply knowledge to real-world unpredictable situations

**Rigor/Relevance Framework**

The Rigor/Relevance Framework is a tool developed by staff of the International Center for Leadership in Education to examine curriculum, instruction, and assessment. The Rigor/Relevance Framework is based on two dimensions of higher standards and student achievement. First, there is the Knowledge Taxonomy, a continuum based on the six levels of Bloom's Taxonomy, which describes the increasingly complex ways in which we think. The low end involves acquiring knowledge and being able to recall or locate that knowledge. The high end labels the more complex ways in which individuals use knowledge, such as taking several pieces of knowledge and combining them in both logical and creative ways.

**Rigor/Relevance Framework**



<p><b>Quadrant C – Assimilation</b> Students extend and refine their acquired knowledge to be able to use that knowledge automatically and routinely to analyze and solve problems and create solutions.</p>	<p><b>Quadrant D – Adaptation</b> Students have the competence to think in complex ways and to apply their knowledge and skills. Even when confronted with perplexing unknowns, students are able to use extensive knowledge and skill to create solutions and take action that further develops their skills and knowledge.</p>
<p><b>Quadrant A – Acquisition</b> Students gather and store bits of knowledge and information. Students are primarily expected to remember or understand this knowledge.</p>	<p><b>Quadrant B – Application</b> Students use acquired knowledge to solve problems, design solutions, and complete work. The highest level of application is to apply knowledge to new and unpredictable situations.</p>

The second continuum, known as the Application Model, is one of action. Its five levels describe putting knowledge to use. While the low end is knowledge acquired for its own sake, the high end signifies use of that knowledge to solve complex real-world problems and to create unique projects, designs, and other works for use in real-world situations.

The Rigor/Relevance Framework has four quadrants. Each is labelled with a term that characterizes the learning or student performance at that level.

By analyzing the learning objectives in a program module, it is possible to determine the level of skill/knowledge acquired in that module. These are then plotted on the 5X6 matrix shown above.

**Assessing KNOWLEDGE:**

The knowledge taxonomy developed by Dr Benjamin Bloom recognizes six different levels of processing thought. These levels relate directly to rigor and complexity in thinking and learning. "Knowledge" is the simplest level while "evaluation" is the most complex. Knowledge level is assessed by analyzing the verbs used in the performance objectives for a particular course, as shown in the table below:

	<b>Level</b>	<b>Description</b>	<b>Action Verbs</b>
1	Knowledge	Recall information	define, describe, list
2	Comprehension	Understand information - Grasp its meaning.	explain, convert, rewrite
3	Application	Use ideas in particular situations	demonstrate, uses, compute
4	Analysis	Break down information into its parts	distinguish, discriminate
5	Synthesis	Put parts together to form a new whole	combine, design, rearrange
6	Evaluation	Make judgements about the value of methods or materials for a given purpose.	appraise, criticize, conclude, defend

**Examples:**

"Following training, learners will be able to **explain the benefits** of using a 3-faced widget cutter as opposed to the standard two-faced cutter, or manually using a hammer and chisel when fabricating widgets (rates Knowledge of 2).

"Following training, learners will be able to **analyze a fabrication problem** and determine which method (3-face, 2-face, hammer and chisel) is most appropriate, and explain why (rates a Knowledge of 3).

**Measuring Application**

When using taxonomic analysis to measure application or skills, one looks for evidence in performance objectives of trainees actually being required to DO something.

**Examples:**

"Following training, the learner will **fabricate** a widget using a 3-face widget cutter (rates an Application rating of 2)."

"Following training, the learner will **fabricate functioning widgets for specified machines to industrial tolerances** using the 3-faced, 2-faced widget cutter and manual hammer and chisel method (rates an Application level of 4).



## Appendix B: Partial List of Accredited Courses

Note: Information on these courses has been provided by members of the working group, and has been put through the various accreditation tests with the exception of on-site audits. This list may be taken as the initial set of accredited courses to start the certification/accreditation program.

<b>Provider</b>	<b>Course</b>	<b>NOS Elements</b>
Ministry of Municipal Affairs and Housing (Ontario)	Communications Skills	Task 1, 2, 3
	Work Skills	Task 1,2,3,14,15,17
	Introduction to property standards enforcement	Task 1,2, 6,12,14,17
	Implementation of the Building Code Act	Task 1, 2,12,13,14,15
	Part 3: Fire Protection	Task 1, 2, 4, 9,12
	Part 3: Fire Rated Materials and Assemblies	Task 1, 2, 4, 10, 11, 12, 13
	Part 3: Large Buildings-Classification and Construction	Task 1, 2, 4, 9, 10, 12
	Part 3: Large Buildings-Health and Safety	Task 1, 2, 4, 10, 12, 13
	Part 3: Life Safety Systems	Task 1, 2, 4, 11, 12, 13
	Part 9: Footing Design	Task 1, 2, 4, 9, 12
	Part 9: Buildings, HVAC and Fire Protection	Task 1, 2, 4, 9, 11, 12, 13
	Part 9: Buildings-Structural Requirements	Task 1, 2, 4, 9, 12, 13, 14
	Part 9: The House, Building Envelope	Task 1, 2, 4, 9, 12, 14
	Part 9: The House, Health and Safety	Task 1, 2, 4, 9, 12
	Basic Plan Examination	Task 1, 2, 4, 12
	Building Science Applications	Task 1, 2, 4, 12
<b>Note: No modules exist for Task 5, 7, 8, 16</b>		
Ontario Building Officials Association	Building Plumbing Inspection	Task 1, 2, 4, 9, 12
	Intermediate Plumbing Inspection	Task 1, 2, 4, 9, 12
	Water Supply and Waste Disposal	Task 1, 2, 4, 9, 12, 13
	Community Planning and Zoning Administration	Task 1, 2, 4, 12, 13, 14, 15
	ICF Foundations & Concrete Footings	Task 1, 2, 4, 9, 12
	Introduction to Building	Task 1, 2, 4, 12

<b>Provider</b>	<b>Course</b>	<b>NOS Elements</b>
	Science	
	On-Site Sewage Systems	Task 1, 2, 4, 9, 12
	Part 10/11: Building Renovations and Change of Use	Task 1, 2, 4, 6, 7, 9, 12
	Plan Examination Strategies	Task 1, 2, 4, 12, 13, 14
	Wood Heat Safety	Task 1, 2, 4, 9, 12, 14
<b>Note : No modules related to Task 3, 5, 8, 10, 11, 16, 17</b>		
Manitoba Fire College	Part 9 : The House-Building Structure	Task 1,2,3,4,7,9,12,13,14
	Part 9: The House-Health and Safety	Task 1,2,4,9,10,12
	Part 9 : Building Plumbing Inspection	Task 1,2,4,9,10,11
	Part 9 : Wood Heat Safety	Task 1, 2, 4,9,10,12,13,14
	Municipal Building By-Law Administration	Task 1, 2, 12, 13, 14, 15
	Part 9: Buildings-Structural Requirements	Task 1,2,4,9,11
	Part 3 : Buildings-Classification and Construction	Task 1,2,4,9,12
	Part 3: Buildings-Health and Safety Requirements	Task 1,2,4,9
	Part 3: Buildings-Life Safety Systems	Task 1,2,4,11,12,13,
<b>Note: no modules for Task 5, 6, 8, 16,17</b>		
British Columbia Institute of technology	BLDG 1500 – Building Code, Part 9 (SFD)	Task 1,2,,4,9,12
	BLDG 1825 – BC Building Code, Multi Unit and Small Buildings	Task 1, 2, 4, 9, 12
	BLDG 1830 – BC Building Code: Part 3 (Intro)	Task 1, 2, 4, 9, 10, 12, 14
	BLDG 1835 – BC Building Code: Part 3 (Advanced)	Task 1, 2, 4, 9, 10, 12, 14
	MSYS 1075 – BC Fire Code	Task 1, 2, 8, 9, 12
	MSYS 2084 – Fire Alarm Systems: Inspection	Task 1, 2, 4, 8, 9, 10, 12, 13, 14
	MSYS 2088 – Special Fire Suppression Systems	Task 1, 2, 4, 8, 9, 12, 13, 14
<b>Note: Little information to rate K/A levels, no modules for Tasks 3, 5, 6, 7, 11, 15, 16, 17</b>		

<b>Provider</b>	<b>Course</b>	<b>NOS Elements</b>
Southeast Regional College (Saskatchewan)	Building Code Training for Canadians – Section 1	Task 1, 2, 4, 7, 9, 10, 11, 12, 13, 14, 15
	Building Code Training for Canadians – Section 2	Task 1, 2, 4, 9, 11, 12, 3, 5
	Building Code Training for Canadians – Section 3	Task 1, 2, 4, 9, 12
<b>Note: This course covers technical requirements for Part 9 (House) and some generic requirements. There are no modules for Tasks 3, 5, 8, 16, 17</b>		
Nova Scotia Building Officials Association	Part 9: The House, Building Envelope	Task 1, 2, 4, 9, 11, 12, 14
	Part 9: The House, Health and Safety	Task 1, 2, 4, 9, 11, 12
	Basic Plan Examination	Task 1, 2, 4, 11, 12
	Part 9 Book 1 Technical	Task 1, 2, 4, 9, 11, 12
	Part 9 Book 2 Technical	Task 1, 2, 4, 9, 11, 12
	Acts regulation and Inspector Authority	Task 1, 2, 11, 12, 13, 14, 15, 16
	Plumbing Inspection, Part 9 Buildings	Task 1, 2, 4, 9, 12, 14
	Part 3: Large Buildings- Classification and Construction	Task 1, 2, 4, 9, 10, 12
	Part 3: Large Buildings- Health and Safety	Task 1, 2, 4, 10, 12, 13
	Plan Examination Strategies	Task 1, 2, 4, 12, 13, 14
	Communications Skills	1, 2, 3
<b>Note: materials adapted from MMAH (Ontario) courses. No modules for Tasks 5, 6, 7, 8, 17</b>		

**NOTE:** This accreditation table is based on the information provided by the working group members. It is possible that providers have modules for missing NOS elements that were not included in this study.

## Appendix C: Sample Forms

### Sample: Identification of Training Provider & Application for Accreditation

From:

(Name and Title)

(Institution)

(Address)

(Telephone and Facsimile Numbers; E-mail Address; Web site)

*Upon review of your Eligibility Criteria, we believe that our institution/program meets the criteria and wishes to make formal application to be accredited by your organization*

*In support of this application, we offer the following information:*

1. This application is for **(check one, as necessary):**

New accreditation

Renewal or update to an existing accreditation

2. Our institution was first established in (month/year):

and has been continuously offering instruction since (year):

**<Add registration number, business number, etc>**

3. The institution and/or program(s) are licensed, chartered, or approved under the laws and regulations of the state or territory by:

**<Name of Accrediting Agency and the Jurisdiction>**

4. The programs offered and to be included under this accreditation are as follows (include program name, total length in days, weeks, clock hours, or other measure, as well as any portions of programs offered by distance education, including percentage):

Program Name	Length	% Distance

*Application for Accreditation Continued*

5. Our institution offers certificates, diplomas or other formal recognition for course or programs

Program Name(s):

6. Our first student was enrolled in the following program(s), enrolling and graduating as follows (month, year):

<b>Program</b>	<b>Date enrolled</b>	<b>Date graduated</b>

7. During the past full year of operation, we enrolled and graduated the following number of students in the following program(s):

<b>Program</b>	<b># Enrolled</b>	<b># Graduated</b>

8. Has accreditation ever been denied initially or removed (e.g., denial, withdrawal, suspension, revocation, relinquishment) from your institution by this or any other agency?

Yes    No                      If yes, explain.

9. Has provincial or state licensing ever been removed?

Yes    No                      If yes, explain.

Our institution is approved or accredited by the following professional organizations (include programmatic accreditation):

**<NAME ORGANIZATIONS HERE>**

***Name and Title of Chief Executive Officer:***

***Signature:***

***Date:***

**Sample: Course or Program Information Sheet**

Provider: \_\_\_\_\_

Course Name and Number: \_\_\_\_\_

Prerequisite Skills: \_\_\_\_\_

A. List topics to indicate scope and sequence of the subject’s content.

B. List the performance objectives or competencies that indicate what the student will be able to do after completing the course. Include teaching methodologies and evaluation tools that will be used to assess student achievement.

Topics	Performance Objectives/Competencies/Teaching Methodologies/Evaluation Tools

**Sample: Course or Program Review/Mapping**

Provider: \_\_\_\_\_

Course Name and Number: \_\_\_\_\_

Fill in the following form to indicate, by topic, which elements of the NOS are covered and to what extent. An example is provided.

Topic (per course/ program information sheet)	NOS Task	NOS Subtask	Knowledge Rating (per TKA analysis)	Application Rating (per TKA analysis)	K/A Delta	Comment
<b>EXAMPLE ONLY:</b>						
Foundations	B.6: Visually inspects exterior structure	6.01: Visually inspects condition of exposed foundations	3	1	K- 0 A- 1	This course is designed to provide adequate background knowledge to enable the successful trainee to perform the task, but does not provide sufficient real-world application to replace experience.

## Appendix D: Implementation – Complying with CAN-P-9 Criteria

- Please see the CAN-P-9 section of this report for more information.
- Please see the CAN-P-9 document published by the Standards Council of Canada document for detailed item descriptions

For a detailed description of all CAN- P9 items, refer to the CAN P-9 Standard

### CAN-P-9 Requirements for Certification Bodies (Item 4.1)

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
4.1.1	<p>Policies and procedures shall be:</p> <ul style="list-style-type: none"> <li>• Related to certification criteria</li> <li>• Fair and equitable among all candidates</li> <li>• Compliant with applicable regulations</li> </ul>	<ul style="list-style-type: none"> <li>• When the national certification body has been identified, the appropriate policies will need to be developed.</li> </ul>
4.1.2	<p>Policies and procedures for:</p> <ul style="list-style-type: none"> <li>• granting, maintaining, renewing...</li> <li>• expanding AND reducing the scope of certification</li> <li>• suspending or withdrawing the certification</li> </ul>	<ul style="list-style-type: none"> <li>• The certification scheme developed through this project defines policy for granting, maintaining, and renewing certification.</li> </ul>
4.1.3	<p>Restricted to matters related to scope of desired certification</p>	<ul style="list-style-type: none"> <li>• The focus of the national certification body should be limited to certification issues.</li> </ul>



**CAN-P-9 Requirements for Organization Structure of Certification Bodies (Item 4.2)**

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
4.2.1	<ul style="list-style-type: none"> <li>• Independent, impartial</li> <li>• Responsible for decisions</li> <li>• Identified group - e.g. certification committee</li> <li>• Legal entity</li> </ul>	<ul style="list-style-type: none"> <li>• The national certification body will hold ultimate responsibility for the actions of committees.</li> <li>• The national certification body will delegate authority for certification to the National Certification Council.</li> <li>• The national certification body will delegate authority for accreditation to the national accreditation committee.</li> <li>• The national certification body will be a legal entity – an association, society, or private company.</li> </ul>
4.2.2	<ul style="list-style-type: none"> <li>• Documented structure that safeguards impartiality</li> </ul>	<ul style="list-style-type: none"> <li>• Individuals and organizations that are members or owners of the national certification body (and/or national committees) will have to avoid conflict of interest situations and declare conflicts.</li> </ul>
4.2.3	<ul style="list-style-type: none"> <li>• Scheme committee - responsible for each type of certification</li> <li>• 'classes' of candidates</li> </ul>	<ul style="list-style-type: none"> <li>• Individuals who are within the national certification program are at one of three 'stages' – 'Candidate', 'Associate' or 'Certified'. Depending on specialties, individuals may be at one stage in one specialty and a different stage in another specialty.</li> <li>• The National Certification Body will have to set up a process to review the requirements for certification on a regular basis</li> </ul>
4.2.4	<ul style="list-style-type: none"> <li>• Financially viable</li> <li>• Related activities must not compromise certification</li> </ul>	<ul style="list-style-type: none"> <li>• The costs of implementing and maintaining a national certification program have been considered in this project.</li> <li>• At the present time it is unknown whether a national certification body for building officials could be self supporting.</li> </ul>
4.2.5	<ul style="list-style-type: none"> <li>• Training MUST be independent of evaluation and certification</li> </ul>	<ul style="list-style-type: none"> <li>• The national certification body and subordinate committees will not be involved in the training of municipal building officials.</li> </ul>
4.2.6	<ul style="list-style-type: none"> <li>• Policy and procedure for resolution of appeals and complaints</li> </ul>	<ul style="list-style-type: none"> <li>• A mechanism to deal with complaints will have to be created.</li> </ul>
4.2.7	<ul style="list-style-type: none"> <li>• Knowledgeable people - education, training, technical knowledge and experience</li> </ul>	<ul style="list-style-type: none"> <li>• The national certification body will have to involve individuals who are familiar with the building official occupation, as well as approaches to training and education.</li> </ul>

**CAN-P-9 Requirements for Development and Maintenance of a Certification Scheme (Item 4.3)**

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
4.3.1	DEFINED methods and mechanisms used to evaluate competence of candidates	<ul style="list-style-type: none"> <li>The national certification scheme defines the competencies required to be within the national certification program.</li> </ul>
4.3.2	Process for development and maintenance of certification schemes	<ul style="list-style-type: none"> <li>It will be necessary to develop this process – mechanisms for ensuring the national certification scheme meets the overall mandate of the national certification body.</li> </ul>
4.3.3	Defined 'process' for changing the certification process	<ul style="list-style-type: none"> <li>Policy to be developed – the national certification process and national certification scheme should undergo a major review about a year after implementation. Then, a major review every five years.</li> </ul>
4.3.4	Evaluation criteria clearly defined	<ul style="list-style-type: none"> <li>The national certification body will have to publish the details of the certification scheme – to make sure individuals who may be interested in becoming part of the national certification program know what is required.</li> </ul>
4.3.5	Certification cost should be reasonable... no unreasonable limitations	<ul style="list-style-type: none"> <li>The cost of background review (for any stage) will be kept reasonable – the proposed number ranges from \$50 to \$100. The only other criteria for national certification will be competence – as defined by the NOS, and compliance with a national Code of Ethics.</li> </ul>
4.3.6	<ul style="list-style-type: none"> <li>Examinations fair, valid, and reliable</li> <li>Procedures that confirm fairness</li> </ul>	<ul style="list-style-type: none"> <li>The National Certification Council and/or national accreditation committee will monitor all examination methods used by accredited training providers and peer review groups to ensure consistent fairness, validity, and rigor across the country.</li> </ul>

**CAN-P-9 Requirements for a Management System for Certification Bodies (Item 4.4)**

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
4.4.1	<ul style="list-style-type: none"> <li>Documented 'management' system</li> <li>Covering databases and paper files, policy and procedure</li> </ul>	<ul style="list-style-type: none"> <li>A management system including these items will be developed when a national certification body is formed or selected.</li> </ul>
4.4.2	<ul style="list-style-type: none"> <li>Established, maintained, understood, and implemented</li> </ul>	<ul style="list-style-type: none"> <li>Once the management system is developed, the system will undergo process mapping, and then explained to everybody who is affected.</li> </ul>
4.4.3	<ul style="list-style-type: none"> <li>Document control</li> <li>Internal audit system</li> <li>Management review system</li> </ul>	<ul style="list-style-type: none"> <li>A management system including these items will be developed when a national certification body is formed or selected.</li> </ul>

**CAN-P-9 Requirements for a Subcontracting of Certification Issues (Item 4.5)**

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
4.5.1	<ul style="list-style-type: none"> <li>• CAN subcontract some certification work, but NOT decision on certification</li> <li>• Formal agreements</li> </ul>	<ul style="list-style-type: none"> <li>• The national certification body will make all decisions regarding certification – which will be within the national certification program.</li> <li>• Elements of the background review process may be 'subcontracted' to provincial associations or other organizations that have signed formal agreements to do so.</li> <li>• The National Certification Council should meet regularly (probably quarterly) to make decisions on which individuals should be accepted into the certification program, and/or which individuals should be moved from one stage to another within the certification program.</li> </ul>
4.5.2	<ul style="list-style-type: none"> <li>• Certification body remains responsible</li> <li>• Must ensure sub contractor is competent and accountable</li> </ul>	<ul style="list-style-type: none"> <li>• An appeal process (for individuals who apply for 'Candidate', 'Associate' or 'Certified' status in the National Certification Program) will have to be developed to ensure subcontractors are using the same evaluation criteria as the National Certification Council and/or the national accreditation committee.</li> </ul>

**CAN-P-9 Requirements for Record Keeping (Item 4.6)**

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
4.6.1	<ul style="list-style-type: none"> <li>• Appropriate record system... including a means to confirm the status of a certified person</li> <li>• Demonstrate fulfillment of certification process</li> </ul>	<ul style="list-style-type: none"> <li>• A database of individuals who are within the National Certification Program would be maintained by the national certification body – although the task will be delegated to a national registrar (which would be part of the national certification body. This responsibility may be delegated to an outside organization.</li> <li>• The database would include background information that justifies the inclusion of each individual who is within the National Certification Program (or a link to the information).</li> </ul>
4.6.2	<ul style="list-style-type: none"> <li>• All handling must demonstrate integrity of process... confidentiality of information</li> </ul>	<ul style="list-style-type: none"> <li>• Access to the national database for data entry, query, or modification purposes would have to be controlled using a password protocol. All changes, additions or modifications to the database would be logged (including the identity of the person who made the changes) and reported to the National Certification Council on a regular basis.</li> </ul>

### CAN-P-9 Requirements for Confidentiality (Item 4.7)

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
	<ul style="list-style-type: none"> <li>• General compliance with privacy act - disclosure requires written consent</li> <li>• Legally enforceable commitment to confidentiality</li> </ul>	<ul style="list-style-type: none"> <li>• The names of individuals who are part of the national certification program may not be considered 'private' information under the privacy act. If it is 'private', the national registrar would have to receive a permission form from each individual authorizing disclosure</li> <li>• Specific individual background information would be confidential.</li> <li>• All individuals with access to private information should be required to sign a confidentiality and/or non disclosure agreement.</li> </ul>

### CAN-P-9 Requirements for Security (Item 4.8)

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
	<ul style="list-style-type: none"> <li>• Exams and related items kept secure when necessary <i>e.g.</i> prior to exam date</li> </ul>	<ul style="list-style-type: none"> <li>• Policy to be created and controls to be put in place.</li> </ul>

### CAN-P-9 General Requirements for Certification Body Personnel (Item 5.1)

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
5.1.1	<ul style="list-style-type: none"> <li>• Defined competence requirements for people involved in certification process</li> </ul>	<ul style="list-style-type: none"> <li>• The people who are part of the national certification and accreditation committees must be competent.</li> <li>• At least some should be municipal building officials. Others may come from training backgrounds, or from occupations related to building inspection.</li> </ul>
5.1.2	<ul style="list-style-type: none"> <li>• Signed document committing to compliance with rules... confidentiality, independence</li> <li>• Includes links to persons being examined</li> </ul>	<ul style="list-style-type: none"> <li>• Employee or contracted individuals working or acting for the national certification body will have to sign confidentiality, non disclosure, and conflict of interest releases.</li> <li>• Anything that compromises the impartiality of an employee or contracted individual must be declared, including relationships with individuals who are applying for background review.</li> </ul>
5.1.3	<ul style="list-style-type: none"> <li>• Documented duties and responsibilities</li> <li>• Includes employees and contractors</li> <li>• Appropriate education, experience, and technical expertise</li> </ul>	<ul style="list-style-type: none"> <li>• Detailed organization charts and job descriptions will have to be created for the national certification body (when the national certification body is created or selected).</li> </ul>
5.1.4	Documented qualifications of each individual involved in certification	The national certification body must select competent individuals as employees and/or contractors, and be able to prove competence through resumes on file and completed reference checks.

**CAN-P-9 Requirements of Examiners (Item 5.2)**

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
5.2.1	<ul style="list-style-type: none"> <li>• Familiar with the certification scheme</li> <li>• Thorough knowledge of exam methods and documents</li> <li>• Appropriate competence</li> <li>• Fluent in language</li> <li>• Impartial and non discriminatory</li> </ul>	<ul style="list-style-type: none"> <li>• The people who conduct background review will have to have a thorough understanding of the certification scheme and the objectives of the national certification body.</li> <li>• Some individuals applying for background review may come from associations that are not affiliated with the national certification body. This should not be an issue – ability to perform NOS tasks should be the primary issue.</li> </ul>
5.2.2	<ul style="list-style-type: none"> <li>• Conflicts of interest noted and dealt with</li> </ul>	<ul style="list-style-type: none"> <li>• People who conduct background review will have to declare all conflicts. In some cases it may not be appropriate for individuals on the National Certification Council (or a subcontracted organization) to participate in background review if they know the individual under review.</li> </ul>

**CAN-P-9 Application for Certification Process (Item 6.1)**

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
6.1.1	<ul style="list-style-type: none"> <li>• All details of certification process on request</li> <li>• Fees, requirements, rights, duties - including code of conduct</li> </ul>	<ul style="list-style-type: none"> <li>• The national certification body will have to publish all details of the national certification program and the national certification scheme.</li> <li>• Many of those details are in this report, and others have to be developed through policy.</li> </ul>
6.1.2	<ul style="list-style-type: none"> <li>• Completed application by applicant including agreement to comply</li> </ul>	<ul style="list-style-type: none"> <li>• This is essentially the application for background review.</li> </ul>

**CAN-P-9 Evaluation of Application (Item 6.2)**

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
6.2.1	Review application to confirm: <ul style="list-style-type: none"> <li>• Capability to deliver</li> <li>• Awareness of reasonable special needs including language</li> <li>• Ensure requirements are met</li> </ul>	<ul style="list-style-type: none"> <li>• This is essentially the background review process.</li> </ul>
6.2.2	Examine competence <ul style="list-style-type: none"> <li>• Written</li> <li>• Oral</li> <li>• Practical</li> <li>• Observational</li> <li>• Other means <i>whatever methods are appropriate</i></li> </ul>	<ul style="list-style-type: none"> <li>• The national certification scheme covers this. The scheme includes technical courses and exams which must be passed as well as technical experience.</li> </ul>
6.2.3	Exams planned and structured to ensure all scheme requirements are objectively and systematically verified	<ul style="list-style-type: none"> <li>• Many courses and programs have been reviewed to confirm that they cover the tasks defined in the National Occupational Standard. The list of courses and programs that have been accredited are included in the appendix.</li> </ul>
6.2.4	Procedures to ensure the results of exams are properly documented	<ul style="list-style-type: none"> <li>• Each individual who is part of the national certification program will have a file (paper and/or electronic) that tracks exam results and other issues related to their progress through the national certification scheme.</li> </ul>

### CAN-P-9 Decision on Certification (Item 6.3)

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
6.3.1	<ul style="list-style-type: none"> <li>• Made by certification body based on information gathered during the process</li> <li>• No involvement in training or examination of candidates</li> </ul>	<ul style="list-style-type: none"> <li>• The National Certification Council will decide which individuals are part of the national certification program, and which stage the individuals are at – 'Candidate', 'Associate' or 'Certified'.</li> <li>• The committee will base decisions on the comparison of an individual's personal background to the background requirement defined in the national certification scheme.</li> </ul>
6.3.2	<ul style="list-style-type: none"> <li>• Provide certificates to certified persons</li> <li>• Certificates remain property of certification body</li> </ul>	<ul style="list-style-type: none"> <li>• The National certification body (once created or selected) will create certificates for 'Certified' individuals.....and possibly a different certificate for 'Associates'.</li> <li>• The national certification body will also award the CBCO designation to individuals who are Certified in all three specialties.</li> </ul>
6.3.3	<p>Certificates include</p> <ul style="list-style-type: none"> <li>• Name of certified person (and cert #)</li> <li>• Name of certification body</li> <li>• Reference to competence standard</li> <li>• Validity conditions and limitations</li> <li>• Effective date...date of expiry</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• To be created by the national certification body.</li> </ul>

### CAN-P-9 Surveillance of Certification (Item 6.4)

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
6.4.1	Proactive process to monitor certificant's compliance with the scheme	<ul style="list-style-type: none"> <li>• The national certification body will have to create a 'complaint' process and a 'discipline' process, through which the general public can complain about the conduct of individuals who are part of the national certification program.</li> </ul>
6.4.2	<p>Confirm continuing competence</p> <ul style="list-style-type: none"> <li>• <i>Practice review</i></li> <li>• <i>Ongoing development requirement</i></li> </ul>	<ul style="list-style-type: none"> <li>• Maintenance requirements for 'Associate' and 'Certified' individuals have been developed and are part of the national certification scheme.</li> </ul>

**CAN-P-9 Re Certification (Item 6.5)**

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
6.5.1	<ul style="list-style-type: none"> <li>• Defined requirements for recertification</li> <li>• Continued compliance</li> </ul>	<ul style="list-style-type: none"> <li>• A maintenance requirement has been developed for 'Certified' individuals, and is part of the national certification scheme.</li> </ul>
6.5.2	<ul style="list-style-type: none"> <li>• Frequency and content</li> <li>• Adequate to ensure impartial evaluation of continued competence</li> </ul>	<ul style="list-style-type: none"> <li>• A maintenance requirement has been developed for 'Certified' individuals, and is part of the national certification scheme.</li> </ul>

**CAN-P-9 Use of Certificates, Logos, and Marks (Item 6.6)**

CAN-P-9 Item #	CAN-P-9 Item Description	Proposed PBO National Certification Model
6.6.1	Documented conditions for mark or logo use	<ul style="list-style-type: none"> <li>• This issue has yet to be determined.</li> </ul>
6.6.2	<p>Certified persons sign an agreement to:</p> <ul style="list-style-type: none"> <li>• <i>Comply with provisions of scheme</i></li> <li>• <i>Limit claims to scope of certification</i></li> <li>• <i>Protect certification body's integrity</i></li> <li>• <i>Stop using certification if suspended</i></li> <li>• <i>Not use certificate in a misleading way</i></li> </ul>	<ul style="list-style-type: none"> <li>• The national certification body (once created or selected) will have to create or adopt a code of ethics that covers these issues.</li> </ul>
6.6.3	Corrective measures where certification is used in an inappropriate or misleading way.	<ul style="list-style-type: none"> <li>• The national certification body will have to create a 'complaint' process and a 'discipline' process, through which the general public can complain about the conduct of individuals who are part of the national certification program.</li> </ul>



## Appendix E: Verification Strategies

Block	Task#	Task Name	Trg Avail?	Primary Eval Method	Alternative Eval Method(s)
<b>A: Communications</b>	1	Communicates in writing <ul style="list-style-type: none"> <li>• Liaises with other regulatory bodies and agencies</li> <li>• Prepares reports</li> <li>• Prepares correspondence</li> <li>• Prepares Orders</li> <li>• Documents compliance alternatives</li> <li>• Provides input to legal Briefs</li> </ul>	YES	completion of acceptable course of study	testing, evidence, body of work
	2	Communicates verbally <ul style="list-style-type: none"> <li>• Provides advice to potential applicants</li> <li>• Liaises with owners</li> <li>• Provides advice on application and code issues to design professionals</li> <li>• Provides advice to other stakeholders, Council, general public and vendors</li> <li>• Provides expert testimony</li> <li>• Makes presentations</li> <li>• Explains deficiencies</li> </ul>	Yes	experience	

Block	Task#	Task Name	Trg Avail?	Primary Eval Method	Alternative Eval Method(s)
		<ul style="list-style-type: none"> <li>Explains parameters of inspection process</li> </ul>			
	3	Resolves Conflicts <ul style="list-style-type: none"> <li>Gathers information</li> <li>Clarifies complaint</li> <li>Responds to complainant</li> <li>Identifies resolution processes</li> <li>Confirms conflict has been resolved.</li> <li>Documents how resolution was achieved.</li> </ul>	Yes	experience	

Block	Task#	Task Name	Trg Avail?	Primary Eval Method	Alternative Eval Method(s)
<b>Conducts Design Review</b>	4	Reviews technical documents <ul style="list-style-type: none"> <li>Determines completeness of applications</li> <li>Determines codes' requirements.</li> <li>Reviews building system documents.</li> <li>Reviews system components</li> <li>Reviews building materials</li> <li>Analyze results of technical documentation review.</li> </ul>	YES	pass code courses, PRACTICAL experience	

Block	Task#	Task Name	Trg Avail?	Primary Eval Method	Alternative Eval Method(s)
		<ul style="list-style-type: none"> <li>Determines compliance with Codes and Standards.</li> </ul>			
	5	Obtains Clearance Certificates from other authorities. <ul style="list-style-type: none"> <li>Confirms internal clearances/approvals.</li> <li>Confirms external clearances/approvals.</li> <li>Obtains letters of undertaking/commitment from design professionals.</li> </ul>	YES	successful completion of the Code course for the appropriate level of certification, and PRACTICAL experience	
	6	Issues special approvals <ul style="list-style-type: none"> <li>Reviews proposals for compliance alternatives.</li> <li>Assesses acceptability of proposal.</li> <li>Authorizes compliance alternatives.</li> </ul>	NO	Experience	
	7	Issues permits. <ul style="list-style-type: none"> <li>Determines class of permit.</li> <li>Determines scope of permit</li> <li>Determines compliance with prerequisites.</li> <li>Ensures fees are remitted</li> </ul>	YES	Experience	

Block	Task#	Task Name	Trg Avail?	Primary Eval Method	Alternative Eval Method(s)
Investigations	8	Requests tests	YES	Experience	
		<ul style="list-style-type: none"> <li>Determines need for independent testing.</li> </ul>			
		<ul style="list-style-type: none"> <li>Requests independent testing</li> </ul>			
		<ul style="list-style-type: none"> <li>Witnesses independent tests</li> </ul>			
		<ul style="list-style-type: none"> <li>Analyze independent test results.</li> </ul>			
		<ul style="list-style-type: none"> <li>Determines compliance</li> </ul>			
	9	Conducts on-site inspections	YES	experience	
		<ul style="list-style-type: none"> <li>Determines need for on-site inspections.</li> </ul>			
		<ul style="list-style-type: none"> <li>Determines inspection methodology.</li> </ul>			
		<ul style="list-style-type: none"> <li>Coordinates on-site inspections.</li> </ul>			
		<ul style="list-style-type: none"> <li>Observes site conditions</li> </ul>			
		<ul style="list-style-type: none"> <li>Observes building systems</li> </ul>			
		<ul style="list-style-type: none"> <li>Observes system components</li> </ul>			
		<ul style="list-style-type: none"> <li>Observes building materials</li> </ul>			
	<ul style="list-style-type: none"> <li>Analyze results of on-site inspections.</li> </ul>				
	<ul style="list-style-type: none"> <li>Determines on-site compliance.</li> </ul>				
	<ul style="list-style-type: none"> <li>Documents inspection results</li> </ul>				

Block	Task#	Task Name	Trg Avail?	Primary Eval Method	Alternative Eval Method(s)
	10	Conducts research <ul style="list-style-type: none"> <li>• Determines need for further information.</li> <li>• Determines research methodology.</li> <li>• Obtains and processes information.</li> <li>• Applies research results</li> </ul>	YES	Experience	

Block	Task#	Task Name	Trg Avail?	Primary Eval Method	Alternative Eval Method(s)
<b>Legislation</b>	11	Administers federal law. <ul style="list-style-type: none"> <li>• Determines applicable federal laws.</li> <li>• Applies applicable federal laws.</li> <li>• Provides input to federal standards.</li> </ul>	YES	Training/Experience	
	12	Administers provincial law <ul style="list-style-type: none"> <li>• Determines applicable provincial regulations.</li> <li>• Applies applicable provincial regulations.</li> <li>• Provides input to provincial standards.</li> </ul>	YES	Training/Experience	
	13	Administers municipal law <ul style="list-style-type: none"> <li>• Determines applicable bylaws.</li> <li>• Applies bylaws</li> </ul>	YES	Training/Experience	

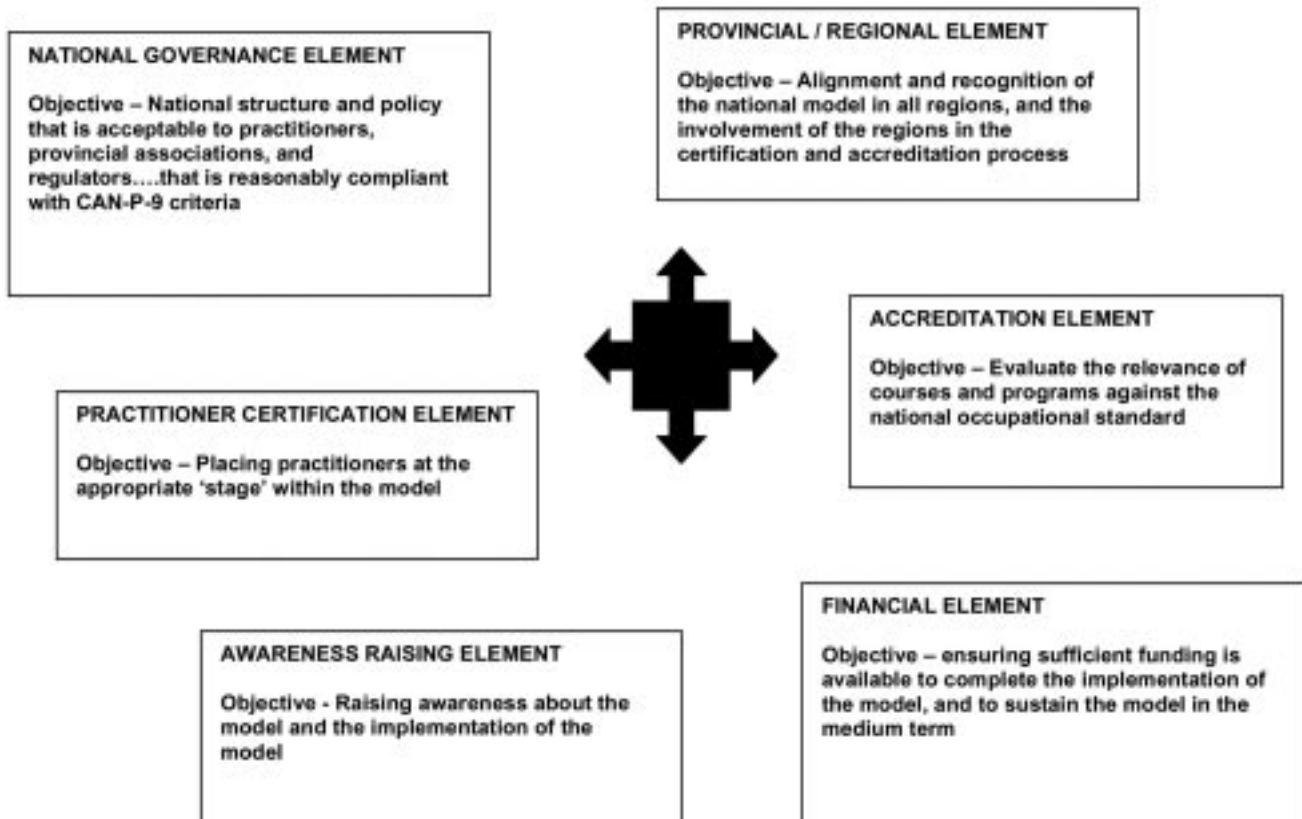
Block	Task#	Task Name	Trg Avail?	Primary Eval Method	Alternative Eval Method(s)
		<ul style="list-style-type: none"> <li>Provides input to municipal bylaws.</li> </ul>			
	14	Recognizes legal responsibility <ul style="list-style-type: none"> <li>Recognizes duty of care situations.</li> <li>Recognizes roles and responsibilities.</li> </ul>	YES	Training	Experience

Block	Task#	Task Name	Trg Avail?	Primary Eval Method	Alternative Eval Method(s)
<b>Administration</b>	15	Maintains documentation. <ul style="list-style-type: none"> <li>Determines need for document storage and retrieval.</li> <li>Develops document storage and retrieval system.</li> <li>Maintains document storage system.</li> </ul>	YES	implied from experience	
	16	Maintains resource library. <ul style="list-style-type: none"> <li>Determines need for resource storage and retrieval system.</li> <li>Designs resource storage and retrieval system.</li> <li>Makes resource material available to others.</li> </ul>	NO	implied from experience	
	17	Administers office	NO	implied from experience	

Block	Task#	Task Name	Trg Avail?	Primary Eval Method	Alternative Eval Method(s)
		<ul style="list-style-type: none"> <li>• Manages time</li> </ul>			
		<ul style="list-style-type: none"> <li>• Determines priorities</li> </ul>			
		<ul style="list-style-type: none"> <li>• Provides input to procedures</li> </ul>			
		<ul style="list-style-type: none"> <li>• Provides input to policies</li> </ul>			

## Appendix F: Strategic Framework for Building Officials - Moving Forward

The strategic framework consists of multiple elements, none of which can be taken in isolation. The broad blocks of the framework are shown below, and amplified in this Appendix.





## ***NATIONAL GOVERNANCE ELEMENT***

Objective – National structure and policy that is acceptable to practitioners, provincial associations, and regulators....that is compliant with CAN-P-9 criteria.

### **Issues to Consider and Resolve**

1. Negotiation of Memorandum(s) of Understanding between the National body and organizations assisting with national Certification and/or Accreditation
  - o ACBOA associations
  - o Other related associations (possibly technicians and technologists)
  - o Other organizations who are involved in Certification or Accreditation
2. Development of governance policy for the national certification body
  - o Includes a final decision on who the national certification body will be
  - o Definition of responsibilities of the national certification body
  - o Creation of appropriate bylaws and policies, including
    - Conflict of interest for committee members
    - Tenure of committee membership
    - Mechanism for appointment to a committee
    - Et cetera
3. Development of governance policy for the National Certification Council
  - o Make up of the Council
  - o Bylaws
  - o Definition of responsibility
  - o The certification process
  - o Review of organizations that could assist with certification
4. Development of governance policy for the National Accreditation Committee
  - o Make up of the committee
  - o Bylaws
  - o Definition of responsibility
  - o The accreditation process
  - o Review of organizations that could assist with accreditation
5. Appointment of a National Registrar
  - o Who the national registrar will be
  - o Mechanism for accessing information on individuals who are within the national certification program
  - o Mechanism for accessing information on accredited courses and programs

6. Decisions on certificate use, logo use, designation use

- o Use limitations placed on individual practitioners
- o Use limitations placed on provincial associations
- o Certification control – printing, distribution

7. National Code of Conduct

- o To be developed and formally adopted...all individuals within the national certification program must agree to be bound by the national code of conduct

8. Disciplinary Process

- o Mechanism to hear grievances against individuals who are within the national certification program
- o Mechanism to discipline individuals who are within the national certification program
- o This may require a separate 'discipline' committee

9. Appeal process

- o Mechanism that allows individuals to appeal the decisions of the national certification committee
- o Mechanism that allows training providers and other organizations to appeal the decisions of the national accreditation committee
- o This may require a separate 'appeals' committee

## **PROVINCIAL / REGIONAL ELEMENT**

Objective – Alignment and recognition of the national model in all regions, and the involvement of the regions in the certification and accreditation process.

### **Issues to Consider and Resolve**

10. Recognition of the National model ...and national certification and accreditation....by the provincial and regional associations
  - o This will be determined through Memorandum(s) of Understanding between the national certification body and each provincial association
  - o The Memorandums will have to be presented and explained to practitioners who are members of provincial associations
  
11. Regional early Adopters /Influencers – develop a list of key people inside (or outside) provincial or regional associations who support the concept of national certification
  - o These people must be contacted and their willingness to support the national certification model confirmed
  - o A plan that will allow them to effectively spread the word may have to be developed
  - o In some cases the early adopters will be the regional board or regional certification / accreditation committees
  
12. Alignment of provincial / regional programs with the national model
  - o This may mean changes to provincial / regional association bylaws on a province by province basis will have to be made to support the national certification model
  - o Whether or not each provincial or regional association will do this (and when) is outside the control of the national certification body
  
13. Involvement of provincial / regional background review committees in the national background review process
  - o Decision as to whether or not provincial associations will be involved in conducting background review and making recommendations to the national certification committee...and the depth of provincial involvement
  - o The proportion of the national background review fee that should be paid to provincial associations conducting background review
  - o Make up of the provincial committee - e.g., some committee members may not be practicing BUILDING Officials....this issue would be determined in part by national policy....after discussion with the provinces

## **PRACTITIONER CERTIFICATION ELEMENT**

Objective – Placing practitioners at the appropriate 'stage' within the model.

### **Issues to Consider and Resolve**

14. Approval of the certification process as outlined in the CHIBO report by the National Certification Council ...or approval of a modified certification process
15. Development and acceptance (by the national certification body) of background review forms and checklists to be completed by the applicant for certification, including:
  - o Application for Background Review (form)
  - o Sponsor endorsement (form) (if appropriate)
  - o Agreement to abide by 'Code of Conduct', and an acknowledgement that disciplinary measures may result from failure to abide by 'Code of Conduct'
  - o Practitioner logbook
  - o Certification Maintenance form
  - o Resume form...or a copy of an individual's current resume
16. Development of a 'Background Review Appeal Process'
  - o A mechanism that allows individuals unsatisfied with a decision on their placement within the national certification program
17. Development and acceptance (by the national certification body) of background review forms and checklists to be completed by the National Certification Council (or delegated to regional certification committees), including:
  - o General education checklist (may include transcripts or equivalent)
  - o Technical education checklist (may include transcripts or equivalent)
  - o Direct experience checklist
  - o Maintenance checklists

#### Link to Accreditation

The National Accreditation Committee will review the courses and programs presented by applicants as appropriate background to the National Certification Council (or provincial / regional committees) to determine the relevance of the courses and programs to the national certification program

18. Training the people who will serve on national and provincial / regional certification committees on how to conduct background review

19. Testing of the background review process by conducting background review of a 'pilot' group of practitioners
20. Creation of a mechanism to hear and respond to public complaints against individuals who are within the National Certification Program, including:
  - o Lodging the complaint – could be done with a standard complaint form
  - o Hearing process
  - o Judgment process
  - o Levels of punishment – warning, suspension, expulsion
  - o An appeal process of some kind

**ACCREDITATION ELEMENT**

Objective –Evaluate the relevance of courses and programs against the national occupational standard

**Issues to Consider and Resolve**

21. Approval by the National Accreditation Committee of the accreditation process as outlined in the CHIBO report
22. Development and acceptance (by the national certification body) of course accreditation forms and checklists, including
  - o Course developer profiles
  - o Course instructor profiles
  - o Course pass rates
  - o Course outlines and learning objectives
  - o Number of course completions in the past 5 years
  - o Course pre requisites
  - o Examination protocols
  - o Equivalency analysis – how the course equates to elements of the National Certification Program
23. Decisions on fees (if any) for course and/or program accreditation
24. Decisions on who will develop, modify and maintain the accreditation database
  - o Handover of the existing accreditation database (CHIBO) to the National Accreditation Committee....probably to an appointed 'national registrar'
  - o Decisions on which database elements will be private and publicly accessible database elements
  - o Database contractors – who provide 'registrar' services
25. Training people who will serve on the National Accreditation Committee on how to accredit courses and programs
26. Program audit – development and acceptance of a procedure for performing a follow up audit of an accredited course or program
  - o Mechanism for on site spot audits of courses and programs

## ***AWARENESS RAISING ELEMENT***

Objective – Raising awareness about the model and the implementation of the model

### **Issues to Consider and Resolve**

27. Communication with Industry practitioners – both members and non members of provincial associations
  - o Will require access to mailing and contact lists
28. Communication with Regulators
  - o Will require access to mailing and contact lists
29. Communication with other stakeholder groups
30. Communication with agencies and organizations that may help fund the implementation of the model
31. Communication with training providers
  - o Will require access to mailing and contact lists
32. Formal appointment of spokespersons to speak to each awareness raising group
33. National and regional awareness raising...advertising, meetings, speaking engagements

For consistency, awareness raising should be coordinated nationally through the national certification body.

## **FINANCIAL ELEMENT**

Objective – ensuring sufficient funding is available to complete the implementation of the model, and to sustain the model in the medium term

### **Issues to Consider and Resolve**

34. Implementation cost estimate – per practitioner....and for 1000 practitioners
  - o How much of the work will be done by volunteers?
35. Cost of national registrar services – development and maintenance of databases
36. Cost of certification services – volunteer portion....paid portion
37. Seeking sources of funding
  - o Assigning people to approach funding agencies to seek funding
38. Ongoing costs of keeping an individual (at any stage) within the National Certification Program
39. Decision on background review fees to charge during national implementation (if any)..... and what background review fee to charge people after national implementation
40. Decision on annual national membership fees to charge during national implementation (if any)..... and what national membership fee to charge people after national implementation
41. Decision on national office location
42. Decision on who collects membership fees and who disburses funds



## **Appendix G: Outsourcing Guidance**

### **Outsourcing Certification and Accreditation**

In order to move beyond the implementation plan it will be necessary to accomplish many specialized tasks. Some of these will be beyond the capacity of the organizations using volunteer labour, and for these it may be necessary to consider outsourcing all or part of the process.

Effective outsourcing of business processes is a five step process:

- Step 1: Assessing Your Own Organization
- Step 2: Determining What You Want From an Outsource Partner
- Step 3: Determine Likely Candidates and Craft an RFP
- Step 4: Select a Vendor and Negotiate an Effective SLA
- Step 5: Manage the Relationship

### ***Step 1: Assessing Your Own Organization***

The first step in embarking on an outsourcing arrangement is a critical look in the mirror to determine the strengths and weaknesses of the organization, what services/ processes can be outsourced, and finally to determine whether outsourcing these processes is the right thing to do from a strategic as well as a tactical perspective.

It is often difficult for an organization to admit that they need help, and to this end a detailed capability assessment, or SWOT analysis, should be carried out. While this degree of assessment was beyond the scope of this project, we have determined some likely candidates for outsourcing to aid in moving the certification program forward.

The likely candidates for outsourcing are:

- Background review
- Accreditation services
- Competency testing; and
- Certification records management

Each of these elements is dealt with below.

### **Background Review**

The purpose of background review is to review the personal history and experience of individual members as a component of the certification process. Reviewers will assess an individual's background, including years of experience, relevance of experience, specific training and education against the criteria for certification and indicate a degree of compliance.

While these tasks can be done by volunteers, it may be best to allow an outside vendor to conduct background reviews following the certification model process.

Elements to consider in an outside vendor to undertake this function may include:

- Bonded (or bondable)
- Familiar with privacy acts/laws
- Capacity to create and maintain a secure database
- Able to manage a system for securely collecting, storing and transferring personal information from members
- Experience in conducting background review or PLAR in a professional certification environment

### **Accreditation Review**

The purpose of accreditation review is to assess the capability of training providers to deliver training that meets the required skill/knowledge requirements of the NOS.

Accreditation reviews may take place at the request of an individual (who claims training from an unaccredited provider as part of background review), or by a training provider who wishes to be recognized by the association. Given the close ties between background review and accreditation review, it is essential that good communication exists between the agencies involved.

Elements to consider if an outside vendor is to undertake this function may include:

- Bonded (or bondable)
- Able to follow process
- Experience in course assessment
- Experience in instructional audits
- Experience in developing and monitoring training standards.

### **Competency Testing**

The purpose of competency testing is the verification of candidate knowledge against specific portions of the NOS. For individuals who have the necessary knowledge without having gone through a formal training regimen, it may be desirable to develop and implement a series of challenge exams. Some jurisdictions already have these in one form or another, but a national certification program may require standardization. The certifying agency may develop and implement its own exams, or it may outsource this to an appropriate agency in order to maintain an arm's length relationship with the examination process.

Elements to consider if an outside vendor is to undertake this function may include:

- Bonded (or bondable)
- Familiar with privacy acts/laws
- Able to create and administer tests using random question banks, weighted as per the NOS
- Able to demonstrate capability to analyze test results to determine if questions are properly worded, and whether or not they are correctly developed for the level of knowledge deemed necessary in the NOS

- Proven ability to manage security requirements to ensure that test questions and responses are kept confidential
- Able to maintain adequate records of student attempts, scores, and provide this information in a timely manner to the certification body

### **Certification Records/Database Management**

It is essential that comprehensive records exist to track individuals through the certification process, as well as having a publicly accessible repository for certified individuals. This process needs to recognize issues of individual privacy and safeguard personal information while still allowing the day-to-day administration of the certification process. It may be cost-effective to bundle the management of certification records/database with general member management services, which can then be done internally or outsourced.

Critical considerations for this element may include:

- Ability to set up and run a secure database
- Detailed knowledge of privacy legislation
- Ability to customize database applications to suit changing requirements

### **Strategic Considerations**

It is essential that the organizations consider carefully the strategic ramifications of outsourcing elements of their business processes. It is also important to note that well documented, proven processes are easiest to outsource, and at the present time the certification and accreditation processes are only models and guides. This could make finding an appropriate vendor for these services difficult.

It is also important that the organization ask itself whether outsourcing a particular process is in its long-term strategic interest; that is, does it make sense to have an outsider perform a task that can (or should) be done internally. If the process is being outsourced because of a lack of internal resources or expertise, is it in the organization's strategic interest to develop that capacity? This may mean that the outsourcing is short-term, which can have a significant effect on the type of vendor required (Step 2), the type of RFP to develop (Step 3), the type of vendor likely to respond, and the type of service level agreement that will have to be negotiated (Step 4), and will also have an impact on how the outsource agreement is managed (Step 5). Clearly this is not a set of decisions that can be taken lightly.

### ***Step 2: Determining What You Want From an Outsource Partner***

It is important that the organization rate factors to determine what it is they really want from an outsource vendor. Included below are a few criteria to guide this discussion.

Reliability: can you afford to have your vendor's systems down for maintenance or other outages? If so, for how long? How much warning do you require? Do you need backups?

Responsiveness: how important is it to get immediate response from the vendor? More importantly, how important is it to the certification candidates/members they will serve?

Quality: What are the quality criteria you expect your vendor to maintain? Are there standards (ISO, others) that you need? What quality assurance programs do you need the vendor to adhere to?

Value for money: While price is an obvious consideration, a decision on a vendor should be focused on VALUE. If you desire reliability and quality – you will have to be prepared to pay for them. You need to understand what the service is worth to you, in order to ensure you are getting the maximum benefit for the price. .

Financial security: Is the vendor solvent? Is the vendor likely to stay that way? Consider running credit checks on potential vendors/partners – they will likely run one on you as well.

Partnership approach? Pair of Hands? Or something else?: – Do you want someone who will follow a process to the letter? Or someone who can suggest ways of improving it? Different requirements here require a different type of vendor, and a different management style from you.

### ***Step 3: Determine Likely Candidates and Craft an RFP***

A well-written Request for Proposal (RFP) communicates your organization's service needs and requirements and increases the number of potential vendors, theoretically maximizing the quality of the final deal and minimizing the price.

Writing a good RFP takes time. This could mean several months from initial formulation to vendor selection. If you have never written an RFP (or are unfamiliar with writing one of this magnitude), some guidelines are presented below:

If you've done a good job at Step 1, then writing the RFP is easier. It is essentially the organization, tabulation and communication of the needs and requirements unearthed during the assessment.

In general, any RFP has classic elements, and an RFP for an outsourcing arrangement needs some additional details.

#### **Classic Elements:**

- Organization profile (who you are)
- Performance expectations and service requirements
- Existing technology and infrastructure
- Instructions on the submission criteria
- Details on how proposals will be evaluated- evaluation criteria and weighting, timetable, reference checking process, etc

- Specific questions about the organization responding, the team they intend to use, and their experience in this type of job

Explain why you are seeking a change and provide a good description of your current situation, as well as a vision of what the process would look like after an outsourcing arrangement was implemented and how everything would fit together. Tell the providers how you want their response to look, whether it should be electronic or paper, the number of copies, what support documents to attach, etc.

You also need to describe how your process works and what it costs. Then describe how you'd like that process to work in the future. Next, ask the provider to suggest a better way to produce that future process that works and use the RFP to invite potential providers to tell you how they would get you to that future – or sometimes how they might create a future process that works even better than the one you envision.

### **Additional Elements:**

- Initial contract terms, including pricing, etc
- Indemnity clauses, intellectual property rights
- Required warranties,
- Draft service level agreements
- Details on how the contract will be managed, etc

How much detail and specificity built into the RFP is largely dependant on the maturity of the process being outsourced: if you have a very clear, mature process, then you can be very specific in demanding services and asking questions. On the other hand (and in this particular case) the RFP can and should serve as a vehicle for opening a dialogue with potential vendors to determine the best way to accomplish tasks where specific processes may not be well developed.

A good RFP also anticipates the contract. The more of the contractual negotiations you can pre-empt by having the provider present a proposal in terms that can be cut and pasted into a contract, the easier the negotiations will be.

In short, enough detail to allow a vendor to do a credible job of adequately addressing the organization's requirements, and to give you enough information to assess and select an appropriate vendor. A successful RFP should provide you with the information necessary to narrow the potential providers down to a very short list, ideally just two or three providers.

Once the RFP is crafted, it must be sent to potential suppliers. One of the best sources for finding potential vendors is industry associations (Canadian Society of Association Executives, etc), other industry contacts, and word of mouth referrals from other associations. A list of some potential providers is included at the end of this section.

**Note:** This list is not intended to be a comprehensive listing of all firms which may be capable of providing outsourcing services. Its purpose is to act as a starting point in determining potential vendors who may be able to offer their services.

## ***Step 4: Select a vendor and negotiate an effective SLA***

As the evaluation of RFP submissions pares down the list of potential vendors, final selection must be made. Again, understanding what you need from the vendor and establishing selection criteria up front will make this step significantly easier.

In selecting a potential vendor, you should consider:

- **Industry expertise.** Is a vendor familiar with this industry? Do they specialize? Is there evidence of ability to innovate?
- **Demonstrated reliability.** Can you rely on them? Did a vendor respond promptly? Did they ask question? Did they answer questions? Did they appear to be interested in your business problem? What's their track record? How long have they been in this business? How long have they provided this service?
- **Flexibility.** Has the vendor shown an ability to add resources and people, or to adjust to changing economic or technological circumstances? Does a vendor have flexible contract terms, exit strategies, etc? Remember that the vendor is in the business of crafting and delivering on outsourcing contracts: chances are good that they've learned how to build contracts that are win-win. It is also probable that they've learned to exploit the inexperience of a client new to outsourcing.

Once a vendor is selected, you can begin the process of finalizing a service level agreement.

### **Service Level Agreements**

Service level agreements (SLAs) are the contractual obligations which guide the outsourcing project. SLAs bind both parties to specific deliverables, response times and support, and are invaluable in managing the overall outsourcing agreement. They have value in any relationship where an organization's ability to fulfill its own obligations (to members, or others) are dependant on the supplier.

SLAs cover all aspects of the outsourced work, so that both parties know what to expect. SLAs define the service that suppliers must provide, the level of service to be delivered and set out responsibilities, priorities and dispute resolution procedures.

SLAs are complex documents that should be well defined. It is worthwhile getting advice from a legal professional while drafting an SLA.

### **Crafting the SLA**

Crafting the SLA should be a collaborative process between you and the vendor. Beware of the "standard contract" that cannot be modified.

If new to outsourcing, performance metrics will help break down a process and measure specific elements, such as the time to process a membership request. As the agreement matures and the vendor masters the process, the metrics should be altered accordingly: that is, the bar should go up (or the costs per transaction go down) to match that level of sophistication. New performance measures may be necessary as the old standards become routine.

Typical SLAs include:

- A detailed description of the service(s) provided
- Details of the transition of services from the organization to the vendor
- The standards of service
- Timetables
- Responsibilities of both the service provider and the contracting agency
- Provisions for legal and regulatory compliance
- Mechanisms for monitoring and reporting of service
- Payment terms
- Dispute resolution processes
- Confidentiality and non-disclosure provisions
- Termination conditions

If a vendor doesn't meet the required service levels established in the SLA, there is generally provision for penalties (or rewards if they do). If the critical components have been identified beforehand (Steps 1 and 2) then the key areas of the SLA can be drawn up and penalties/incentives placed on these most critical areas, as well as focusing periodic performance reviews on the areas of greatest value.

SLAs require management. Needs can change, and the agreement may have to change along with them. This flexibility should be part of the SLA: either party should have the ability to re-open parts of the agreement should circumstances arise that necessitate changing the deal. Also, if technology is a part of the outsourcing solution, make sure service levels and regular technology upgrading are included in the contract.

### **Exit Strategy**

All outsourcing contracts should contain an exit strategy. Otherwise, the ending of an agreement, whether premature or not, can be difficult and expensive. The exit strategy will detail how the outsourced functions will be brought back in-house (or transferred to another vendor). In addition, the issues surrounding intellectual property and other assets must be detailed in the SLA.

### ***Step 5: Manage the relationship***

Once an agreement is signed comes the job of managing the agreement and the relationship.

This on-going management could account for 8-10% of the budget for the service. Day to day management of the SLA is a process of verifying performance metrics contained in the agreement, generally through

some sort of periodic formal reporting. Performance metrics force both parties to concentrate on the important details of the agreement.

Beyond that, the management of the process must be one of communication: open, honest and regular.

## ***Potential Outsourcing Providers***

### **Association Management Services (General Management, Certification, Accreditation)**

Association Management, Consulting  
& Evaluation Services (AMCES)  
www.amces.com

Associations First Ltd.  
www.associationsfirst.com

Essentient Association Management  
www.essentient.ca

Kestrel Companies Group Inc.  
www.singlesourcemanagement.com

McPhersonClarke  
www.mcphersonmanagement.com

Sirius Solutions  
www.siriusassociations.ca

Taylor Enterprises Ltd.  
www.taylorenterprises.com

Associations Plus Inc  
www.associationsplus.ca

Base Consulting and Management Inc.  
www.baseconsulting.ca

Gestias Inc.  
www.gestias.com

Le Groupe ONEC/The ONEC Group  
www.onec-group.com

Pathfinder Association Management Group  
www.pathfinder-group.com

Strauss Event & Association Management  
www.strauss.ca  
Mr. Jonathan N. Strauss, President

### ***Competency Testing:***

International Codes Council  
www.iccsafe.org

Staff Testing Inc.  
www.stafftesting.com

The Whitener Group (subsidiary of the National  
Occupational Competency Testing Institute)  
www.whitenergroup.com

Ramsay Corporation  
www.ramsaycorp.com

### ***Records Management***

*(See Association management vendors)*



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