

## General Instructions for Applicant

The Utility Safety Partners training program assessment and endorsement process has been developed by the Training Standards Committee with input and approval of the stakeholders in the ground disturbance/buried facility damage prevention process.

Applicants are expected to conduct their own research into the subject matter of the applicable Standard, and to consult with subject matter and adult education experts in developing their program. Applicants are expected to develop a comprehensive and cohesive program that includes, at a minimum, the content specified in the Standard. However, applicants are not required to follow the sequence of the Standard being developed to.

Applicants are encouraged to become active members of Utility Safety Partners (USP). Participation with USP provides access to an excellent vehicle to maintain currency with respect to regulatory changes and the evolution of the damage prevention process in Canada. Membership also further allows participation in the identification and validation of damage prevention/ground disturbance/locating and marking best practices.

Further information is available on the USP web site: [www.utilitysafety.ca](http://www.utilitysafety.ca)

The following will assist the Applicant in developing an application for endorsement of an Instructor Led or Online training program that is comprehensive, complete and straightforward for reviewers to follow.

<b>ILT – Instructor Led Training</b>	<i>Training that is facilitated by an instructor i.e. Classroom, Virtual, or Facilitated Online are included. These programs are designed for face-to-face delivery mode.</i>
<b>Online</b>	<i>Training that is designed to be solely learner based, delivered electronically through an online Learning Management system, and requires no supervision or facilitation. May have a “help” component such as a chat bot that provides guidance.</i>

**There are three stages to the program assessment process:**

- Stage I** An evaluation of the content of the Applicant’s program against the minimum content specified in the Standard(s). The Applicant’s program must meet the requirements of the Stage I Application Form before progressing to Stage II.
- Stage II** A check of the Applicant’s internal systems and processes that support the program, ensure the protection of student information collected, and ensure the integrity of examinations and certificates. The Applicant’s internal systems and processes must meet the requirements of the Stage II Application Form before progressing to Stage III.
- Stage III** An audit of the Applicant’s presentation of the program to ensure the minimum content is presented accurately and in accordance with the Applicant’s internal systems and processes. Requirements of the Stage III audit document must be met, and all applicable fees must be paid, before a training program will be considered endorsed.

The assessment process is very comprehensive. It is expected that the Applicant will review all Stages before applying to ensure they can meet the commitments and requirements outlined in Standard they are applying to.

**NOTE: Applicants for the Ground Disturbance 101 Standard must be currently endorsed providers of a Ground Disturbance 201 course.**

### Expectations

- Applicants are expected to develop, deliver and maintain their programs in alignment with best practices such as those contained the CSA Z1001 Occupational Health and Safety Training Standard. This

includes the design of content, development, delivery, record keeping, documentation and overall continual improvement methodology of the training program, which this Standard will focus on.

- Applicants must not copy and paste from the Standard directly, unless where directed to do so.
- Applicants are expected to ensure the accuracy of their content meets the intent of the applicable Standards (where referenced).

## Instructions

These instructions are intended to simplify and expedite the application process:

- Carefully read this document, along with the current Service Standard & Schedule of Fees documents. Pay close attention to:
  - application fees, as well as payment schedules and instructions
  - submission time frames
  - completion instructions for each stage
- Prepare and plan the appropriate resources to accommodate the maximum time frame between each stage.
- Thoroughly review the Application Form for each stage prior to submission. Re-submissions due to missing or inaccurate information will be charged according to the Schedule of Fees.
- Gather all the required information and supporting material and organize it as required.
- Review the submission carefully to ensure that it is complete, according to these instructions, as well as the stage's Application form, prior to submitting.
- Stages I and II must be paid for prior to each Stage's application being submitted for audit. Once paid, the request for a Dropbox file link to upload the applicable documents can be made by emailing [TSCAdmin@utilityafety.ca](mailto:TSCAdmin@utilityafety.ca).

## Application Instructions

### STAGE I

#### Overview

*Stage I establishes that you have developed a product that meets the Standard. This entails a comprehensive audit and line by line review of the Applicant's program and applicable supporting training tools (Leaders Guide, visual aid package, story line or story board, online program functionality, etc) to ensure that it meets the content requirements established by the Standard.*

*The program developed must provide the information in methods that follow best practices for knowledge transfer in adult learners.*

***The Applicant must achieve 100% of the content requirements of Stage I before progressing to Stage II.***

#### Stage I Application

1. Must be electronically completed and submitted via the Dropbox link provided by the TSC Admin (see Service Standard for specific instructions).
2. Each section must be completed in entirety, ensuring the contact information is completed accurately.
3. **ILT Programs**

- Provide specific detail(s) on the exact location(s) of chapters, pages, paragraphs, bullet numbers, and even sentences within the learner’s manual, visual aid package (i.e. power point), and leaders guide that supports the criteria in the Standard. General reference (i.e. page 10) will not be accepted.
- The reference column may also be used to provide clarity to the Auditor or additional content references that are not required within the Standard.

NOTE: Add explanatory comments that will assist the Auditor, as reviewer(s) will not be searching through submissions to find information. If the program does not provide clarity and simplistic ability to review content, it will be considered incomplete, and audit will not proceed.

**4. Online Programs**

- Provide specific detail(s) on the exact location within the program, utilizing a storyboard script or a story line, to logically and seamlessly support the criteria in the Standard. Screen shots may be included to demonstrate the functioning of “drop downs”, “pop ups” and links. Comprehensive and specific detail is required to ensure an efficient, accurate and fair review. A submission comprising only of screen shots, without specific details as noted above, is not acceptable, and will be returned to the applicant as incomplete.
- **Submit:**
  - **ILT** - 1 electronic/digital copy of:
    - Learner program manual and associated handouts, tools, etc.
    - Instructor’s program guide
    - Completed Stage I Application Form
    - Visual aid package
  - **Online** - 1 electronic/digital copy of:
    - Indexed copy of the beta version of program
    - Storyboard including complete story line and/or script and/or detailed tool in the logical order of program that allows comparison to final product
    - Audio script
    - Graphics, pictures, drop down boxes, additional interactions and treatments included in script
    - Copy of Glossary and/or Reference documents used in the Program
    - Completed Stage I Application Form
- The Applicant will be advised of receipt of the submission by the TSC Admin.

**Standard Terminology Criteria**

It is the expectation that, regardless of the term utilized, all material contained within will be presented to ensure that the learner can achieve effective knowledge transfer. Within each section of the Standard, select terminology has been utilized to designate the criteria for delivery of the content, and how it must be presented within the Applicants program. Pay close attention to the following terms and the prescribed criteria.

<b>Term</b>	<b>When this term is used the following criteria applies</b>
<b>Contain or Contained</b>	<b>ILT</b> - Content must be delivered in main learning material. <b>Online</b> – Content must be within the main visual/audio of material, and within the course story board. It cannot solely be a resource or source tab. If a learner is given access to an electronic or printed manual (ie. 12.1.2 of the 101 Standard), instead of access to the online program for the 3 year term of certificate, then this content must be <b>contained</b> .
<b>Provide or provided</b>	<b>ILT</b> - Content must be provided and provided to the learner.

	<p><b>Online</b> – Content must be provided within the program, but does not need to be in the main visual/audio material. If a learner is given access to an electronic or printed manual (ie. 12.1.2 of the 101 Standard), instead of access to the online program for the 3-year term of certificate, then this content must be <b>provided</b>.</p>
<p><b>Cite</b></p>	<p>This applies to content that is “cited” from a specific source such as a regulator that is referred to or mentioned. The citation may be weaved into the content and the explanation of the content. Content that is “cited” must include:</p> <ul style="list-style-type: none"> <li>I. Name of the author, regulatory body (if applicable)</li> <li>II. Name of publication</li> <li>III. Year of publication,</li> <li>IV. Page number and / or exact regulatory reference number</li> </ul> <p><b>Example:</b> <i>Government of Alberta (2014), Pipeline Act, 32(1)</i></p> <p>The “cited” notation above must be contained in the program directly beneath or placed in direct reference to the cited material in the program: The “cited” material can be:</p> <ul style="list-style-type: none"> <li>a) provided verbatim as defined in the program</li> </ul> <p><b>Example:</b> 32(1) A person proposing to undertake or undertaking a ground disturbance shall, before commencing any work, operation or activity, (a) take all precautions reasonably necessary (i) to ascertain whether a pipeline exists within (A) the area in which the person proposes to undertake or undertakes the ground disturbance, and RSA 2000 Section 33 Chapter P-15 PIPELINE ACT 22 (B) the distance, prescribed in the rules, from the area referred to in paragraph (A), (ii) to determine who is the licensee of a pipeline in existence within the area or distance referred to in clause (a)(i), and (b) notify the licensee referred to in clause (a)(ii) of the nature of the proposed ground disturbance and the proposed schedule for the undertaking of that ground disturbance in accordance with the rules. <i>Government of Alberta (2014), Pipeline Act, 32(1)</i></p> <p><b>or,</b></p> <ul style="list-style-type: none"> <li>b) the developer must ensure that the context of the cited information is communicated with accuracy.</li> </ul> <p><b>Example:</b> All parties (workers to facility owner) prior to a ground disturbance starting, must take all precautions reasonably necessary to determine if a facility exists within the Work Area and Search Area. <i>Government of Alberta (2014), Pipeline Act, 32(1)</i></p> <p>The citation is a resource that learners can access in their own time, and training providers can optionally provide links to the appropriate legislation. All citation sources must be contained in the reference section. A citation tells the reader where the information came from. In your writing you cite or refer to the source of the information.</p>
<p><b>Reference</b></p>	<p>This is a list of the sources you have cited. A reference gives the reader details so they have a sufficient understanding of what kind of source it is and where it can be found, if required. References are typically listed at the end of the document.</p> <p>A list of all references must be contained within the learner manual for ILT and as an accessible reference for online. All references are to be at either the end of the learner program manual or as an attachment for online programs. All references listed must be in alphabetical order with the author, name of document, issue/version number (if applicable), date of publication, and website if applicable.</p>

<b>Verbatim</b>	Content must be “ <b>verbatim</b> ” in exactly the same words and format of the author (i.e. regulator), or the Standard. If the verbatim content requires citation, it must follow the citation criteria above.
<b>Minimum</b>	Content must include this information at a minimum but does not need to be provided verbatim. The training provider is encouraged to provide further elaboration or add additional items to the section to illustrate the main point(s).

## STAGE II

### Overview

*Stage II establishes that you have internal systems and processes that support and maintain consistent delivery of the product to the Standard. Equally important, it also audits the ability to document the training performed by the learner and the instructor, in a comprehensive Learning Management System that sustains and protects confidential information, exam integrity and reduces certification fraudulence.*

***The Applicant must meet all the requirements of Stage II before progressing to Stage III.***

### Stage II Application Form

1. Must be electronically completed and submitted via the Dropbox link provided by the TSC Admin (see Service Standard for specific instructions).
  2. Each section must be completed in its entirety, including identifying and referencing documentation accurately.
  3. The Reference column should be used to provide any additional information or comments that will assist the reviewer.
  4. Provide descriptive process detail in support of screen shots and policies to assist the reviewer in identifying key features, action triggers, permissions, and responsibilities. Examples might include: (1) unique learner identifiers, (2) system generated password replacements with no human intervention (3) who has access to a learner’s records and under what conditions.
  5. Where the requirement is to provide “applicable information”, the Applicant could provide a copy of a written policy or process or samples of completed documents.
  6. Gather all the required information and supporting material and organize it as required.
  7. Review the submission carefully to ensure that it is complete according to the Application Form and this document, prior to submitting.
- **Submit:**
    - **ILT** – electronic/digital copy of:
      - Completed Stage II Application Form
      - Written protocols/processes and policies as required
      - Instructor selection criteria, training, certification and auditing information
      - Visual support such as screen shots or a descriptive narrative with storyboard, where requested or applicable
      - Completed Virtual LT Application Form, if the training provider chooses to teach virtually
    - **Online** – electronic/digital copy of:
      - Completed Stage II Application Form
      - Written protocols/processes and policies, and requested visual support such as screen shots or a descriptive narrative with storyboard, where requested or applicable
  - The Applicant will be advised of receipt of the submission by the TSC Admin.

## STAGE III

### Overview

*Stage III demonstrates that you have the ability to deliver the product in accordance with the Standard, and validates delivery to the internal requirements submitted in Stage II. The program will be audited from the perspective of the learner and will establish that the content is presented accurately and completely in accordance with the Applicant's internal systems and processes, as well as the Standard.*

***The Applicant must successfully complete Stage III to receive endorsement.***

### Preparing for the Stage III Audit – ILT programs

1. Set aside classroom space with a working surface for the Auditor, preferably at the back of the room. If the audit is being performed virtually, send a meeting link to the auditor prior to commencing the course. Ensure the auditor is logged on in sufficient time to prepare for the audit.
2. Ensure that your instructor is briefed on the program delivery audit process.
3. Provide the Auditor with the same program materials that the learners receive.
4. Have the Auditor introduce themselves and briefly explain the reason for their presence after the learner introductions.
5. Coordinate your internal quality assurance audit to take place simultaneously with the program delivery audit. Ensure that your internal auditor is aware that the Auditor may want to ask him/her questions to validate your policies, procedures, and standards.
6. Set aside an hour following the conclusion of the program with your company representative to discuss any matters or collect any further documentation or information required by the Auditor.

### Preparing for the Stage III Audit – Online Programs

1. Provide the Auditor with four learner registration opportunities to access the final version of the program as it will be available to the purchasing public. Additional registrations will allow the auditor to test the program in various ways, including proving the system's lock out provisions for multiple attempts.
2. Ensure the Auditor has access (phone and email) to your technical personnel in case issues arise during the audit.

## Changes to the Program

**Applicant Directed Changes** - The Applicant has made changes to the program content, presentation sequence, or changes to the internal systems, LMS, or processes from what was approved during the Stage I and Stage II reviews respectively. The Applicant shall identify and submit all such changes as follows:

1. Provide the Auditor with comparison documents that identify all changes between the approved versions of documents and the revised versions of documents, demonstrating that the changes meet or exceed the Standard. Use different font colors where necessary.

**Auditor Directed Changes** – The Applicant is required to make changes to the program content, presentation, sequence, or to the internal systems, LMS, or processes to meet the Standard and be an endorsed provider. Submit the changes as follows:

1. Provide the Auditor with a revised Application Form that details revisions in a different color than the original application.
2. Provide the Auditor with the most up to date version of the documents submitted with the Stage I and Stage II Application Forms as applicable.

**Application Completion**

Upon successfully completing Stage III of the audit process, the Applicant will be issued an endorsement letter and certificate and be registered on the USP website as an Endorsed Provider. As an Endorsed Provider, you will be required to continually uphold the Standard and Conditions of Endorsement, which is signed following endorsement approval. USP reserves the right to revoke the endorsement at any time for failure to do so.

**Requests for Clarification**

- o For clarification of the Standard or the Application Form, contact the Training Standards Committee Administrator by email [TSCAdmin@utilityafety.ca](mailto:TSCAdmin@utilityafety.ca).
- o For clarification of the Audit process, expectations, or results, contact the applicable Auditor by email [TSCAuditor1@utilityafety.ca](mailto:TSCAuditor1@utilityafety.ca), or [TSCAuditor2@utilityafety.ca](mailto:TSCAuditor2@utilityafety.ca).

<b>Date (MM-DD-YYYY)</b>	<b>Completed by:</b>	<b>Approved by:</b>	<b>Briefly describe changes</b>	<b>Version of final copy</b>
04-22-2021	MF	MS	Updated to include AOC document requirements, as well as merged information to create one sole set of Instructions for all Standards	2.0
08-23-2021	MF	MS	USP logo and wording added; minor grammar corrections	3.0
03-22-2024	MF	MS	Removed "Ground Disturbance" references in front of "Standard" to make generic	3.1