Alternate Locate Provider Program

Registration Instructions for Applicants

General Instructions to Applicant

The Alternate Locate Provider (ALP) Program is an alternative approach to delivering locates in Alberta. As part of the ALP Program, a registered Alternate Locate Service Provider (ALSP) works for the Project Owner and must be registered for participation in the ALP Program. ALSPs must meet specific criteria as identified in this document.
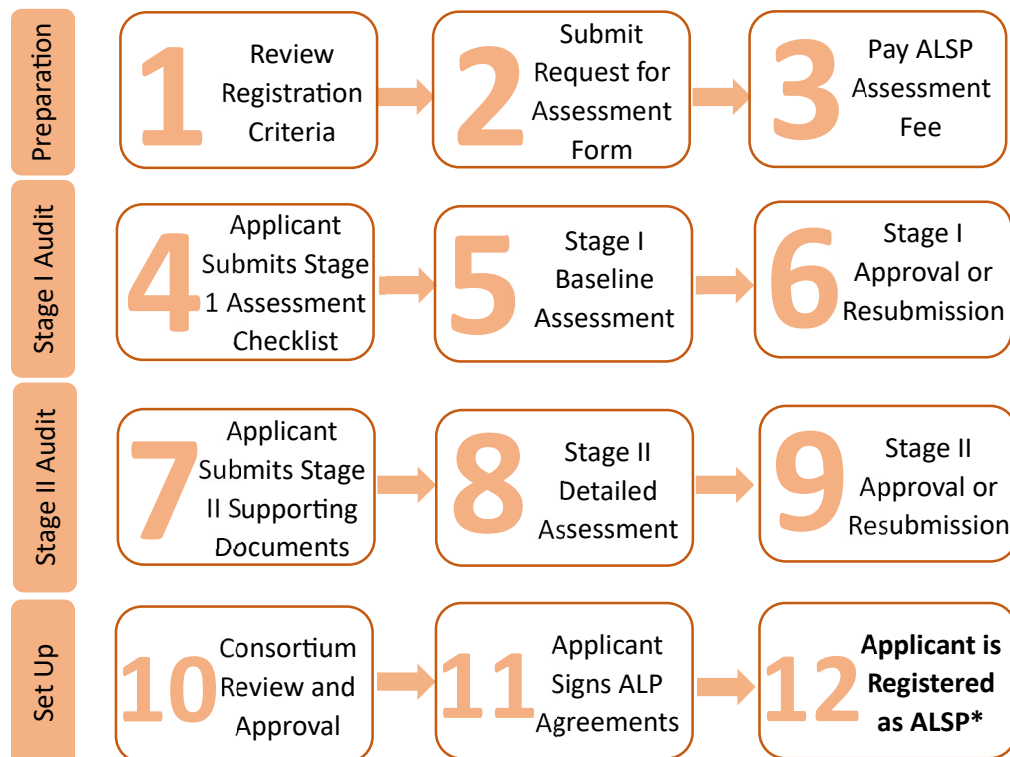
There are two main steps involved in registration to the Alternate Locate Provider (ALP) Program.

Step 1: To participate in the ALP Program, you must be assessed and registered as an Alternate Locate Service Provider (ALSP). The process is outlined in this document.

Step 2: Once approved as an ALSP, your company must register any individual locators in specific ALP regions in order to complete ALP locates.

ALSP Assessment and Registration Process

Below is a step-by-step process showing how to get registered as an ALSP:

Preparation
1 Review Registration Criteria
2 Submit Request for Assessment Form
3 Pay ALSP Assessment Fee

Stage I Audit
4 Applicant Submits Stage 1 Assessment Checklist
5 Stage I Baseline Assessment
6 Stage I Approval or Resubmission

Stage II Audit
7 Applicant Submits Stage II Supporting Documents
8 Stage II Detailed Assessment
9 Stage II Approval or Resubmission

Set Up
10 Consortium Review and Approval
11 Applicant Signs ALP Agreements
12 **Applicant is Registered as ALSP***

*ALSP's locators must be registered separately for final set up

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ALSP Registration Process Step Details

Step 1: Review the Registration Assessment Criteria that follows in this document to determine if your company has the capability and resources to complete this process. If any significant gaps are identified, work to address those prior to proceeding to Step 2.

Step 2: Download and complete the Request for Assessment form and submit to Utility Safety Partners (USP) per the form instructions.

Step 3: A USP representative will contact the Applicant to arrange payment of the Stage I Assessment fee (Note: payment of fee does not guarantee registration will be approved).

Step 4: A USP auditor will be in contact with assessment program information and will require Applicant to complete and submit the self assessment checklist for the Stage I audit to start.

Step 5: The auditor will review the Stage I submission against the ALP requirements and may request a meeting or additional background information during this stage.

Step 6: The auditor will communicate next steps to Applicant, which may include approval to proceed to the Stage II detailed audit or a requirement for resubmission of Stage I info.

Step 7: Upon approval to proceed to Stage II, an auditor will request the supporting documentation required for the detailed review. Once all information is received, the auditor will setup a meeting to review with the Applicant.

Step 8: The auditor will review the supporting documentation materials received against the ALP requirements, factoring in individual company processes and differences. Further reviews, documentation, meetings, and/or verification may be required.

Step 9: The auditor will communicate next steps to Applicant, which may include approval to proceed to final Consortium sign off or a requirement for resubmission.

Step 10: If approved in Step 9, all impacted Consortium Owners will review and provide final endorsement of the Applicant.

Step 11: Applicant will sign an ALP agreement with the Consortium for each ALP region requested.

Step 12: Applicant is now officially registered as an ALSP and will be listed on USP's website.

Important note: Following ALP registration in Step 12, the ALSP's locators will then need to be submitted for review and be registered with USP and complete orientations prior to being able to complete ALP locates (see page 5 for individual ALP locator registration details).

Stage I Audit - Supporting Documentation

Stage I assessment involves a preliminary review of an Applicant's company, systems, training, quality, and other programs to ensure the Applicant is aligned on the basic requirements of the ALP Registration Assessment Program (RAP). The only document required is:

1. **ALP Self-Assessment Checklist:** This form must be completed and submitted by the Applicant and represents the Applicant's best self-assessment against RAP requirements. This document is shown in Appendix B and is available in a fillable version on the USP website.

Additional documentation or information may be requested during Stage I as identified by the auditor to help understand an Applicant's suitability for assessment.

Stage II Audit - Supporting Documentation

In order to thoroughly assess your company's alignment to the ALP Registration Assessment Program (RAP) during the detailed Stage II Audit, the following documentation and/or information is mandatory to be sent for review.

Business Requirements

1. **Proof of COR/SECOR** - if not currently certified or if currently under audit, Applicant may outline progress and expected timing to certification through a progress letter from COR auditor

2. **List of active/proposed ALP locators** including the following information:
   a. Years with your company and years of total locate experience
   b. USP-endorsed Locate & Marking course certification ID
   c. If applicable, USP-endorsed GD201 course certification ID

3. **Insurance** – provide coverage limits for comprehensive, errors and omissions, automobile through a copy of Applicant's insurance coverage

4. **Company Information and Experience**
   a. Years of operation in Alberta (or other provinces if not currently in Alberta)
   b. Shallow Underground Infrastructure Owner experience (infrastructure owners and years of experience. Note: experience as a subcontractor to a Consortium LSP is acceptable.
   c. If no experience in Alberta, three (3) relevant utility owner references must be submitted

Training and Quality Requirements

5. **Quality Assurance (QA) Program**
    a. Copy of QA manual and/or any documented QA processes
    b. Must include details on competency, audit, damage investigation, corrective actions
    c. Identify who in your organization is responsible for QA oversight and how audits and investigations will be resourced/led
    d. Damage tracking or data. If not available, provide details on how damages will be tracked and/or reported to Consortium members.

6. **Training and Competency**
    a. Copy of training manual and/or locate procedures (used for training)
    b. Copy of locator competency assessment process or documentation used for sign off
    c. List of any applicable Consortium-specific training you have received in the past

Technical Requirements

7. **Safety Reporting Software** - Provide Company ID for any and all services currently in use (ISNetworld, Avetta, Compliance Works) as well as a sample status copy from at least one (1) system indicating adequate/approved status.

8. **Ticket Management Process** - Specify how you receive tickets and submit locate packages (email, software, other). If software, identify software provider in use.

9. **Mapping Viewers** - Specify if access to Multiviewer GIS viewer is currently in place. If system is not currently in place, please confirm that your company is able to implement.

10. **Equipment Calibration** – Provide a recent calibration log of company's locate equipment

Steps Involved Following an Unsuccessful Audit Stage

If an Applicant is required to go through a resubmission following either audit stage, the Employer will be provided with a report indicating any area(s) to address prior to seeking approval. An Applicant can complete 2 resubmissions before they will be denied from proceeding further in the assessment process. Should an Applicant be denied registration, the Applicant must wait 6 months before re-applying for ALSP assessment in order to demonstrate implementation of sustained changes. There will be an additional fee associated with resubmissions and/or re-initializing of assessment.

Note that if minor gaps are found during the audit and can be addressed during the review process to the satisfaction of the auditor, this will not result in resubmission. Minor gaps generally include issues that do not impact the Employer's ability to perform high quality and safe locates, as deemed relevant by the auditor.

Individual Locator Registration Process Step Details

Following registration as an ALSP, all locators working on ALP locates must be registered. It is expected that the ALSP will complete the assessment of its locators and certify they meet ALP program requirements. The locator registration assessment checklist shall be completed and submitted for each locator to be registered for the program. For multiple locator applications, there is also a multiple locator checklist that may be used. Samples of these checklists are found in Appendix C with a fillable version available on the USP website. The key components required for the locator assessment are:

Training: Completion of mandatory USP-endorsed ALP training course and Employer training/competency programs. All ALP locators must have a valid ALP training certificate.

Experience: Endorsement by Employer showing experience on similar infrastructure locating and/or general locating performance. This includes a good quality/damage history.

Technical: Endorsement by Employer of technical and field skill levels.

It is expected that Employer locator assessments shall be done with the most complete view to a locator's skills and competency. As such, the Employer doing the assessment shall have the ability to determine the best approach for assessing the locator capabilities.

At a minimum, all locators must undergo both an initial assessment and annual reassessment(s) to participate in the ALP as well as hold a valid USP-endorsed Locate and Marking program certification from an endorsed training provider. There are other situations where re-registration may be required (see Appendix D).

Additional Registration Criteria Information

Appendix A: General information and considerations for ALSP approval as part of the registration assessment. The details provided are guidance only and each Applicant will be assessed against these criteria, while factoring in individual company specifics.

Appendix B: Non-fillable sample copy of the Stage I self assessment checklist to be completed by Applicant. Please contact USP for the fillable version to use.

Appendix C: Non-fillable sample copy of the ALP Individual Locator assessment checklists to be completed by the Applicant following approval as an ALSP. Please contact USP for the fillable version to use.

Appendix D: Individual ALP locator registration and re-assessment requirements.

General ALSP Applicant Instructions

- Ensure a completed Request for ALSP Assessment Form has been completed by the Applicant and acknowledged at USP
- Applicants are expected to review the Applicant instructions and assessment expectations and have a comprehensive view of the program requirements.
- Carefully read this document, along with the current ALP Schedule of Fees documents.
- Prepare and plan the appropriate resources to accommodate the provision of documentation and subsequent follow up review.
- Gather all the required information and supporting material and organize it as required. All documentation requested in the previous section must be sent to USP via the auditor identified to you. This can be done either via email or through other electronic means if required.
- Any format of file and backup documentation is fine as long as it includes the information requested.
- USP and the Auditor will store documentation for future audit purposes, but will ensure all documentation is treated as Confidential and will not be shared with external parties.
- Once all information is received, an assessment report will be created and sent back to you for comment and review. An opportunity to address any gaps will be possible at that time.
- It shall be noted that there is some inherent subjectivity built into the audit process. However, final ALSP approval will demonstrate that all applicable requirement sections have been reviewed with supporting documentation and that the processes and documentation in place meet the minimum requirements of the ALP Registration Assessment Program.

Further Program and Application Information

Additional documentation and information are also available on the USP Website:

- Employer/ALSP and Individual Locator Assessment Checklists (available in fillable format)
- Schedule of ALP Fees
- Preparation Guide for Prospective ALSPs
- ALSP Request for Assessment Form

For further ALP program information: utilitysafety.ca/wheres-the-line/alternate-locate-provider-alp/

For ALP questions and support, email USP at: info@utilitysafety.ca

Appendix A: ALSP Registration Assessment Criteria

Employer Assessment Overview

Employers wishing to participate in ALP must be registered and approved by USP and the participating infrastructure owners. This framework will provide the basis to assess if a new LSP or contractor can be deemed capable to perform this work and ultimately be registered. Overall program oversight and standards are included under USP's Registration Assessment Program (RAP).

Business Requirements

Industry Certifications

The Employer must maintain recognized industry training and certifications as required for ALP.

Assessment Considerations
- Mandatory: Certificate of Recognition (COR or SECOR) certification in good standing or in progress of achieving COR within next 12 months.   - Mandatory: Employer to demonstrate that all locators planning to work on ALP locates have completed Locate and Marking training certification from a USP-endorsed training provider or are able to demonstrate a plan and timing to achieve this threshold.   - Recommended: Significant proportion of locators have GD201 certification from a USP-endorsed training provider.

Insurance and Security

The Employer must hold minimum insurance coverages as outlined below. Coverage requirements may differ by region and Owner. The following are minimum mandatory requirements, however higher coverage may be required.

Assessment Considerations
- Commercial General Liability Insurance: $5,000,000 coverage   - Commercial Automobile Liability Insurance: $5,000,000 coverage   - Employer's Liability Insurance (Errors and Omissions): $2,000,000 coverage per employee (above WCB)   - All Risk Property Liability must be included in policy   - Security and Criminal Background Checks must be performed on all employees   - Drug and Alcohol Policy must be in place

Experience and Performance History

The Employer should be able to demonstrate experience providing public infrastructure locates in a similar capacity either in Alberta or similar jurisdiction and have a solid performance record.

Assessment Considerations
• Experience working for Consortium or other similar Utility Owners in Canada on similar scope of services • Strong quality, damage and safety track record • Demonstrated ability to contract to Utility Owners and meet legal requirements • References from Utility Owners may be requested for Employers from outside Alberta.

Training and Quality Requirements

General Training

The Employer must demonstrate that they have the capabilities, policies, procedures and systems to provide training to its Locators internally. Training and qualification of locating personnel should be described in the Employer's training documentation. Internal competency assessments should determine that Locators have met the Employer's training and qualification requirements.

Assessment Considerations
• Training program and/or processes documented and implemented • Training program includes considerations for recruitment, competency assessment, delivery tools and methods, continuous improvement, considerations for new vs experienced locators, conditions for training after layoff. • Resources in place and identified to deliver training and support assessment of locators in the office and field • Includes completion of industry training including Locate and Marking by USP-endorsed training provider(s) • Procedures being followed and trained on are aligned to CCGA Best Practices and the Damage Prevention Process in Alberta • Demonstration that training program is being followed in practice

Buried Facility Operator Specific Training

Depending on the locating requirements of the Buried Facility Operators and regions, the Employer will be required to complete further Owner-specific training. The Employer must have the ability to perform this training as part of their internal training program and structure and/or have the ability to incorporate new requirements and training needs as required by specific Buried Facility Operators. Please note it is not a requirement to have specific owner training, only to demonstrate the ability to train on new infrastructure types and owners.

Assessment Considerations
• Training program includes applicable Utility Owner training or demonstrates the ability to include in program.   • Includes any locating requirements required by Utility Owner that are not consistent with other Utility Owners or generally accepted processes.   • Includes any special requirements legally required of Utility Owners.

Quality Assurance

The Employer must demonstrate that they have either a Quality Assurance Manual or similar documented quality processes with the following considerations accounted for.

Assessment Considerations
• Documented Quality Assurance Manual or set of processes being followed   • Ability to audit completed locates per Owner volume requirements, as well as following a damage, near miss, or as identified during other reviews   • Internal quality assurance auditors or the ability to outsource audits to a qualified third-party assessor   • Documented damage and near miss process, ideally as part of quality assurance program, including investigation, reporting, non-conformance process, corrective actions, employee improvement   • Ability to produce Owner required audit/damage metrics and reporting

Technical and System Requirements

Safety Reporting System

The Employer must have an acceptable rating in one or more of the approved Safety Reporting systems that Buried Facility Operators use when any work is being carried out on their infrastructure. Approved options include, but are not limited to: Avetta, ISNetWorld, and ComplyWorks.

Ticket Management Processes and Systems

The Employer must have a ticket management process to ensure that tickets can be properly received and submitted and to maintain records safely. The ticket management process will need to be able to address the following considerations.

Assessment Considerations
• Can receive ticket requests and info from Project Owners via electronic or software-based processes. While not required at this time to have ticket management software, it is recommended for future program participation. • Receive and track any additional feedback/responses from Utility Owners • Send completed locates to Project Owner and/or Utility Owners • Keep all records for 7 years and allow access to Utility Owners (Certain Utilities may have longer conditions) • Employer has adequate IT support and hardware to ensure access to tickets

Mapping

The Employer must be able to access Buried Facility Operator infrastructure records via the designated mapping system(s) in use and demonstrate ability to support access to the system.

Assessment Considerations
• Employer has adequate IT support and hardware to ensure access to Mapping • Ability to access and interpret mapping appropriately per Utility Owner requirements • The process for disseminating mapping is functioning correctly and understood by the locating personnel • Demonstrate ability to maintain security and data maintenance

Equipment

The Employer must have adequate and up to date equipment to perform locates and demonstrate that calibration is including in its operating procedures. Equipment includes, but is not limited to, locate sets, computers, phones, GPS, paint, markers, vehicle, road safety equipment, and PPE.

Appendix B: ALSP Registration Self-Assessment Checklist

Alternate Locate Service Provider (ALSP)

Company Registration Assessment Form

Company Name:
Region(s):

ALSP Assessment	
Level	Audit Result
Stage I	
Stage II	*Auditor Use Only*
Final	

Instructions:
Applicant to confirm their response to each item under "Applicant Response"
Please use the drop down options in each case in order to faciliate the assessment process.
Applicant may include additional comments for clarification if required. This is not mandatory.

			Stage I Applicant Response	
Business Requirements	**Item**	**Assessment Question**	**Applicant Response**	**Applicant Comments (if applicable)**
Industry Certification	1	Are you COR or SECOR certified or in Progress of COR certification?		
	2	Do all ALP locators have USP-endorsed Locate & Marking training completed and/or planned?		
	3	Do all ALP locators have active USP-endorsed GD201 training? (non-mandatory)		
Insurance	4	Do you meet the following insurance coverage requirements?		
		$5M Comprehensive General Liability		
		$5M Automobile Liability		
		$2M Professional Liability (Errors and Omissions)		
Locate Experience	5	Do you have experience providing public shallow infrastucture locates in Alberta?		
		If "No" to above, do you have other damage prevention experience in Alberta?		
	6	Do you have a valid current locate contract with any Consortium member?		
	7	How long have you offered locate services (any jurisdiction)?		
	8	How long have you provided public shallow infrastructure locates?		
	9	How long have you provided private shallow infrastructure locates?		
Training and Quality Requirements	**Item**	**Assessment Question**	**Applicant Response**	**Applicant Comments**
Training Program	10	Do you have a training and competency program?		
	11	Do you train your employees on locating internally or through external partners?		
	12	Does your training program incorporate CCGA and Industry best practices?		
	13	Do you currently have locators trained on any Consortium locate procedures?		
	14	Do you have capabilities to train employees on new infrastructure owner procedures?		
Quality Assurance Program	15	Do you have a quality assurance (QA) manual or documented QA processes?		
	16	Do you currently audit locate quality (locate accuracy, near miss/damages, procedures)?		
		If "Yes" to above, do you use internal QA resources to perform audits?		
		If "No" to #16 are you prepared to implement audits and data tracking?		
Technical Requirements	**Item**	**Assessment Question**	**Applicant Response**	**Applicant Comments**
Safety Reporting Software	17	Are you currently set up in any of the following softwares: ISNetworld, ComplyWorks, Avetta?		
		If "No" to above, are you prepared to sign up for the software required?		
Ticket Management Process	18	Are you able to receive locate requests electronically?		
	19	Are you able to submit completed locates electronically?		
	20	Do you have a locate document retention procedure for completed locates?		
Mapping	21	Do you currently have the Consortium Multiviewer GIS Viewer Set up?		
		If "No" to above, are you prepared to install and setup Multiviewer?		
Equipment	22	Do you calibrate your locate equipment per Manufacturer specifications?		

Additional Applicant Comments

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Appendix C: Individual Locator Registration Checklists

ALP Individual Locator Registration Assessment Form

Locator Name:
Region(s):

ALP Locator Assessment	
Level	Audit Result
Stage I	Auditor Use Only

Instructions:
Applicant to confirm their response to each item under "Applicant Response"
Please use the drop down options in each case in order to faciliate the assessment process.
Applicant may include additional comments for clarification if required. This is not mandatory.

Training and Experience Requirements	Item	Assessment Question	Stage I Applicant Response	
			Applicant Response	Applicant Comments (if applicable)
Industry Certification	1	Does Locator have a current USP-endorsed Locate & Marking Course Certification?		
		If "Yes" to above please provide training certification ID provided by course provider		
	2	Does Locator have a current USP-endorsed GD201 Course Certification?		
Locate Experience	3	Does Locator have more than 2 years public locating experience?		
		If "No" to above, please indicate years or months of experience		
	4	Has Internal Training (onboarding or refresher) been completed in the past 12 months?		
		If "No" to above, please indicate when next training will be completed		
	5	Has Locator had any at-fault locate damages in the past 12 months?		
		If "Yes" to above, how many damages? Provide any investigation results with submission.		
	6	Has Locator ever been denied to locate on public infrastructure by a Consortium owner?		
		If "Yes" to above, please indicate Consortium member		
	7	Is there any reason Locator may not be permitted to locate on Consortium infrastructure?		
Consortium Specific Training	8	Please select all Consortium owners that Locator has experience locating (drop downs to right). If all facilities are applicable, please select "All Listed". If none, please leave blank.		

Technical Requirements	Item	Assessment Question	Applicant Response	Applicant Comments
Based on your assessment as the Locator's Employer, indicate your assessment of Locator's competency level for each category to the right	9	Safety and Quality - Follows safe work procedures, high degree of locate accuracy		
	10	Mapping and Records - Navigates and understands mapping and records		
	11	Ticket Administration/Systems - Follows proper ticket submission and retention practices		
	12	Equipment - Able to use all locate equipment and ensure proper function/calibration status		
	13	Documentation - Able to complete all company and owner documentation requirements		
	14	Field Marking Procedures - Able to navigate common site conditions and challenges		
	15	Overall - What is your overall level of assessment of Locator's competency		

Additional Applicant Comments

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ALP Individual Locator Registration Assessment Form

Multiple Locator Registration Submission Form

Employer Company Name:

ALP Locator Assessment		
Audit Date	**Audit Result**	**Auditor Info**
Auditor Use Only		Auditor Use Only

Instructions:

This multiple locator submission form is provided to facilitate the registration of multiple locator names for a single Employer.

Please enter as many locator names as requested to be registered. If more lines are required, please drag and add more to sheet.

Applicant to confirm their response to each item beside each locator name.

There may be a drop down required for some items so answers must be entered to match.

Applicant may include additional comments for clarification if required beside each name.

Please sign and date at the bottom of the document prior to submitting (typed or manual signature suffices)

					Training and Experience				Locate Technical Competency	
Item	**Locator Name**	**Regions(s) Working For**	**USP Endorsed Locating Course Completion**	**Years of Locate Experience (approx)**	**Has locator ever been denied to locate on Consortium infrastructure?**	**Is there any reason locator may not be permitted to locate on Consortium infrastructure?**	**Has locator completed owner orientations or indicated they will complete prior to ALP locating?**	**Based on your assessment as the locator's employer, indicate your endorsement that the Locator is competent and able to provide locates to the level required by the Consortium (per the ALP Guidelines)**	**Additional Comments** (if applicable)
		(Select from drop down)	(Provide Completion ID#)	(Select from drop down)	(Y/N)	(Y/N)	(Y/N)	(Y/N)	
1									
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Acknowledgement

By signing my name to this document and submitting the above names for registration, I am certifying that all employees listed are deemed technically competent and able to complete locates to the level of quality and safety as required by the Consortium of Infrastructure Owners and as outlined in the Alternate Locate Provider Program Registration Requirements Document. I also confirm that any information knowingly withheld about the competency of a registered employee that is deemed to go contrary to the ALP Program Requirements, may result in the employee and the Employer being removed from the registered list of Alternate Locate Service Providers.

I submit the above listed names for registration to the ALP Program. As their employer, I confirm each person listed is competent and able to perform the locate duties required of them.

_____

Name

_____

Date Signed

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Revision 1.4 Sept 6, 2024

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Appendix D: Individual Locator Registration and Reassessment Requirements

The following considerations apply to Locators for re-assessment and registration.

ALP Locator Registration Requirements	Registration Assessment	
	Required	**May be Required**
Initial Assessment	✓	
Annual Reassessment	✓	
Changing Employer	✓	
Long Term Leave from Locating (>6 months)	✓	
Temporary Leave from Locating (<6 months)		✓
Following >1 at Fault Damage in 1 year period	✓	
Following Non-Conformance or Removal from Endorsed List	✓	
Following Employer-Identified Performance Issue		✓

Non-Conformance and Re-assessment

Should a Locator or Employer be deemed non-conformant based on an assessment or audit, they will not be permitted to work on ALP tickets and will have their name removed from the master list of approved participants, including removal from the website, if applicable.

It is expected that Employers who are deemed non-conformant will work with USP and other stakeholders to address gaps in their assessment and when ready can be reassessed.

Locators who are deemed non-conformant due to failure of the ALP assessment must wait six months before being reassessed and applying for re-registration. USP, the Consortium and/or the employer reserve the right to remove the approval of a Locator at any time from the active list of approved ALP Locators. This can be due to performance issues, damages, safety concerns, injury, or other scenarios to be defined.

A Locator is automatically deemed non-conformant when switching to a new employer and is not permitted to carry over approval from one employer to another. A Locator in this scenario must undergo streamlined reassessment at the time of joining a new Employer, recognizing that approval should not be reasonably withheld unless there are safety or quality concerns that require further training or addressing. It is expected that reassessment will be streamlined with the underlying assumption that all conditions of conformance are carried over unless the new Employer assesses any gaps in competency during onboarding.