



Action Plan Submission Guideline

Effective Date: May 10, 2022

Owned by: Manager,
Safety Audits & Certifications

Approval: *Juliet Goodwin*

Approved By: Manager,
Safety Audits & Certifications

Valid Until: May 10, 2025

Current approved documents are maintained online. Printed copies are uncontrolled.



SUMMARY OF CHANGES

This Summary shows:

All changes from last approved and published document

The location within the document where the changes have been made

Version	Date	Author(s)	Revision Notes
1.0	April 14, 2019	Juliet Goodwin	New Document
1.1	April 14, 2022	Julie Remington	Annual Review

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Action Plans are a valuable and effective method for companies to maintain their COR while continuing to enhance their safety program. Action Plans map out a process to address gaps identified in previous audits while not losing focus on the greater safety program.

The purpose of this document is to provide guidance that follows Energy Safety Canada’s process when submitting your Action Plan and deliverables. Energy Safety Canada will review the employer’s completed submission and assign a score relative to its completeness.

Action Plan Amendments

If the approved Action Plan does not meet expectations, an amendment is required. Valid justification for not meeting the Plan will be required and will be reviewed on a case-by-case basis

Should this occur the following is required:

- Amendment requests must be submitted no later than October 31 of the current year
- Amendment requests must be in writing, state reason for amendment and what objectives are being changed, along with a copy of the revised plan
- Complete box 3 on the first page of Submission Form

Amendments that invalidate the Action Plan will not be approved, should this happen an employer will be required to complete a Maintenance Audit

Potential reasons for an invalid Action Plan:

- The number of Objectives and/or Milestones fall below the minimum required number
- Date amendments fall outside the current Action Plan year

The following is required when submitting completed Action Plans:

Self Score

- You award a score based on the points assigned and on completion of the Milestone (half points will not be accepted)
- Milestones must be started and completed within the calendar year to awarded full points
- If you award yourself less than full points an explanation is required. Missing the target date does not require a deduction of points, however not finishing prior to the Action Plan deadline does.

<p>Self Score (by company on completion)</p> <input type="text"/>
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Deliverable Samples

Deliverables are the required documents that provide verification of completed Milestones.

The following criteria is required for verification of completion of a Milestone:

- ✓ Must be legible
- ✓ Must be dated
- ✓ Must be clearly identified as to which Milestone it is verifying
- ✓ Provide names of the documents submitted for verification in area provided
- ✓ Must align with the documents indicated you will submit in your deliverables unless otherwise noted

Completion Date

The completion date refers to the moment that the specific milestone is completed.

- This may result in a different date for each Milestone of an Objective
- Remember that Objectives must be started and completed in the calendar year they were submitted
- Click on the Completion Date box and an embedded calendar will appear

Providing notes for Objectives

Notes should be provided to clarify objectives.

- Notes must summarize tasks/actions taken to complete the Objective/Milestone
- They can include pros and cons, along with any lessons learned
- Notes must also be provided for any points withheld
- Changes to any deliverables from the approved Plan must be documented in the notes

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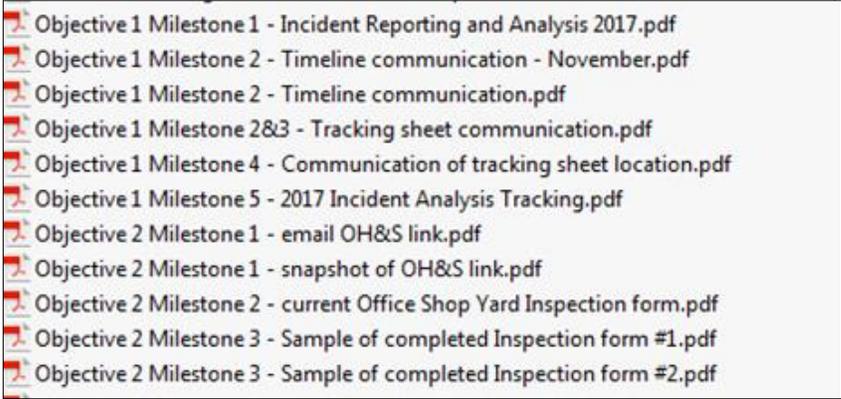
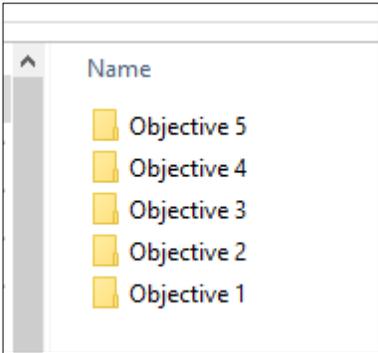
Notes	<p>Milestone 1: Everything complete, full scoring achieved, please see communication poster (dated July 23, 2017). Milestone 2: We only shared the link to the meeting once, not twice, so I have deducted 2 points.</p> <p>Completed the objective including ensuring our latest meeting minutes were posted on our company bulletin board complete with info graphics. Then we communicated the info graphic to the staff in August.</p>
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Submission of Deliverables

When sending in your deliverables:

- ✓ Attach the completed pdf files, ensuring they can be opened properly
- ✓ Include instructions, and notes as needed within the email
- ✓ If providing a link to a shared folder, ensure the link can be accessed easily and does not expire
- ✓ Label individual emails if multiples are required for large files (Example 1 of 10, 2 of 10), this will ensure we have received them all.
- ✓ Label all your documents and file folders to ensure nothing gets missed!
- ✓ You can submit the scored form as you did previously by clicking on the “Submit by Email” button
- ✓ If you have any problems, send an email to: CORInfo@EnergySafetyCanada.com



Submission Quality Review Process

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Once submitted, all Action Plans are subject to a Quality Review.

The following items are reviewed:

- ✓ Documentation for verification of Deliverables
- ✓ Employer's self-scoring
- ✓ Notes for Objectives

Energy Safety Canada reviewer will assign a final score for each Objective.

Revision Process

Revisions may be requested after the Quality Review for the following reasons:

- Insufficient documentation for Deliverables
- Documentation cannot be dated later than November 30
- Self-scoring not completed
- Insufficient support notes
- Missing Company Profile/Organizational Chart
- You have one opportunity to submit revisions
- Revisions must be submitted within 5 days of notification

Scoring and Outcomes

Action Plans for each calendar year must achieve a score of at least 60% to meet COR maintenance requirements. If a 60% is not achieved then the company will be required to complete a regular COR maintenance audit, with the last day of data collection being no later than December 31 of that year.

Action Plans that score 80% or higher in their first maintenance year will be eligible to conduct an Action Plan for their second maintenance year. Employers that score less than 80% must revert to Energy Safety Canada's audit protocol for the second year.

Should the documentation submitted be less than 80% completion of the Action Plan items or the review score be less than the self-scoring, Energy Safety Canada will notify the employer in writing, stating the deficiencies and the specific consequences of the score achieved.

If the employer believes they have other documents that would demonstrate the projects were completed, the employer must contact Energy Safety Canada to request permission to submit additional documents. Documents dated outside the current Action Plan year will not be accepted.

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Action Plan Submission Example

Action Plan Total Points Assigned (must be 100)

Objective 1

Based on previous audit recommendation?

During our Certification Audit it was found that our Joint Workplace Health and Safety Committee chair and co-chair did not have the proper training. This objective will focus on ensuring they receive training based on legislation for our province.

Totals for Objective 1	
Points Assigned	Self Score
<input type="text" value="10"/>	<input type="text" value="10"/>

Milestones (list of milestones or significant tasks to complete objective; min 2 - max 5)	Responsibility (individual or group assigned)	Target Date	Deliverables	Completion Date	Points Assigned	Self Score (by company on completion)
Revise Training Matrix to include the new Joint Workplace Health and Safety Committee Chair and Co-Chair Training requirements for our province	HSE	Sep 1, 2020	Will submit previous training matrix and updated training matrix	Sep 1, 2020	<input type="text" value="3"/>	<input type="text" value="3"/>
Determine where employees can take the required course, and enroll	HSE	Sep 15, 2020	Will submit verification of enrollment	Sep 12, 2020	<input type="text" value="1"/>	<input type="text" value="1"/>
Have employees take the course	Chair and Co-Chair	Sep 30, 2020	Will submit Certificates of course completion for both employees	Sep 30, 2020	<input type="text" value="5"/>	<input type="text" value="5"/>
Update training spreadsheet showing courses completed	HSE	Oct 15, 2020	Will submit training spreadsheet with courses updated	Oct 15, 2020	<input type="text" value="1"/>	<input type="text" value="1"/>

Deliverables for Objective 1 can be found in email 2 of 10

- Notes**
- Milestone 1- Previous and revised training matrix submitted
 - Milestone 2- Enrollment confirmation screenshot submitted
 - Milestone 3- Certificates showing both the chair and co-chair took the Online training
 - Milestone 4- Training spreadsheet submitted showing the date the course was taken