



# ACTION PLAN GUIDANCE – SUBMISSION

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 by November 30 of that calendar year to award 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 November 30 deadline does.

<b>Self Score (by company on completion)</b> <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.

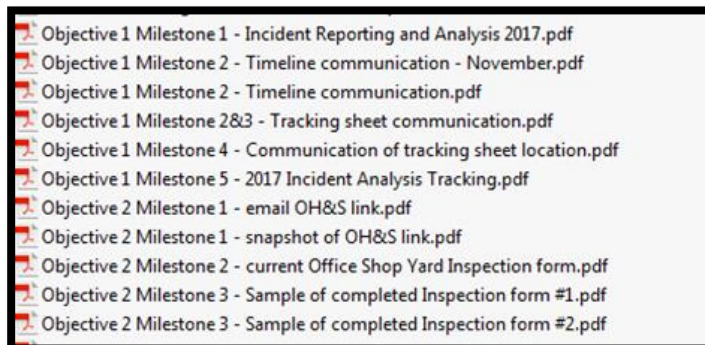
- Notes must summarize tasks/actions taken to complete the Objective/Milestone
- They can include pros and cons, along with any lessons learned
- Notes must also be provided for any points withheld
- Changes to any deliverables from the approved Plan must be documented in the notes

<b>Notes</b>	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.  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.
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## Submission of Deliverables

When sending in your deliverables:

- ✓ Attach the completed pdf file
  - ✓ Include any additional documents
  - ✓ Include instructions for decompressing large files
  - ✓ 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.
- 
- You can submit the scored form as you did previously by clicking on the “Submit by Email” button
  - Attach the rest of your submission package to this email, including deliverables, etc.
  - If you have any problems, send an email to: [CORInfo@EnergySafetyCanada.com](mailto:CORInfo@EnergySafetyCanada.com)



## Submission Quality Review Process

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.



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## 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.

Actions 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. Documentation dated after November 30 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	<input type="text" value="Sep 1, 2020"/>	Will submit previous training matrix and updated training matrix	<input type="text" value="Sep 1, 2020"/>	<input type="text" value="3"/>	<input type="text" value="3"/>
Determine where employees can take the required course, and enroll	HSE	<input type="text" value="Sep 15, 2020"/>	Will submit verification of enrollment	<input type="text" value="Sep 12, 2020"/>	<input type="text" value="1"/>	<input type="text" value="1"/>
Have employees take the course	Chair and Co-Chair	<input type="text" value="Sep 30, 2020"/>	Will submit Certificates of course completion for both employees	<input type="text" value="Sep 30, 2020"/>	<input type="text" value="5"/>	<input type="text" value="5"/>
Update training spreadsheet showing courses completed	HSE	<input type="text" value="Oct 15, 2020"/>	Will submit training spreadsheet with courses updated	<input type="text" value="Oct 15, 2020"/>	<input type="text" value="1"/>	<input type="text" value="1"/>
		<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>

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