

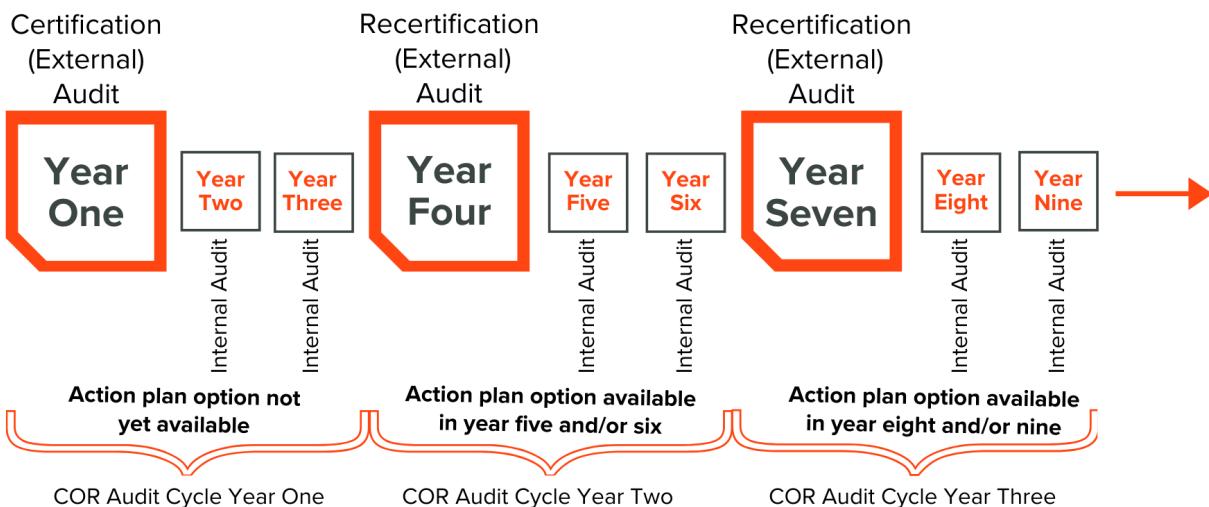
1.0 PURPOSE

An Action Plan is a maintenance option that allows employers who have held a valid COR for four or more consecutive years to use an alternative process for meeting the maintenance audit requirement. Rather than conduct annual maintenance audits, some employers may find it more valuable to focus their resources on enacting Action Plan items from their last audit or working on corporate health and safety projects. Action plans create an opportunity for the company to focus on implementing suggestions for improvement from their previous audits, and to measure their own success.

2.0 ELIGIBILITY

- A minimum of 1 full COR cycle has taken place,
- Most recent recertification audit was 80% or higher,
- All action plans must score a minimum 60% or higher to maintain COR certification,
 - 1st year action plan must score 80% or higher in order to be eligible for 2nd year action plan option,
 - If less than 80% a full internal audit must be conducted for second year
- Employer has 11 or more employees,
- Employer has not received any orders from Alberta Occupational Health and Safety within the current COR cycle,
- Certified auditor on staff

Is your company eligible to participate in the COR Action Plan Maintenance option?



*Minimum score for first year action plan is 80%. If less than, a full audit must be completed for second year maintenance.
 *Minimum score for second year action plan is 60%.

- Large and complex employers with multiple sites, multiple accounts and/or related employer originally included together in the same certification audit must submit one Action Plan.
 - Appendix H1 Group Audit Application must be submitted with Action Plan Application.

3.0 ACTION PLAN DEFINITIONS

Action plan items must be measurable, and designed to introduce meaningful improvements to the employer's OHS management system. Action plans are made up of 3 sections:

- ❖ Objectives,
- ❖ Milestones, and
- ❖ Deliverables.

3.1. OBJECTIVES are the overall goals you plan to accomplish. You should have a minimum of 3, maximum of 10 that are started and completed in the calendar year.

- Must be SMART: Specific, Measurable, Attainable, Realistic, Time-bound
- Based on your corporate health and safety priorities, projects, or initiatives
- At least one objective must be based on the recommendations from your last external audit.

3.2. MILESTONES are the steps you take to complete the objective. This may include steps such as planning, research, development, implementation, and follow-up. The following criteria must be followed:

- Must be written clearly and actionable,
- 2-5 milestones for each objective
- Milestones **assigned** to a specific person or group,
- Must have a **target date and completion date**,
- Must have associated **deliverable** that is documented,
- Milestone must have a potential score,
 - All milestones must add up to 100%

3.3. DELIVERABLES are the evidence of completion and meeting your objective. These could range from meeting notes, training records, developed procedures. Deliverables must be:

- Complete, organized, and professional in appearance.
- Be directly relevant to the specified milestone and objective.
- Provide sufficient evidence of milestone completion (more is not necessarily better)

The review score is based on what is committed to on the action plan for deliverables. The deliverable identified is the expectation for submission.

4.0 TIMELINES

4.1. ACTION PLAN PROPOSAL SUBMISSION:

May 31

4.2. AMENDMENTS

October 31

4.3. FINAL PLAN SUBMISSION

November 30

5.0 ELEMENTS OF AN ACTION PLAN:

5.1. OBJECTIVE:

5.1.1. List the title of the Action Plan Objective (a short description may be included). Objectives should be organization wide and not department specific. Check off if this objective is based on previous audit recommendations.

5.2. MILESTONES:

5.2.1. List milestones or significant activities to complete the project

5.3. RESPONSIBILITY:

5.3.1. Name the individual or group responsible for completion of the deliverable for each milestone or significant activity.

5.4. TARGET DATE:

5.4.1. Enter your target date as a projected completion date is indicated for each activity listed in the Action Plan.

5.5. COMPLETION DATE:

5.5.1. Enter the date completed as part of your Action Plan submission.

5.6. DELIVERABLES

- 5.6.1. Submitted to the AMTA as Evidence of Completion
- 5.6.2. The employer indicates the deliverables that will be submitted to the AMTA for each item to demonstrate completion.
- 5.6.3. All deliverables must be submitted to the AMTA no later than **November 30**.

5.7. POTENTIAL SCORING:

- 5.7.1. Potential Score can be assigned to either:
 - 5.7.1.1. Individual objectives; or
 - 5.7.1.2. Individual milestones within objectives
- 5.7.2. Total score (either method) must equal 100
- 5.7.3. Factors to consider in assigning points include:
 - 5.7.3.1. the impact the project will have on making the health and safety management system effective,
 - 5.7.3.2. the amount of work involved in the project, and
 - 5.7.3.3. the comprehensive nature of the project.
- 5.7.4. This assignment of points will be discussed and agreed to with the AMTA prior to the Action Plan being approved.
- 5.7.5. Evaluation of successful completion of the Action Plan, and the subsequent awarding of points for each of the projects listed, will be based on the submission of deliverables to the AMTA.

5.8. SELF-SCORE

- 5.8.1. Companies assign a score based on the completion of the milestone. When assigning a score, review if the milestone was completed in full. If the assigned milestone was completed in full, you will be awarded full points. If the milestone was not completed at all, do not award points. If it was partially completed (e.g., your milestone stated 4 drills would be conducted, but only 2 were conducted), only award partial points.

- 5.8.1.1. Total points for Action Plans = 100
 - 5.8.1.2. Total of all milestones point potentials must be equal to 100.
 - 5.8.1.3. Milestone scores are totaled at the end of each Objective.

5.8.1.4. Objective scores are totaled at the conclusion of the Action Plan

5.8.2. *Example*

If 5 Objectives are identified, each worth 20 possible points, and scoring of all 5 Objectives reflects 75 points awarded, then total score for the action plan is 75% or 75 out of 100 possible points.

5.9. JUSTIFICATION NOTES

5.9.1. Provide an explanation as to how you awarded your points in the self-scoring notes section for each objective.

5.9.2. *Example*

OBJECTIVE 1: QUALIFICATIONS, ORIENTATIONS & TRAINING

FOR THIS OBJECTIVE WE HAVE ACHIEVED 100% OF THE FIRST THREE MILESTONES:

Milestone 1 - Identify health & safety training needs for managers & supervisors. (Justification is) *This is shown in the needs assessments attached. We have identified 4 courses for supervisors and 3 for managers. As for the fourth milestone (deliver training to 80% of the managers and supervisors), unfortunately we were only able to achieve training 50% of the staff required. Therefore, we awarded ourselves 50% of the score for this milestone (7.5/15)*

6.0 ACTION PLAN SUBMISSION:

Once all of your milestones have been achieved and deliverables are ready to submit you will also ensure to include your Company profile, Organizational Chart, Executive Summary and Auditor Participation. Your submission must be well organized and submitted electronically.

6.1. EXECUTIVE SUMMARY

6.1.1. Similar to what is required in an audit. Outline overall results of the action plan, listing the strengths and recommendations. This will be dated and signed off by the person who prepared the action plan.

6.2. AUDITOR PARTICIPATION:

6.2.1. Action plans will count towards auditor certification maintenance requirements. A description of how the auditor participated in the action will need to be filled out,

signed, and submitted along with the Action Plan submission.

7.0 QUALITY ASSURANCE:

7.1. The AMTA reviewer will:

7.1.1. Review supplied documentation to ensure they provide sufficient evidence of the completion of the milestones.

7.1.2. Request further clarification/additional supporting documentation if required.

7.2. All documentation must be dated prior to December 31 to be accepted.

7.3. January 31st is the deadline for the company to supply any requested additional information.

7.4. Action Plan Score (Completed by AMTA):

7.4.1. Full points are awarded to all completed projects. This will be based on a review of the deliverables submitted. Partial points may be awarded based on the relative completeness of the deliverable.

7.4.2. As a maintenance option, there is a 60% minimum score required to pass the action plan.

7.4.3. If this is the first maintenance year, and 80% is not achieved the company is not eligible for the action plan option the next maintenance year.

7.4.4. A standard maintenance audit will need to be completed.

8.0 SUPPORTING DOCUMENTS

8.1.1. Action Plan (same form for both application and final submission)

8.1.2. Executive summary

8.1.3. Auditor Participation

8.1.4. Appendix H1, H2 Group Audit Application (if applicable)

8.1.5. Sample Action Plan

AMTA Action Plan Scoring Guide.

Milestone Type	Points Awarded
Training and Communication	
Identifying training needs	5
Large scale new training development	10
Small Scale new training development	5
Updating existing training content	5
External Training 1-15 employees	8
External Training 16-29 employees	10
External Training 30+ employees	12
Internal Training 1-15 Employees	5
Internal Training 16-29 Employees	8
Internal Training 30+ Employees	10
Policies and Procedures	
New Policy Development	5
Update Existing Policy	3
New Procedure Development	5
Update Existing Procedure	3
New Safe Work Practice Development	5
Update Existing Safe Work Practice	3
Develop New Job Description	10
Update Current Job Description	5
Update Existing Employee Responsibilities & Duties	5
Posting Policies	1
Development of formal hazard assessments	3 each max of 12
Review of formal hazard assessments	2 per sample max 8
Forms and Tracking	
Develop Forms	5
Update Existing Forms	3
Develop Tracking Tools	5
Implementing Tracking Tools	5
ERP Drill (actual)	5 per drill (max 10)
ERP Drill Tabletop	4 per drill (Max 8)
Inspections	2
Safety Tour	2
Preventative Maintenance Records	2
Other	
Researching Information	1
Communications (emails, memo's, bulletins, etc.)	1
In Person Communications (toolbox meetings, H&S meetings, etc.)	2 per meeting (max 10)