

1. Purpose

This work instruction will provide all the information required to perform an Action Plan in lieu of a maintenance audit (see figure a). This document contains information on how to:

- Submit an application for an Action Plan (#3)
- Development of your company's action plans (#4)
- Submit the proposed Action Plan for approval (#5)
- Submit amendments, if required (#6)
- Submit a completed Action Plan (#7)

Items 8 and 9 outline the Quality Assurance (QA) Review and, if applicable, revisions process.

2. Forms

- AT 240.F.01 – Action Plan Application Form – used to apply to perform an Action Plans
- AT 240.F.02 – Action Plan Submission Form – used to develop and record Action Plans

3. Action Plan Application

- Employer wanting to do Action Plans in lieu of Maintenance audits must complete form AT 240.F.01 Action Plan Application
- This form is to be completed and submitted to Enform by January 31 of the current year
- The employer will be advised via email if their application for Action Plans is approved

4. Action Plan - Development

Employers approved to perform Action Plans use AT 240.F.02 Action Plan Form to develop and record their Action Plan.

- Once completed, the form is sent into Enform for approval
- All Action Plans must be into Enform by March 31 of the current year
- All Milestones must be started and completed within the current year to be valid

The following is information on the areas to be completed on the Action Plan.

- Objectives – this is what you want to accomplish. Objectives are like a mini project with a start and end and include implementation. Objectives should reflect what is to be accomplished once the objective has been completed. Objectives must meet the following criteria:
 - i. 5 to 10 objectives are required for Action Plan
 - ii. Objectives must come from previous year's audit recommendations, if applicable
 - iii. Objectives can come from corporate health and safety projects, initiatives
 - iv. Objectives must be specific and measurable
 - v. Objectives must be started and completed in the calendar year they were submitted

- Milestones – are critical major steps to complete an Objective. Milestones will usually take several tasks to accomplish. Milestones must reflect steps such as; planning, research, development, implementation and follow up to ensure success. Milestones must include the following:
 - i. Milestones must be written clearly and be actionable
 - ii. A target date for completion (in the calendar year)
 - iii. Milestone will usually take several tasks to accomplish
 - iv. Each Milestone must has someone assigned
 - v. Each Milestones requires a document for a Deliverable.
 1. Deliverables – in this area record the documents you plan on submitting for verification for that milestone.
- Points Assigned – these are the points the company assigns to each Milestone. Total points assigned for all Objectives cannot exceed 100. Criteria to be considered determining point value for Milestones:
 - i. Levels of participation (senior management, middle management, supervisors, workers)
 - ii. Resources required
 - iii. Impact to the company
 - iv. Time and effort to develop and implement (number of tasks)

5. Action Plan – Submission of Proposed Plan

The developed and recorded action plan must be submitted to Enform for approval. The following is required for submission:

- i. Proposed Action Plan
- ii. Organizational Chart
- iii. Company Profile

Employer will receive notification of approval or a request for revisions. If revisions are required, the employer has 30 days from the time they receive the Action Plan back to re-submit to Enform.

6. Action Plan – Amendments

When the employer's approved Action Plan is not meeting expectations due to unexpected conditions arising, they may need to make an amendment. 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 and state reason for amendment and what objectives are being changed, along with a copy of the revised plan.
- Amendments that invalidate the Action Plan will not be approved. Should this happen an employer will be required to complete a Maintenance audit. Below is a sample list of what could cause an invalid Action Plan:
 - i. The number of Objectives and/or Milestones fall below the required number
 - ii. Dates outside the current Action Plan year

7. Action Plan – Submission of Completed Plan

All approved Action Plans must be completed and submitted to Enform by November 30 of the current year. The following is required when submitting completed action plans:

- Complete the self-scoring area
 - i. Self-Score: the company awards a score based on the points assigned and on completion of the Milestone.
 - 1. Milestones must be started and completed in the calendar year they were submitted to award full points
 - 2. Should a milestone be late on the original approved target date one of the two scenarios apply:
 - a. if there is a reasonable explanation for the missed target date. For example, lack of resources, unexpected events. No points will be deducted
 - b. if the missed target date was the result of poor tracking and monitoring, then 1 point is to be deducted from that milestone
 - 3. An explanation for either situation must be documented in the notes areas
- Attach any required documents to provide verification of completed Milestones.
- Deliverables – documents submitted to Enform as verification of completion of a Milestone. The following criteria is required:
 - i. Must legible
 - ii. Must be dated
 - iii. Must be clearly identified as to which Milestone it is verification for
 - iv. Provide names of the documents submitted for verification in area provided.

- Complete Notes Area for each Objective:
 - i. Notes must provide a summary tasks on how the Objective/Milestones were completed. They can reflect a review of pros and cons along with any lessons learned.
 - ii. Notes must also be provided for any points withheld
 - iii. Any changes to any deliverables from the approved plan must be documented in the notes.

8. Action Plan – QA Review

All submitted completed Action Plans are subject to a QA Review. The following items are reviewed:

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

Enform reviewer will assign a final score for each objective.

9. Action Plan – Revision Request

Revisions maybe requested after the QA 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.

The employer has one opportunity to submit their revisions to Enform. Revisions must be submitted by December 31 of the current year.

Approval



Manager, Safety Audits and Certifications

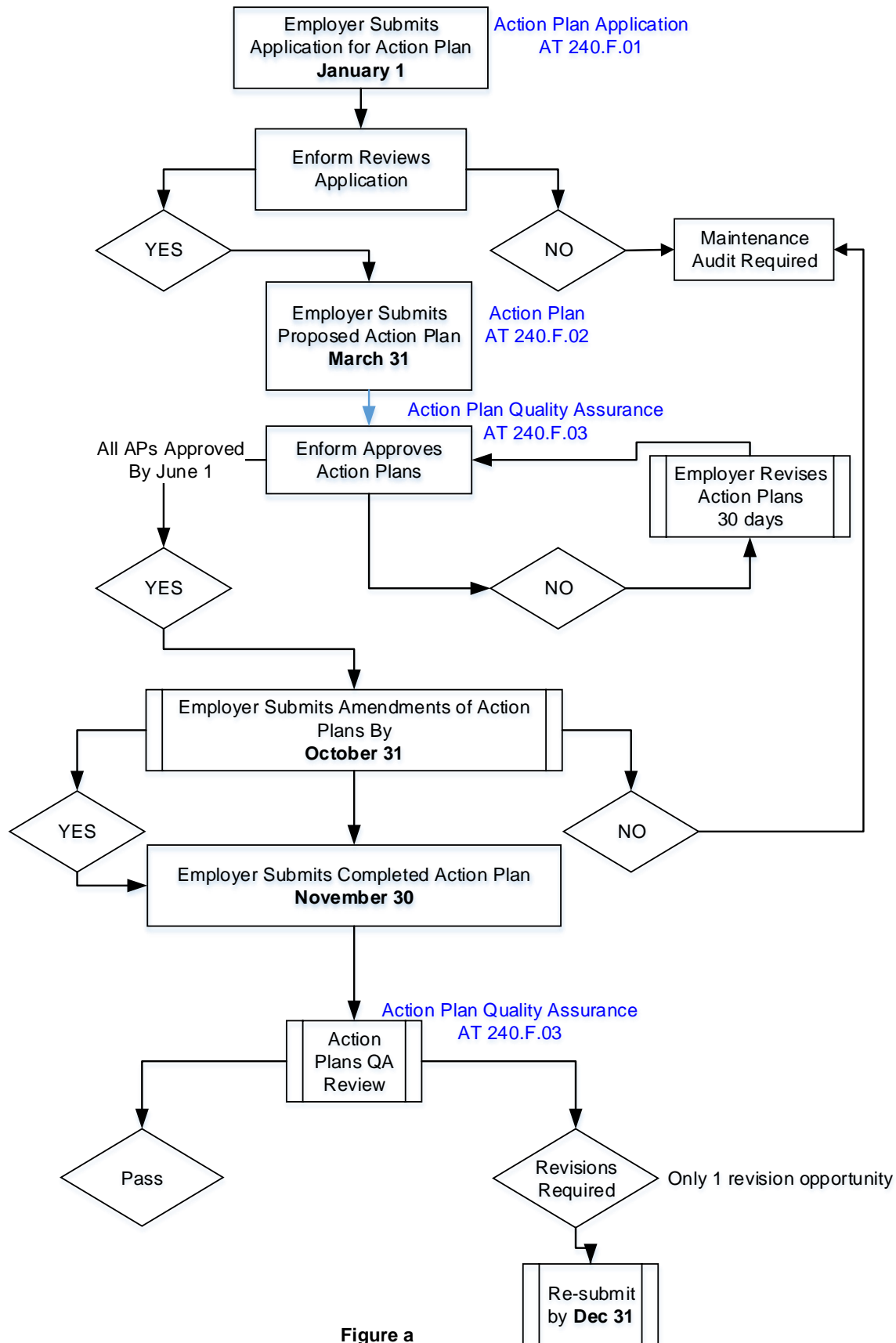


Figure a