

CERTIFICATE OF RECOGNITION (COR™) ACTION PLAN

Purpose of an Action Plan

NSNY's COR™ Action Plan offers an alternative way for companies to maintain their COR™. An Action Plan is a formal health and safety evaluation for an employer to keep their COR™ status between recertifications, taking the place of an internal audit. It is designed to implement suggestions for improvement from previous audits and safety objectives outside the normal audit scope. An action plan focuses on 3 criteria: objectives, milestones, and deliverables.

Eligibility Requirements

The following are eligibility requirements for applying for the Action Plan:

- Company is COR™ certified
 - Action Plans are not available for SECOR™ companies at this time
- A full-time employee at the company must hold the training requirements, including having a certified internal auditor on staff
- Company must have gone through a full three-year COR™ Cycle
- Company achieved **80%** or over on last external
 - if 2nd maintenance year, must have achieved over 80% on your last internal as well
 - if applying for a 2nd action plan, must have achieved over 80% on 1st year action plan

Action Plan Development

Using the COR™ Action Plan Form, companies will develop their Action Plan. The Action Plan proposal must include the following items:

1. Completed Action Plan proposal, including the individual(s) with the training requirements and the Action Plan participants
2. Developed Action Plan, with completed objectives and milestones

Objectives

Objectives are the goals you plan to accomplish. They can be thought of as mini-projects; they have start and end times, require various steps, and can be weighted on importance.

Objectives for your Action Plan must meet the following criteria:

- Must meet be **SMART**: **S**pecific, **M**easurable, **A**ttainable, **R**elevant, and **T**ime-bound
- Must include 3 – 7 objectives that are started and completed within the calendar year
- 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

Milestones

Milestones are the steps you take to complete the objective. They may include steps such as planning, research, development, implementation, and follow-up.

Milestones for your Action Plan must meet the following criteria:

- Must be described clearly and be actionable
- Must include 2 – 5 milestones for *each* objective
- Each milestone must be **assigned** to a specific person or group of people
- Each milestone must have a **target date of completion**
- Each milestone must have a **deliverable**
 - Deliverables are the documents or record that can verify that the milestone was completed
- Each milestone must have a **weighting**
 - Depending on the importance of each milestone for reaching the overall objective, assign an appropriate weight
 - The total weight of all milestones for all objectives must equal 100

Submission of Action Plan Proposal

The developed Action Plan must be submitted to NSNY for approval, prior to the deadline of **May 30**. Utilizing the self-check, you will submit the proposal and the developed Action Plan.

NSNY will conduct a Quality Assurance Review on your proposal and will notify the contact if the proposal is approved or if any amendments are required.

Action Plan Final Submission

The company will work on implementing their Action Plan throughout the calendar year. Once the company has completed all their milestones, they will prepare for the final submission of the Action Plan. The final submission must include the following items:

- Self-score based on the completion of each milestone
- Self-scoring notes for each objective
- All deliverables for each objective & milestone
- Internal Auditor participation descriptions
- Executive summary outlining the results, strengths, and recommendations
- Senior Company Representative must acknowledge the results of the completed Action Plan by signing and dating

Self-Scoring

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 award 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.

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

Deliverables

The deliverables are documents or records that can verify that the milestone was completed. The deliverables must meet the following criteria:

- Must be legible
- Must be dated
- Must be clearly identified as to which milestone it is for (either in the document header or title)

Auditor Participation

The Internal Auditor(s) that participate in the action plan process, including developing objectives/milestones and having responsibilities within the action plan will maintain their auditor status for the year.

The Auditor Maintenance page must be completed and submitted during the Final Submission phase. The Internal Auditor must provide a brief description of their responsibilities, and participation within the Action Plan must be listed, along with their name and signature (if the company has more than one internal auditor, each auditor must fill in this section describing their participation in the process and sign).

Executive Summary

The executive summary will outline the overall results of the Action Plan, including listing the positive areas of the process and any recommendations the auditor(s) have.

How to Submit your Action Plan

Once the final submission is ready, you can send it to the COR™ department. The submission must be organized by each objective, with a naming convention describing what each document is. The deadline to submit your finalized Action Plan is **October 1st**.

Submissions can be emailed to cor@yukonsafety.com

Action Plan Submission – Quality Assurance Review

Once received, your action plan will be placed in the queue to be reviewed by the NSNY. The Quality Assurance Reviewer may request that you send amendments if your notes/deliverables are insufficient or incomplete.

The Quality Assurance Reviewer will assign their own score based on the notes and deliverables that were submitted. This score will be inputted in your company file as your score for the COR™ maintenance.

The finalized Action Plan must score a minimum of 60% to maintain the company's COR™ certification and the auditor's certification. If the Action Plan scores less than the minimum, an internal COR™ maintenance audit may be required before December 31st.