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# Corrective Action Report (CAR)

INSTRUCTIONS FOR USING THE CAR AS A COR MAINTENANCE OPTION



# What is the Corrective Action Report (CAR) Process?

- CAR is a COR maintenance option
  - An alternative to completing a regular, annual, maintenance audit
- An Occupational Health and Safety Management Systems (OHSMS) review method
  - To verify health and safety systems are in place and functioning effectively



## Who can use CAR?

- To be eligible, employers must:
  - have a minimum of 11 employees
  - hold a regular COR (not SECOR)
  - have participated in the COR program for at least 4 consecutive years
  - have achieved a minimum score of 90% on their last external audit and no less than 80% on their last audit or maintenance option



# When can an employer use CAR?

- **After** AFPA approval
  - in a maintenance year – *i.e. years 2 and 3 of the 3-year COR*
  - an AFPA approved maintenance option application IS required prior to undertaking the CAR
- Only AFPA certified auditors are eligible to complete a CAR



## Employer Responsibilities when using CAR?

- It's important that the employer ensures CAR results are followed up on, just as audit results would be
- This may include:
  - communicating results to workers
  - implementing improvements as per suggestions for improvement offered by the car
  - implementing continuous improvement opportunities outside of the suggestions derived directly from the car



## Steps to completing a CAR?

- Use the CAR completion template provided by AFPA
- Gather results through documentation review and observations
  - Notes should be clear about the validation techniques used to score ('yes' or 'no')
  - Interview use is optional
    - If interviews are used, a rationale for the sample selected must be provided in the CAR summary sheet
- Marks questions as either 'yes' – meets standard or 'no' – does not meet standard



## Steps to completing a CAR?

- Provide notes to justify the score ('yes' or 'no') for each CAR question
- As with regular audits, NOTES MUST:
  - reflect that the question guidelines are followed
  - be consistent with the notes and score ('yes' or 'no') awarded for other related questions
  - indicate the validation technique(s) used to score ('yes' or 'no') the question
  - indicate the results for each technique, if more than one validation technique is required to score ('yes' or 'no') a question
  - indicate what documentation was reviewed, what observations were completed, and provide interview findings (if applicable) including reference to specific examples/details
  - include quantification (e.g. 8/12) to support the note for each validation technique: documentation, observation and interview (if applicable)



## Steps to completing a CAR?

- For all questions marked below standard (i.e. 'no'), a corresponding suggestion must be entered in the CAR Action Plan





# CAR Questions

	QUESTIONS	MEETS STANDARD? (Indicate 'yes' or 'no' below)	INSTRUCTIONS
	<p>Detailed notes are required for each CAR question</p> <p>with positive and negative findings, where</p>		
4.6	<p>When workers are re-assigned or when operational changes require it, are they given job-specific training to ensure they are competent to carry out their assignment?</p> <p>D Notes (include reference to specific examples/details – both positive and negative findings, where applicable):</p> <p>[Redacted]</p>	■	Review company standards (e.g. policy, or procedure, etc.) and training records.
4.7	<p>Is there a process to assess the competency of new and re-assigned workers?</p> <p>D Notes (include reference to specific examples/details – both positive and negative findings, where applicable):</p> <p>[Redacted]</p>	■	Review documentation. Competency evaluations should include a practical demonstration by the trainee to assess their knowledge and skill. To meet the standard, documentation must confirm a system is in place.



# CAR Questions

	QUESTIONS	MEETS STANDARD? (Indicate 'yes' or 'no' below)	INSTRUCTIONS
	<p>Indicate whether or not the requirements are met 'yes' or 'no'</p> <p>with positive and negative findings, where</p>		
4.6	When workers are re-assigned or when operational changes require it, are they given job-specific training to ensure they are competent to carry out their assignment?	YES	Review company standards (e.g. policy, or procedure, etc.) and training records.
D	Notes (include reference to specific examples/details – both positive and negative findings, where applicable):		
4.7	Is there a process to assess the competency of new and re-assigned workers?	NO	Review documentation. Competency evaluations should include a practical demonstration by the trainee to assess their knowledge and skill. To meet the standard, documentation must confirm a system is in place.
D	Notes (include reference to specific examples/details – both positive and negative findings, where applicable):		



# CAR Questions

<b>4.9</b>	<p>Have supervisors received training designed to support their role?</p> <p>Notes (include reference to specific examples/details – both positive and negative findings, where applicable):</p> <p>Quantification to justify the 'yes' or 'no' (e.g. 3/3 = 100%)</p>	<p>Interview supervisors or mark question N/A if interviews were not conducted. (Examples of training should include hazard identification, effective inspection methods, incident investigation, communication strategies, conducting meetings, enforcement/ discipline, etc.). Verify through a review of records.</p>
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Add up the scores for each element  
(i.e. total 'yes' responses)

<b>ELEMENT 4 CAR SCORE</b>			
Element score possible:	11	Points not applicable (N/A):	
Points scored on this element:		Total points awarded (points scored/points possible):	/ = x 100 = %



# CAR Scoring Summary

Element	Points Possible (1 point per question)	Possible – N/A	Points Awarded	Percent Total
7. Emergency Response	13			
8. Incidents	13	9	7	78%
9. Joint Health and Safety Committee(s) and Health and Safety Representative(s)	13	13	13	100%
10. System Review	12	12	10	83%
<b>TOTAL</b>	<b>136</b>	<b>118</b>	<b>100</b>	<b>85%</b>

Transfer the scoring totals to the 'Scoring Summary' sheet

- Calculate element percentages and the final score

NOTE: For COR maintenance purposes, an overall minimum score of 60% is required.



## Steps to completing a CAR?

- Remember, for **all** questions marked below standard (i.e. 'no'), a corresponding suggestion must be entered in the CAR Action Plan
- Senior Management must sign-off on the CAR Action Plan before submission to the AFPA



# CAR Action Plan

**Corrective Action Report (CAR) Action Plan**

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<b>Company:</b>		<b>CAR Completion Date(s):</b>	
<b>Auditor:</b>		Internal <input type="checkbox"/> External <input type="checkbox"/>	

Question #	Suggestion for Improvement <small>(All question below standard must be included in the Action Plan)</small>	Estimated Start Date	Start Date	Person Accountable for Action	Resources Required	Action Taken	Estimated Completion Date	Actual Completion Date
2	<div style="border: 2px solid green; padding: 5px; display: inline-block;">                     Enter the question number from which the suggestion is being derived – this is for easy reference                 </div>							
2.4								
2.5								



# CAR Action Plan

## Corrective Action Report (CAR) Action Plan

<b>Company:</b>		<b>CAR Completion Date(s):</b>	
<b>Auditor:</b>		<b>Internal</b> <input type="checkbox"/>	<b>External</b> <input type="checkbox"/>

Question #	Suggestion for Improvement (All question below standard must be included in the Action Plan)	Estimated Start Date	Start Date	Person Accountable for Action	Resources Required	Action Taken	Estimated Completion Date	Actual Completion Date

Write a suggestion for each deficiency (i.e. question marked 'no')





# CAR Action Plan

## Corrective Action Report (CAR) Action Plan

**Company:**

**Auditor:**

**CAR Completion Date(s):**

Internal  External

Question #	Suggestion for Improvement <small>(All question below standard must be included in the Action Plan)</small>	Estimated Start Date	Start Date	Person Accountable for Action	Resources Required	Action Taken	Estimated Completion Date	Actual Completion Date

Indicate estimated start date and actual start date (if you can), estimated completion date, as well as the person(s) accountable and resources required.





# CAR Action Plan

## Corrective Action Report (CAR) Action Plan

Company:

CAR Completion Date(s):

Auditor:

Internal  External

Question #	Suggestion for Improvement <small>(All question below standard must be included in the Action Plan)</small>	Estimated Start Date	Start Date	Person Accountable for Action	Resources Required	Action Taken	Estimated Completion Date	Actual Completion Date

When follow-up action is completed, note the date and action taken.





# CAR Action Plan

Sign and date the CAR Action Plan before submission.  
The CAR must be signed and dated by the company's most senior person and the auditor.

Senior Management Name:					
Senior Management Signature:			Date:		
Auditor Signature:			Date:		
<i>Note: For AFPA Use Only</i>					
Date Completed CAR Received				% Achieved:	
AFPA Signature:				Date:	



## Steps to completing a CAR?

- Email all of the following to AFPA within 15 days of the last day of data collection and no later than Dec. 31<sup>st</sup>:
  - Completed CAR template – signed and dated
  - Action plan from the last internal/external audit or maintenance option
- The CAR will be reviewed by AFPA for quality assurance purposes
  - Once all requirements are met, the CAR will be processed by AFPA for COR maintenance purposes and an email sent



Alberta  
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## Contact us:

cvonsass@albertaforestproducts.ca  
M: 780.722.7768

   @albertaforests

10707 100 Ave NW #900,  
Edmonton, AB T5J 3M1