



# ASA Annual Reporting Guideline

# Table of Contents

- A. Introduction .....2
- B. Annual Report Content Guideline .....2
  - 1. Overview / Executive Summary .....2
  - 2. Technical and Administrative Authorized Representatives.....2
  - 3. Organizational Changes .....3
  - 4. Incidents and Hazards .....3
  - 5. Equipment and Facility Updates .....3
  - 6. Program Evaluation .....3
  - 7. Performance Measures / Indicators .....3
  - 8. Declaration of Compliance.....5
- C. Submission and Review Process .....5

## A. Introduction

This guideline is intended to assist organizations in the development of annual reports to the provincial safety manager. Annual reports are required for each alternative safety approach (ASA) and must provide a summary of:

- The processes undertaken to monitor and evaluate the effectiveness of the ASA;
- The results of the evaluation process including performance measures / indicators and any findings;
- Any improvements implemented (when applicable);
- A declaration of compliance on behalf of the organization.

In addition to the above, the annual report provides an opportunity for major operational and/or personnel changes to be communicated to Technical Safety BC.

Effective management of an ASA program requires a strong commitment on behalf of the holder. A key component of effective management is having a strong review/evaluation process in place so that success can be measured and areas requiring improvement can be addressed. A strong annual report demonstrates that an organization has these review and evaluation processes in place, is utilizing them appropriately, and is committed to the effective management and continual improvement of their ASA program.

Annual reports are used by Technical Safety BC to prioritize oversight activities, monitor activity levels, update information, and evaluate the effectiveness of an organization's management systems.

For more information on Alternative Safety Approach processes such as, application, assessment, oversight, renewal and fees, please see our [Process Overview Guide](#) or contact the Alternative Safety Approaches program by calling 1 866 566 7233 or by emailing [asa@technicalsaftybc.ca](mailto:asa@technicalsaftybc.ca)

## B. Annual Report Content Guideline

This section provides guidance on the content associated with an annual report to the provincial safety manager. It is not intended to identify all the information that may need to be included, but rather to serve as a guideline for minimum required content. Depending on the scope and complexity of an alternative safety approach, additional information beyond the contents of this guideline may be required.

### 1. Overview / Executive Summary

An overview or executive summary of the annual report should be provided highlighting key points of interest. This can include but is not limited to major activities that were performed under the ASA over the course of the year, a brief description of the process used to evaluate effectiveness, and an overview of the result of these activities.

### 2. Technical and Administrative Authorized Representatives

The report must provide the names, role, and contact information for the current technical and administrative representatives. This information must be provided even if the representatives have remained unchanged from previous years.

This annual update will be used to compare against the data Technical Safety BC has on file and will allow for updates as required.

### **3. Organizational Changes**

The annual report should provide an overview of any organizational changes which may impact the ASA. These changes can include but are not limited to:

- Changes in personnel
- Acquisitions and/or divestitures
- Planned expansion (i.e., construction of new facilities)

### **4. Incidents and Hazards**

The annual report should provide an overview of any incidents or significant hazards, associated with the ASA, that have occurred over the course of the year. If investigations were performed and reports submitted to Technical Safety BC these should be referenced in this section.

### **5. Equipment and Facility Updates**

For ASA's requiring annual updates to equipment and/or facilities, these lists should be submitted with the annual report, or confirmation that the appropriate updates have been completed should be provided within the annual report. Examples include:

- Boiler and pressure vessel bulk loading forms
- Electrical facility lists

### **6. Program Evaluation**

The annual report must provide a detailed description of the evaluation process(s) undertaken, the individuals involved in the process, and any findings identified, including opportunities for improvement, observations and/or non-conformances/compliances. If the organization generates an internal evaluation/audit report as a part of this process, then that document can be referenced and a copy of the document can be provided with the annual report

### **7. Performance Measures or Indicators**

To effectively evaluate a program and measure success an organization must be able to identify and communicate the key indicators used to determine success or effectiveness within the program. Since each ASA is unique there is no standard set of performance indicators. Each ASA will have a unique set of performance indicators based on the individual scope and content of the ASA.

The annual report to the safety manager must identify what these key measurement points are, as established by the organization, and communicate how effectiveness was measured. A few basic examples are provided below for demonstration purposes.

Program Requirement	Performance Measure(s)	Evaluation Findings
<p>“Permits” (job files) will be managed internally by the corporation for each installation in lieu of obtaining installation permits from the jurisdiction. Inspections will be performed as determined by the third-party inspector during the plans review stage. A minimum of 2 inspections will be performed.</p>	<p># Of permits issued vs. work orders completed</p>	<p>Result - 98%</p> <ul style="list-style-type: none"> <li>• 100 work orders completed for installations under the scope of the ASA</li> <li>• 98 permit files created for managing installation work</li> </ul>
	<p>Completion of Third-party plans review</p>	<p>Result - 100%</p> <ul style="list-style-type: none"> <li>• A 30% sample of permit files were reviewed in detail from throughout the year. In all cases a plans review and third-party sign off was completed.</li> </ul>
	<p># Of inspections performed per permit file.</p>	<p>Result - 100%</p> <ul style="list-style-type: none"> <li>• A 30% sample of permit files were reviewed in detail from throughout the year. In all cases a minimum of 2 third-party inspections were performed. Additionally, 15% of the permit files reviewed had 3 or more inspection performed.</li> </ul>
<p>All individuals responsible for a component of the ASA or who perform regulated work under the ASA will receive training on the content of the ASA. Refresher training will be provided annually.</p>	<p># Of new employees trained</p>	<p>Result – 100%</p> <ul style="list-style-type: none"> <li>• Two new employees were hired in 2021, each received the appropriate ASA training. Training registers were verified as having been updated accordingly.</li> </ul>
	<p>Refresher training provided annually</p>	<p>Result – 100%</p> <p>Refresher training was provided to all employees identified on the tracking register as a group in Q2 of 2021.</p>
<p>All pressure relief devices servicing pressure vessels and piping systems shall be serviced at an interval not exceeding 5 years</p>	<p>In service pressure relief device service interval shall not exceed 5 years</p>	<p>Result – 92%</p> <ul style="list-style-type: none"> <li>• A review of pressure relief device data determined 25 pressure relief devices were due for servicing.</li> <li>• Of the 25 devices, 23 were serviced.</li> <li>• The remaining 2 devices were assessed, and it was determined that they could be safely deferred for 2 months to allow servicing to coincide with scheduled equipment shutdowns.</li> </ul>

## **8. Declaration of Compliance**

Every annual report must include a declaration of compliance signed by both the administrative and technical representatives confirming that the ASA is operating effectively and complies with the Safety Standards Act and Regulations. Below is an example declaration statement:

*"I hereby declare that Alternative Safety Approach number \_\_\_\_\_ is operating effectively and is in compliance with the Safety Standards Act and Regulations of British Columbia."*

## **C. Submission and Review Process**

Annual reports are due each year on the anniversary date of the ASA. This date can be found on the notice of determination issued when the ASA was accepted. All annual reports should be submitted to the ASA program at: [asa@technicalssafetybc.ca](mailto:asa@technicalssafetybc.ca).

Once received the annual reports are reviewed and a program senior safety officer may reach out to the representative(s) to schedule a meeting to review the contents of the report.