

# Declaration – Reporting EPAP Results



## Industry Information Session

September 13, 2010

# Outline

- ❑ **Reporting – Basic Format**
- ❑ **Reporting – Preparatory Work**
- ❑ **Reporting– Auto-populated data**
- ❑ **What Industry is to report**
- ❑ **When and how to submit results**
- ❑ **Questions to ask before submitting**
- ❑ **What documentation to retain**
- ❑ **Sources of Reference**
- ❑ **Questions**

# Reporting – Basic Format

- ❑ **Report number of facilities, not number of controls**
- ❑ **Exception: Report number of Operating Areas if you have Operating Area Level controls**

# Reporting – Basic Format (continued)

- ❑ **Report results for each EPAP Reporting Theme (15 Themes)**



- ❑ **Report by level of controls (3 levels)**
  - **One facility with multiple level of controls?**
  - **Pick one level for that facility**

# Reporting – Preparatory Work

- Identify Controls**
- Conduct Evaluations of Controls**
- Gather and compile data**
- Form opinions (acceptable/deficient)**
  
- Have a Declaration Month assigned for your BA ID/s**

# Reporting Themes – Auto-populated Data

- Theme name
- Theme description
- Control objective
- Source
- Total number of facilities reporting to the PRA this month

# What Industry is to Report

- ❑ **Number of Facilities with Facility-level Controls**
- ❑ **Number of Facilities where Facility-level Controls were evaluated**
- ❑ **Number of Facilities where Facility-level Controls were effective**

# What Industry is to Report – continued

- ❑ **Number of Operating Areas**
- ❑ **Number of Facilities within these Operating Areas**
- ❑ **Number of Facilities within Operating Areas with Facility-level Controls**
- ❑ **Number of Facilities within Operating Areas with Company-level Controls**
- ❑ **Number of Operating Areas in which Controls were evaluated**
- ❑ **Number of Operating Areas with effective Controls**

# What Industry is to Report - continued

- Number of Facilities with Company-level Controls**
- Were the Company-level Controls evaluated?**
- If evaluated, were the Company-level Controls considered to be effective?**

# What Industry is to Report - continued

- ❑ **Number of Facilities with no Controls because of an ERCB Exemption**
- ❑ **Briefly describe the exemption(s)**

# What Industry is to Report - continued

- ❑ **Number of facilities where this Theme is not applicable**
- ❑ **Briefly describe why this Theme is not applicable to these facilities**
- ❑ **Remaining number of facilities with no controls**
- ❑ **Briefly describe why no controls do not exist for these facilities**

# What Industry is to Report - continued

## □ Conclusion

Considering all levels of existing Controls and evaluations performed, what is the overall level of effectiveness of the Controls for this Theme.

# When and how to submit results

- ❑ **By the end of the month following the chosen Declaration Month**
- ❑ **Through the EPAP System**

# Questions to ask before submitting

- Have controls been identified, related to each applicable theme?**
- Have a reasonable number of controls been tested through Evaluations?**
- Is the data accurate, complete?**
- Do the signing officers have the level of comfort they need?**
- What's the game plan going forward?**

# What documentation to retain

## ❑ Required:

- Documentation related to Controls and Evaluations of Controls
- Signed paper copy of Declaration

## ❑ Best practice:

- Business process documentation
- Evidence of relating controls to facilities
- Minutes/records of key decisions made

# Sources of Reference

- ❑ **General Information: EPAP Section of ERCB website ([www.ercb.ca](http://www.ercb.ca))**
- ❑ **Directive 076**
- ❑ **EPAP Operator Handbook (section 18.2, page 51)**
- ❑ **IMG and CAPPAs Websites**
- ❑ **Specific questions: Your assigned PAT member**



**Questions ???**