

ENHANCED PRODUCTION AUDIT PROGRAM (EPAP) WORKFLOW

Jurisdiction	Release/Revision Date	Comment
AB/SK	March 31, 2016	<ul style="list-style-type: none"> Update document to reflect that EPAP functionality has been extended to SK operators effective April 7, 2016. Regulator throughout the entire document is AER in Alberta and ECON in Saskatchewan. Added information on “Finished” status
AB	September 19, 2014	Initial Release
<p>Note: Even though the screen prints in this job aid refer to an Alberta operator, the functionality is the same for Saskatchewan operators.</p>		

This job aid has been developed to work with Petrinex Online training module 8.02 Manage EPAP Workflow by describing the workflow types and statuses by EPAP topic and the user security roles associated with editing and information flow.

For information and step by step examples on how to use the Request Edit EPAP Workflow and Edit Workflow – Admin screens please review the Petrinex online training module 8.02 Manage EPAP Workflow available on the Petrinex Website – Resource Centre – Training Login.

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1.0 Introduction

The workflow screen is a part of the Enhanced Production Audit Program (EPAP) functionality in Petrinex. It can be found under Audit/EPAP on the Main Menu.

The workflow is a new concept introduced exclusively for EPAP in Petrinex. A workflow is a form of communication and documentation relating to a specific EPAP topic between stakeholders. By providing a means to help organize and archive all details relating to a topic, a workflow can be the starting point for a meaningful dialogue between the Regulator and Industry or a means for Industry or the Regulator to conduct their own internal investigations.

In EPAP, workflow topics generally refer to Compliance Assessment Indicators (CAIs), Declarations or Non-Compliance Events (NCEs). The Regulator may also raise workflows for general operator inquiries. There are several workflow types that are either initiated by Industry or the Regulator depending upon the topic of the workflow. The workflow type determines the nature of the workflow communication and documentation.

2.0 Statuses and User Security Roles

Workflows progress through different statuses over their life cycle. All workflows start with an **Open** status. From there, the progression of statuses is subject to security rules that govern which stakeholder is responsible for the workflow at the time and which users may edit the workflow.

For Industry, a user's right to edit a workflow is dependent on the workflow's current status and the user's security role. There are certain statuses in which those with either the EPAP or EPAP Admin role can edit and there are some that only the EPAP Admin role can edit.

- Users with the **EPAP** role will see the menu option '**Edit EPAP Workflow**' on the Petrinex main menu.
- Users with the **EPAP Admin** role will see the menu option '**Edit EPAP Workflow – Admin**' on the Petrinex main menu.

Both screens look and function the same way. The only difference is the security rights to edit certain workflow statuses.

In general, if the current status can be transitioned to one where information is shared with the Regulator, then the EPAP Admin role has rights to edit the workflow.

2.1 Workflow Types by EPAP Topic

2.1.1 Workflow types pertaining to Compliance Assessment Indicators (CAIs):

2.1.1.1 Industry Review (Industry Initiated)

The purpose of the Industry Review workflow is to allow Industry to proactively manage their monthly CAIs by conducting their own internal investigations and storing them online within Petrinex. The Industry Review workflow has the following requirements:

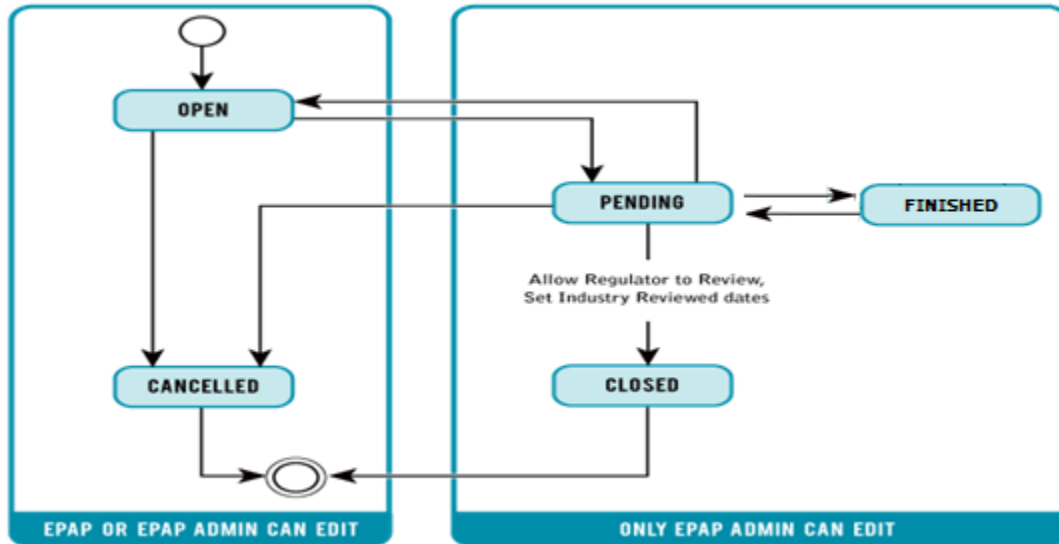
- It can only pertain to one (1) CAI number.
- It can only pertain to one (1) production month.
- Facilities attached must be of a subtype applicable to the CAI number.
- There may not be more than 1 active Industry workflow for the same CAI number and Facility ID in the same production month.

It may take time to fully conduct an investigation and compile the appropriate documentation. For that reason a workflow may remain active over more than one production month. However regardless of when an investigation is completed, it will always belong to the production month for which it was created.

For example – a company may open a workflow to conduct an investigation of a CAI that occurred in November 2015. Regardless of when the workflow is completed, the investigation will always pertain to that specific instance of the CAI in November 2015.

It is possible to attach as many facilities as needed to an Industry Review workflow. In fact, even facilities that have not generated the CAI for that production month may be attached as well. This is to allow for the inclusion of facilities that may have the same field or measurement conditions as those that have generated the CAI in the investigation.

Note: In order to create a new Industry Review workflow, any other Industry Reviews that share the same CAI number and Facility ID in the same production month must be completed (i.e. in a closed, finished, or cancelled status). An Industry Review workflow cannot be created for a future production month.



Industry Review Workflow User Security Role

An industry review starts in an **Open** status. From this status, users with either the **EPAP** or **EPAP Admin** user security role can edit the workflow.

When an industry review is in a **Pending** status, only a user with the **EPAP Admin** user security role may edit the workflow. From Pending the status may be set back to **Open** or to **Closed**, **Finished** or **Cancelled**.

When the investigation is complete, the workflow can be set to either a **Closed** or **Finished** status. An **Industry Reviewed Date** may be set for either status. The only difference between these statuses is that when an industry review workflow is in a closed status, the information is accessible to the Regulator. The information is not accessible to the Regulator when in a finished status.

Once an Industry Review workflow is in either a **Closed** , or **Cancelled** status, it is no longer editable in any way, however the details can be copied into a new workflow if required.

When an industry review is in a **Finished** status, the workflow details are no longer editable. The only editable function is the ability to set the status back to pending. Only a user with the **EPAP Admin** user security role may edit the status. A finished status indicates the investigation is complete. The purpose of allowing the status transition back to pending is in the event there is a need to share the information with the Regulator. The pending status allows a company to add information to the workflow that may be needed to satisfy the Regulator prior to setting the status to closed. It should be noted that once the status is transitioned from finished to pending, any industry reviewed dates that were set for any facilities will be removed and will need to be reset later on.

New Terms:

- **Industry Reviewed Date**

When the investigation is complete and the workflow status is set to a closed or finished status, the user will be prompted to set an Industry Reviewed Date. This date can be set for any or all attached facilities in the workflow for a future period of time up to 5 years.

This date informs all concerned users in the company that the CAI pertaining to those specific facilities has already been investigated and does not need to be looked at again until the industry reviewed date expires. This allows the investigator to filter out any CAI# / Facility ID combination with an industry reviewed date and focus only on those items that have not been addressed.

- **Regulator Accessibility**

When an Industry Review is in a closed status, it can be queried by the Regulator. The Regulator may use the information contained within the workflow to aid in their own internal CAI investigations. Industry review workflows that are still **Active** or are in a **Cancelled** or **Finished** status cannot be queried by the Regulator.

2.1.1.2 Regulator Review (Regulator Initiated)

The purpose of the regulator review workflow is for the Regulator to conduct a CAI investigation for a certain company. A regulator review is an investigation of one or more facilities pertaining to a particular CAI# in a certain production month. This workflow type is used if the investigation can be concluded without the need to request additional information from Industry. Industry cannot create or edit a regulator review.

New Terms:

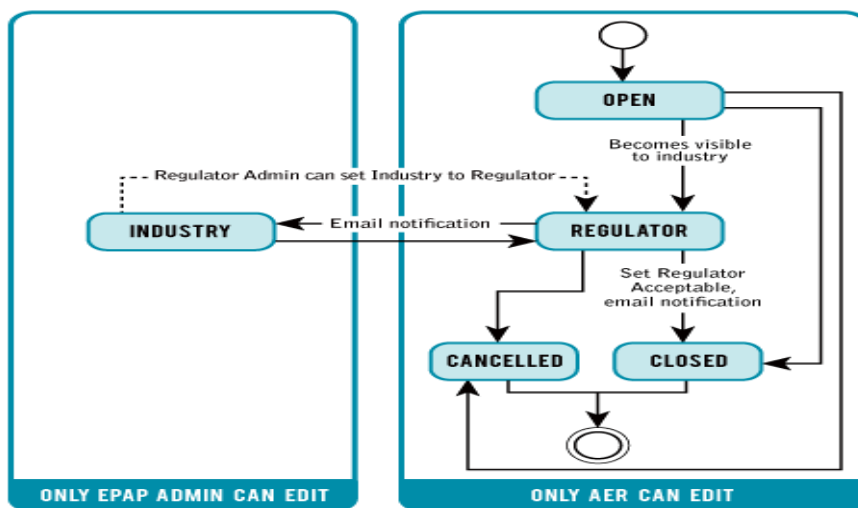
- **Regulator Acceptable Date**

When the investigation is complete, the Regulator may set a regulator acceptable date for any or all of the facilities in the workflow for a specified period of time. This means that the Regulator has deemed the CAI for the facility to be acceptable until that time.

Industry can see regulator acceptable dates and the workflow numbers in which they were set in both the CAI Report and on the Query CAI screen. This allows Industry to filter out any future occurrences of the CAI for those facilities that have already been deemed acceptable until that date expires.

2.1.1.3 Compliance Assessment Indicator (CAI) Review (Regulator Initiated)

The CAI workflow is another form of CAI investigation initiated by the Regulator. Like the regulator review, this investigation involves one or more facilities pertaining to a particular CAI# in a certain production month. The difference is that the CAI workflow is used when the Regulator must request additional information from Industry. These requests will have a due date that is enforceable. Industry must respond by the due date in order to avoid possible escalation by the Regulator.



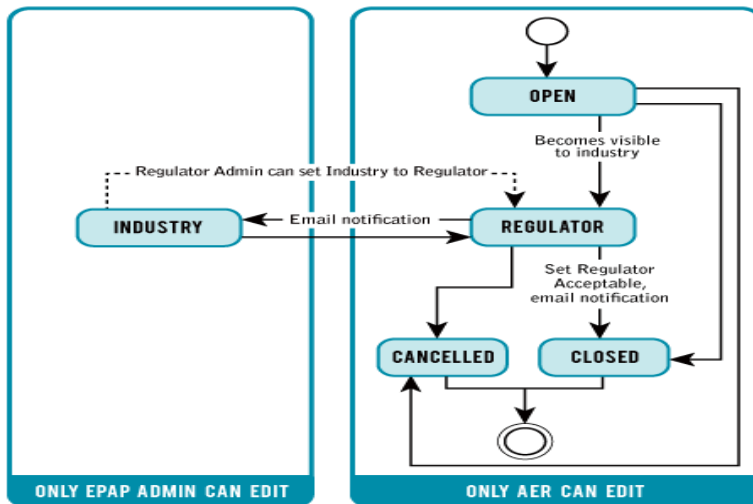
CAI Workflow User Security Role

The only time that Industry may edit a CAI Review workflow is when the Regulator puts the workflow in an Industry status. Once all requested information is added to the workflow, the only status that Industry may set the workflow to is **Regulator**. Only a user with the **EPAP Admin** user security role may edit the workflow when it is in an Industry status. This is because setting the workflow to Regulator shares information with the Regulator.

2.1.2 Workflow types pertaining to Declarations:

1. BA (Regulator initiated)

The BA workflow is quite similar to the CAI workflow. It is an enforceable request for information by the Regulator that a company must respond to by the deadline in order to avoid possible escalation. The difference is that the BA workflow is not used for CAI investigations. The BA workflow can be raised for any general operator inquiry including declarations.



BA Workflow User Security Role

The only time that Industry may edit a BA Review workflow is when the Regulator puts the workflow in an Industry status. Once all requested information is added to the workflow, the only status that Industry may set the workflow to is **Regulator**. Only a user with the **EPAP Admin** user security role may edit the workflow when it is in an Industry status. This is because setting the workflow to Regulator shares information with the Regulator.

2.1.3 Workflow types pertaining to Non-Compliance Events (NCEs):

1. Voluntary Self Disclosure (Industry Initiated)

The purpose of a Voluntary Self Disclosure (VSD) workflow is for Industry to self-disclose an identified non-compliance event and communicate the steps that will be taken to remediate the issue to the Regulator. A VSD workflow may only pertain to one identified Non-Compliance Event (NCE). If a company has more than one NCE it should raise more than one VSD workflow. If appropriate, facilities may be attached to a VSD workflow but this is not a requirement.

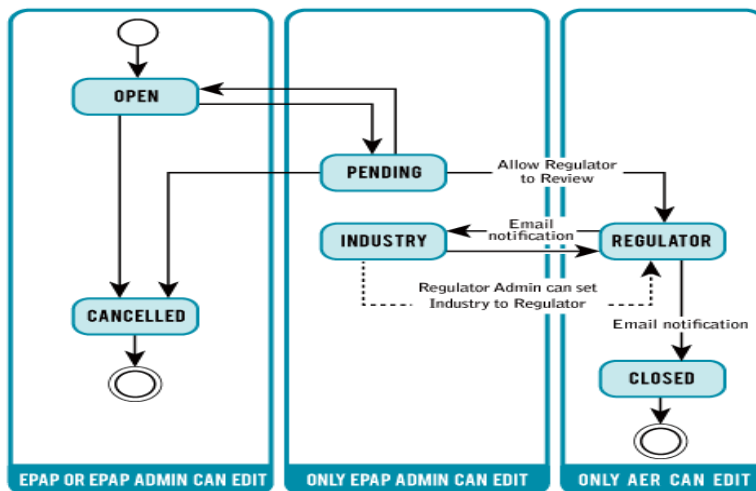
Once the Regulator has received a VSD workflow from a company they may need additional information. The Regulator can open a dialogue with the company and send a request for more information within the same workflow. Just as with the BA or CAI workflows, the request would have a due date the company would need to respond by. Once the remediation plan has been accepted, the Regulator will close the workflow. The company itself cannot close a VSD even though it is an Industry initiated workflow.

VSD Workflow User Security Role

A VSD workflow starts in an **Open** status. From this status, users with either the **EPAP** or **EPAP Admin** user security role can edit the workflow. Once all details have been added, the status can be changed to either **Pending** or **Cancelled**. When a VSD is in a **Pending** status only a user with the **EPAP Admin** user security role may edit the workflow. From pending the status may be set back to **Open**, or to **Cancelled** or **Regulator**.

If the Regulator needs more information, they will set the status from **Regulator** to **Industry**. Only a user with the **EPAP Admin** user security role may edit the workflow in an industry status. Once the company adds the information, the only status that may be set is **Regulator**.

Reminder: The Pending and Industry statuses are restricted to the EPAP Admin user security role because information is shared with the Regulator when the status is set to Regulator.



2.2 Request EPAP Workflow Screen

The **Request EPAP Workflow** screen is where new workflows are initially created. Users with either the **EPAP** or **EPAP Admin** user security role have permissions to request a new workflow.

2.3 Edit EPAP Workflow Screen

The **Edit EPAP Workflow** or **Edit EPAP Workflow – Admin** screens are where all relevant information to the workflow topic is added. It is by the use of these screens that the workflow will progress through various statuses starting with **Open** and eventually ending as **Closed**, **Cancelled** or **Finished (pertaining to an Industry Review)**. Information and dialogue is added to the workflow at each stage until it reaches its end status.