# Documentation Request Checklist

Documentation review is the only data-gathering audit activity in 2020. 3 months of documentation is required for review in 2020. These 3 months can be from any point in the 12-months preceding the audit.

Please note that the checklist Part One is specific to Corporate documents, Part Two is specific to documents to be reviewed at each site and therefore can be printed for use with each site

**PART ONE:**

***Operational Documents (Corporate Policies/ Procedure documents)***

[ ] Organizational chart

[ ]  Job descriptions, procedures, and practices

[ ] Schedule or worker rotation records

[ ] Application forms and hiring records

[ ] Orientation process including; records, checklists, orientation package/contents, competency assessments

[ ]  Process to ensure employees are qualified for position they are being considered for

[ ] Health and safety policy

[ ] Written statement of responsibilities/accountabilities for all levels

[ ] Health and safety committee meeting minutes

[ ]  Meeting minutes where H&S is a standing agenda item

[ ] Hazard assessment policy/process documents (may also be referred to as formal hazard assessments, job safety analysis, etc.)

[ ]  Site specific hazard assessment policy/process documents (also called Field Level Hazard Assessments)

[ ] Violence Prevention Plan including policies and procedures

[ ] Harassment Prevention Plan including policies and procedures

[ ] HSC and/or HSR policies, procedures, terms of reference, meeting minutes, etc.

[ ] Written statement of the HSC and/or HS representative duties and responsibilities

[ ] Training records of HSC members and/or HS representatives

[ ]  Policy or procedure for HSC/HS rep to address employee concerns related to OHSMS

[ ] Documents outlining the preventative maintenance policy and process for vehicles, equipment, and tools.

[ ] Policy and/or process to address the protection of others not under the employer’s direction.

[ ]  Policy and/or process for monitoring, evaluating and selecting other employers and/or self-employed persons

[ ] Process for non-compliance of other employers and/or self-employed persons at the work site.

[ ] Inspection policy and procedure documents (schedule, blank checklists, etc.)

[ ] Emergency response and evacuation plans, policies, and procedures

to emergency

[ ] Incident reporting policy/process

[ ] Organization specific monthly, quarterly, or annual health and safety reports, injury report analysis, health and safety statistics and trend reports

[ ] Previous health and safety system evaluations and action plans (with completion details)

***PART TWO:***

***Directive Documents (Site specific records of processes being followed)***

*(Dependent upon the organization, some policies may be corporate based rather than site based)*

***Site Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***

[ ]  Meeting minutes where H&S is a standing agenda item

[ ]  Formal hazard assessment forms, records that pertain to the site

[ ] Site-specific hazard assessment forms, records (Field level hazard assessments)

[ ] Formal hazard assessment review and revision records (include documents outlining process/procedure changes, decisions reached in meeting minutes, memos related to controls, supervisor logbooks, etc.)

[ ]  Preventative maintenance records, completed scheduled work documents, work order records, etc.

[ ] HSC related documentation that supports corrective action determined through inspections or hazard reporting were completed in a timely manner, e.g. feedback forms, emails, HSC meeting minutes, communications, etc.

[ ] Training records, copies of certificates/diplomas. Department/job specific training materials and records (such as supervisory training, new/transferred employee training, new task training, refresher training requirements, when operational change, etc.)

[ ]  Training requirements and documents for employees designated to conduct hazard assessments, inspections, and investigations

[ ] Training requirements, certificates, and shift schedules for certified first aiders

[ ] Department/job specific training material and training records.

[ ] Completed competency assessments

[ ] Orientation records, orientation checklist, orientation package/contents for visitors, other employees and/or self-employed persons.

[ ]  Inspection Documents (completed records, reports memos outlining corrective actions, completed checklists, etc.)

[ ] Documents relating to emergency response drills, such as records of drills, minutes for drill review meetings, table-top exercises, etc.

[ ] Documents relating to actual emergency responses, such as records of response, minutes for response review meetings, documents outlining corrective actions or changes in procedure due

[ ]  Incident forms(completed) for both near misses and incidents.

[ ] Investigation report forms(completed), memos regarding implementation of corrective actions, minutes of meetings discussing investigations

[ ] Health and safety communication records (newsletters, memos, bulletins, etc.)

Thank you for providing all relevant documentation. Please note that the auditor may request additional records or documents if applicable.