**Document Checklist**

This list has been developed directly from the Partnerships Audit Instrument. Examples of specific types of documentation that may be used for validation are listed below.

***Note: The start date for audit data gathering is usually the date of the pre-audit meeting or the date the auditor begins the review of the documentation for the purpose of data gathering.***

***Note: Documentation review should be complete before interviews begin.***

| **Questions** | **Documentation to Review** |
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| 1.01 | Health and Safety Policy. |
| 1.05 | Written statement of responsibilities, job descriptions, employee contracts, and manuals, staff handbooks, etc. |
| 1.12 | Health and Safety meeting minutes. |
| 2.01 | Inventory of job positions, task or job inventories. |
| 2.02, 2.03, 2.04, 3.01 | Completed formal hazard assessment forms. These may be titled formal hazard assessments, job safety analysis, etc.  Note that site specific hazard assessments cannot be used to score these questions. |
| 2.08 | Training records of individuals conducting formal hazard assessments. Course material for hazard assessment training. |
| 2.09 | Formal hazard assessment policy and/or process. |
| 2.11 | Documents outlining the policy/process and procedure for conducting site specific hazard assessments. |
| 2.12, 2.13 | Completed site specific hazard assessments. |
| 3.03 | Completed formal hazard assessment forms, job procedures, work practices, rules, job schedule or rotation of workers, training records. |
| 3.08 | Documents outlining the policy and/or process for the preventative maintenance process. |
| 3.09 | Preventative maintenance records of equipment, tools, and PPE. Work order records, defective equipment tags, written procedures/policy regarding the removal of defective equipment. |
| 3.11, 3.12, 3.17 | Violence Prevention Plan that includes policies and procedures |
| 3.14, 3.15, 3.17 | Harassment Prevention Plan that includes policies and procedures |
| 4.01, 4.02, 4.03, 4.04, 4.09, 4.13 | HSC and/or HSR policies, procedures, terms of reference, meeting minutes, etc. |
| 4.05 | Written statement of the HSC and/or HS representative duties and responsibilities |
| 4.06 | Training records of HSC members and/or HS representatives |
| 4.09 | HSC meeting minutes |
| 4.12 | Documentation that supports corrective action were completed in a timely manner, e.g. feedback forms, emails, HSC meeting minutes, communications, etc. |
| 4.14 | Meeting minutes and formal inspections |
| 5.01 | Application forms (blank), hiring records, training records, copies of trade certificates/diplomas/degrees, proof of apprenticeship program, driver’s license, etc. |
| 5.02 | Orientation records, orientation checklist, orientation package/contents. |
| 5.04, 5.05, 5.09 | Department/job specific training material and training records. |
| 5.08 | Completed competency assessments. |
| 6.01 | Policy and/or process to address the protection of others not under the employer’s direction. |
| 6.02, 6.03 | Policy and/or process for monitoring, evaluating and selecting other employers and/or self-employed persons |
| 6.04 | Orientation records, orientation checklist, orientation package/contents for visitors, other employees and/or self-employed persons. |
| 6.08 | Process for non-compliance of other employers and/or self-employed persons at the work site. |
| 7.01 | Health and Safety Policy and Procedures Manual, Inspection Policy and/or Process, inspection records, inspection schedule. |
| 7.02 | Inspection checklist (blank and completed), inspection reports. |
| 7.03 | Training records of individuals designated to conduct inspections. |
| 7.04 | Completed inspection reports, checklists, or forms. |
| 8.01 | Emergency Response Plans and/or Procedure |
| 8.02 | Emergency Response Plan and/or Procedure |
| 8.05 | Emergency Response drill records, minutes of meetings, emergency response table-top review exercises. |
| 8.06 | Drill - Emergency response records, minutes of meetings documenting review of drills, documents outlining corrective action or change in procedure as a result of the drills. |
| 8.07 | Actual Emergency - Response records, minutes of meetings documenting review of actual emergencies, documents outlining corrective action or change in procedure as a result of the actual emergency. |
| 8.08 | First aid regulations, first aid certificates, first aid training records, shift schedules of certified first aiders. |
| 9.01, 9.05 | Incident reporting procedure and/or process, reporting form (blank/completed). |
| 9.03, 9.09 | Completed incident investigation forms |
| 9.04 | Completed near miss and incident forms. |
| 9.05 | Incident investigation procedures. |
| 9.06 | Training records of individuals conducting investigations, investigation training course material. |
| 9.09, 9.10, 9.11, 9.12 | Investigation report forms (completed), investigation reports, memos outlining implementation of corrective action, minutes of meetings outlining results of investigation. |
| 10.03 | Company specific monthly, quarterly or annual health and safety reports, analysis of injury reports, graphical reports of health and safety statistics to show trends. |
| 10.05 | Previous health and safety system evaluations. |
| 10.07, 10.08 | Health and safety action plans. |