**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.*

*Documentation review should be complete before interviews begin.*

| **Question** | **Documentation to Review** |
| --- | --- |
| 1.1 | Health and Safety Policy. |
| 1.5 | Written statement of responsibilities, job descriptions, employee contracts, and manuals, staff handbooks, etc.  *Note the H&S policy cannot be used to score this question.* |
| 1.12 | Meeting minutes. Must include evidence of management participation in meetings where H&S is on the agenda.  *Note HSC meeting minutes cannot be used to score this question.* |
| 2.1 | Formal hazard assessments compared to organizational chart, inventory of job positions, task or job inventories. |
| 2.2 | 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.* |
| 2.3 | 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.* |
| 2.4 | 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.* |
| 2.8 | Formal hazard assessment policy and/or process. Formal hazard assessments. Training records of individuals conducting formal hazard assessments. |
| 2.9 | Formal hazard assessment policy and/or process. |
| 2.11 | Documents outlining the policy/process and procedure for conducting site specific hazard assessments. |
| 2.12 | Completed site specific hazard assessments. |
| 2.13 | Completed site specific hazard assessments. |
| 3.1 | 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.* |
| 3.3 | Completed formal hazard assessment forms, job procedures, work practices, rules, job schedule or rotation of workers, training records. |
| 3.8 | Documents outlining the policy and/or process for the preventative maintenance process of equipment, facilities, vehicles, and tools. There must be maintenance schedules where applicable. |
| 3.9 | Preventative maintenance records of equipment, facilities, vehicles, and tools. Confirm PM is being performed according to applicable schedules identified in 3.08. |
| 3.11 | Violence Prevention Plan that includes policies and procedures. |
| 3.12 | Harassment Prevention Plan that includes policies and procedures. |
| 3.13 | Violence and Harassment Prevention Plan review requirements. |
| 4.1 | HSC terms of reference. |
| 4.2 | HSC policies, procedures, terms of reference, meeting minutes, etc. |
| 4.4 | HSC and/or HS representative policies, procedures, terms of reference. |
| 4.5 | HSC policies, procedures, terms of reference. Training records of HSC members and/or HS representatives. |
| 4.9 | HSC and/or HSR policies and/or procedures, terms of reference, meeting minutes, etc. |
| 4.12 | HSC/HSR Documentation that supports corrective actions having been completed in a timely manner (feedback forms, emails, HSC meeting minutes, communications, etc.) |
| 4.13 | HSC and/or HSR policies, procedures, terms of reference, HSC meeting minutes, etc. |
| 4.14 | HSC/HSR policies, procedures, terms of reference, meeting minutes etc.  HSC Meeting minutes. Completed formal inspections. |
| 5.1 | Application forms (blank), hiring records, training records, proof of apprenticeship program, copies of trade certificates/diplomas/degrees, driver’s license, etc. |
| 5.2 | Orientation records, orientation checklist, orientation package/contents. |
| 5.4 | Department/job specific training material and training records. |
| 5.5 | Training records confirming practical demonstrations. |
| 5.7 | Process to assess the competency of new or re-assigned workers. |
| 5.9 | Process for required refresher training. Training records confirming schedule set out in policy and/or process is met. |
| 6.1 | Process to address the protection of others not under the employer’s direction. |
| 6.2 | Process for evaluating and selecting other employers. |
| 6.3 | Process for monitoring and addressing non-compliance with other employers. |
| 6.4 | Orientation records, orientation checklist, orientation package/contents for visitors, other employees. |
| 7.1 | Health and Safety Policy and Procedures Manual, Inspection Policy and/or Process, inspection records, inspection schedule. |
| 7.2 | Completed inspection checklist or forms. |
| 7.3 | Inspection Process. Completed inspections. Training records of individuals designated to conduct inspections. |
| 7.4 | Inspection Process. Completed inspection checklists or forms. |
| 8.1 | Emergency Response Plans and/or Procedures. |
| 8.2 | Emergency Response Plans and/or Procedures. |
| 8.5 | Emergency Response Plans and/or Procedures. Emergency Response drill records, minutes of meetings, emergency response table-top review exercises. |
| 8.6 | **Drill** - Emergency drill 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** – 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. |
| 8.8 | First aid regulations, first aid certificates, first aid training records, shift schedules of certified first aiders. |
| 9.1 | Incident reporting process of incidents, near misses, occupational illness and work refusals including internal and external reporting. |
| 9.3 | Completed incident forms, incident investigation forms for incidents, near misses and work refusals. |
| 9.4 | Completed near miss, incident forms. |
| 9.5 | Incident investigation process/procedures, incident reporting forms. |
| 9.6 | Incident investigation process. Completed investigation forms. Training records of individuals conducting investigations. |
| 9.9 | Completed incident investigation forms. |
| 9.10 | Completed investigation forms, investigation reports, memos outlining implementation of corrective action, minutes of meetings outlining results of investigation. |
| 9.11 | Incident investigation process. Completed investigation forms, investigation reports, memos outlining implementation of corrective action, minutes of meetings outlining results of investigation. |
| 9.12 | Incident investigation process. Completed investigation forms. |
| 10.3 | Company specific monthly, quarterly or annual health and safety reports, analysis of injury reports, graphical reports of health and safety statistics to show trends. |
| 10.5 | Previous COR audits or maintenance action plans (in lieu of an audit). |
| 10.7 | Health and safety action plan that includes measurable action items, proposed completion dates and individuals responsible for follow-up. |
| 10.8 | Health and safety action plans (implemented). |