

# ACSA COR Audit Document List

Management Commitment		
Audit Question	Directive Documents	Operational Documents
<b>1.1</b>	Organizational Chart  Health and Safety Policy that contains: <ol style="list-style-type: none"> <li>1. A reference to the company's goals, aims, responsibilities for and/or commitment to health and safety</li> <li>2. A reference to addressing the protection and maintenance of the health and safety (including physical, psychological, and social well-being) of employees</li> <li>3. A reference to the health and safety responsibilities of managers, supervisors, workers and contractors?</li> <li>4. The requirement to comply with government legislation</li> <li>5. The signature of the current most senior manager for the business units being audited</li> </ol>	
<b>1.2</b>	Responsibility lists for each employee level within the company (senior management, management, supervisors, and workers)  e.g., job descriptions, performance evaluations, employee handbooks	
Public, Visitors, and Contracted Employers		
<b>2.1</b>	Process to address the protection of people not under the employer's direction. (Policy/Procedure)	
<b>2.3</b>	Process to evaluate, select, monitor, and address non-compliance of other employers and self-employed persons. (Policy/Procedure)  e.g., contractor management policy	Pre-Bidding Process Request for Proposal (RFP) Contractor Records Project Meeting Minutes
<b>2.6 a, b)</b>	Orientation Policy for visitors and contracted employers	Visitor/contractor Orientation Log
Health and Safety Committees (HSC) and Health and Safety Representatives		
<b>3.1</b>	Health and Safety Committee <ol style="list-style-type: none"> <li>1. Terms of Reference</li> <li>2. Policy or procedure</li> <li>3. Duties</li> </ol>	
<b>3.2</b>	HS Representative Policy/Procedure <ol style="list-style-type: none"> <li>1. Requirement to appoint a representative(s)</li> <li>2. Reporting to management</li> <li>3. Term of office</li> <li>4. Training requirements</li> </ol>	
<b>3.3</b>	HSC Terms of Reference or HS Representative Policy/Procedure	
<b>3.4</b>		HSC Member / HS Representative Training Records

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3.7		HSC/ HSR Records 1. Meetings, 2. Inspections, 3. Investigations, 4. Hazard identification, and 5. Response to concerns/complaints in a timely manner
3.9		List of HSC members and/or HS Representatives
<b>Training</b>		
4.1	<p>Employee Orientation Policy/Procedure Including:</p> <ul style="list-style-type: none"> <li>• Requirement to perform prior to starting regular work duties</li> <li>• Health and safety qualifications</li> </ul> <p>Employee Orientation</p> <ol style="list-style-type: none"> <li>1. Workers rights (right to refuse, right to know, right to participate),</li> <li>2. Health and safety policies and procedures,</li> <li>3. Health and safety responsibilities,</li> <li>4. Task specific hazards and controls,</li> <li>5. Hazard reporting,</li> <li>6. Applicable regulatory requirements (e.g., OHS legislation, WCB etc.),</li> <li>7. Discipline/enforcement policies,</li> <li>8. Violence and harassment prevention plans,</li> <li>9. Emergency response procedures (including alert/alarm systems),</li> <li>10. Incident and near miss reporting.</li> </ol>	
4.2	Blank Orientation Form	Completed Orientations
4.4		Training Records
4.5	Blank Task Competency Assessment Form	Completed Competency Assessments
4.10	<p>Health and Safety Communication Policy</p> <ul style="list-style-type: none"> <li>• Defines specific frequency</li> <li>• Each work area / Employee level</li> </ul>	<p>Meeting Minutes</p> <p>Newsletters</p> <p>Emails</p> <p>Bulletins</p>
4.13	<p>Training Policy</p> <p>Define training requirements for leading formal hazard assessments, inspections, and investigations.</p>	<p>Training records for individuals designated to conduct formal hazard assessments, inspections, and investigations.</p>
4.14		<p>Training Records for Supervisors</p> <p>e.g., Leadership for Safety Excellence (LSE)</p>
<b>Hazard Assessment</b>		
5.1	Inventory of all jobs or positions within company e.g., Task List, Organizational Chart	
5.2, 5.3, 5.4	Formal Hazard Assessments e.g., JHA, JSA Risk Matrix	

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5.6	<p>Policy or procedure to create, review and revise formal hazard assessments including:</p> <ol style="list-style-type: none"> <li>1. when new operations, work processes, equipment, materials or products are introduced,</li> <li>2. when operations work-related processes or equipment are modified,</li> <li>3. when site-specific hazard assessments, inspections, or investigations identify a previously unrecognized hazard, and</li> <li>4. as per a pre-determined frequency.</li> </ol>	
5.7		Formal Hazard Assessment Review Log
5.9	<p>Policy and procedures for conducting site-specific hazard assessments to confirm the following is included (as applicable to operations):</p> <ol style="list-style-type: none"> <li>1. When work is conducted at temporary/mobile work sites</li> <li>2. When workers are conducting activities at a work site not owned by their employer</li> <li>3. When a new activity has been temporarily introduced at the work site</li> <li>4. Before the job or task begins</li> <li>5. Repeated if changes are introduced</li> </ol>	
5.10, 5.11		Completed site-specific hazard assessments e.g., FLHA, FLRA
<b>Hazard Control</b>		
6.1		Completed site-specific hazard assessments e.g., FLHA, FLRA
6.2, 6.3, 6.4, 6.5	<p>Formal Hazard Assessments Safe Work Practices Safe Job Procedures Codes of Practice</p>	
6.9	<p>Violence Prevention Plan. The plan must include:</p> <ol style="list-style-type: none"> <li>1. Policy</li> <li>2. Procedures</li> <li>3. Training requirements for employees</li> </ol>	
6.10	<p>Harassment Prevention Plan The plan must include:</p> <ol style="list-style-type: none"> <li>1. Policy</li> <li>2. Procedures</li> <li>3. Training requirements for employees</li> </ol>	
6.11		Harassment and Violence Prevention Plan Review Log
<b>Inspections and Maintenance</b>		
7.1	<p>Policy or procedure that defines the inspection frequency for:</p> <ul style="list-style-type: none"> <li>• All areas of operations</li> <li>• All employee levels</li> </ul>	

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7.2	Inspection Report Forms	
7.3		Completed Inspection Reports
7.4	Inspection system that includes: <ul style="list-style-type: none"> <li>• a method for identifying corrective actions,</li> <li>• requirement to assign responsibilities to individuals, and</li> <li>• target and implementation dates.</li> </ul>	
7.7	Preventive Maintenance Program that includes: <ul style="list-style-type: none"> <li>• inventory or record of all items requiring preventive maintenance,</li> <li>• schedule of required preventative maintenance,</li> <li>• satisfies legislative requirements, and</li> <li>• satisfies manufacturer's specifications.</li> </ul>	
7.9		Preventive Maintenance Records: <ul style="list-style-type: none"> <li>• Equipment Pre-Use Checklist</li> <li>• Equipment Certifications</li> <li>• PPE Maintenance Logs</li> <li>• Receipts of Maintenance activities</li> <li>• Log books, etc.</li> </ul>
<b>Emergency Response</b>		
8.1	List of potential emergencies	
8.2	Emergency Response Plans for each potential emergency including: <ol style="list-style-type: none"> <li>1. the identification of potential emergencies;</li> <li>2. procedures for dealing with the identified emergencies;</li> <li>3. the identification of, location of and operational procedures for emergency equipment;</li> <li>4. the emergency response training requirements;</li> <li>5. the location and use of emergency facilities;</li> <li>6. the fire protection requirements;</li> <li>7. the alarm and emergency communication requirements;</li> <li>8. the first aid services required;</li> <li>9. procedures for rescue and evacuation;</li> <li>10. the designated rescue and evacuation workers.</li> </ol> Blank Site-Specific Emergency Response Plan	Completed Site-Specific Emergency Response Plans
8.6	ERP-related documentation (policies/procedures) or records (emergency drills) including the following criteria: <ol style="list-style-type: none"> <li>1. testing at least annually,</li> <li>2. a means of identifying deficiencies, and</li> <li>3. a means of correcting deficiencies</li> </ol> Emergency Drill Report Form	
8.7, 8.8		Completed Emergency Drill Reports Corrective Action Log

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8.9		First Aid Training Records
<b>Investigations</b>		
9.1	Reporting process for incidents, near misses, occupational illness, and work refusals (Policy/Procedure)	
9.4	Near Miss Report Form	Completed Near Miss Reports
9.5	Investigation Policy/Procedure that includes: 1. the intent/purpose of investigating incidents, 2. an outline of the types of incidents that need to be investigated, including near misses, occupational illness, and work refusals, 3. identification of root causes, 4. follow-up on corrective actions, and 5. senior management, management, and supervisors responsibilities.	
9.7		Completed investigation reports that include: 1. senior management, management, and supervisor involvement as appropriate, 2. root causes resulting from deficiencies in the health and safety system, 3. corrective actions designed to implement system changes to prevent reoccurrence, 4. completion in a timely manner.
9.8 a)	Blank Corrective Action Log	Corrective Action Log Completed investigation reports
<b>Program Administration</b>		
10.1	Document Retention Policy	Company Records
10.2	Safety Activity Summary Report Form	Completed Safety Activity Summary Reports
10.4	Policy statement or procedure that requires continuous improvement of the Health and Safety Management System (HSMS)	Previous health and safety system evaluations
10.6, 10.7	Blank Action Plan	Completed Action Plan