

ACSA COR Audit Document List

Management Commitment		
Audit Question	Directive Documents	Operational Documents
1.1	<p>Organizational Chart</p> <p>Health and Safety Policy that contains:</p> <ul style="list-style-type: none"> • A reference to the company's goals, aims, responsibilities for and/or commitment to health and safety • A reference to addressing the protection and maintenance of the health and safety (including physical, psychological, and social well-being) of employees • A reference to the health and safety responsibilities of managers, supervisors, workers and contractors • The requirement to comply with government legislation • The signature of the current most senior manager for the business units being audited 	
1.2	<p>Responsibility lists for each employee level within the company (senior management, management, supervisors, and workers)</p> <p>e.g., job descriptions, performance evaluations, employee handbooks</p>	
Public, Visitors, and Contracting Employers		
2.1	<p>Process to address the protection of people not under the employer's direction (policy, procedure, or process)</p>	
2.3	<p>Process to evaluate, select, monitor, and address non-compliance of other employers and self-employed persons (policy, procedure or process)</p> <p>e.g., contractor management policy</p>	<ul style="list-style-type: none"> • Bidding Process • Request for Proposal (RFP) • Contractor Records • Project Meeting Minutes
2.8	<p>Orientation policy or process for visitors</p>	<ul style="list-style-type: none"> • Checklist • Visitor Orientation Log
2.9	<p>Orientation policy or process for contracting employers</p>	<ul style="list-style-type: none"> • Checklist • Contractor Orientation Log

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Health and Safety Committees (HSC) and Health and Safety Representatives		
3.1	Health and Safety Committee <ul style="list-style-type: none"> • Selection of co-chairs • Selection of worker members • Term of office for members • Meeting frequency and meeting records management • Process for conducting meetings and reporting concerns to management • Member replacement during term • Dispute resolution • Member duties and when members are not fulfilling them 	
3.2	HS Representative Policy/Procedure: <ul style="list-style-type: none"> • Duties of the HS representative(s) • Requirement to appoint a representative(s) • Reporting to management, • Term of office 	
3.3	HSC Terms of Reference or HS Representative Policy/Procedure	
3.4		HSC Member / HS Representative Training Records. Training must include: <ul style="list-style-type: none"> • Roles and responsibilities of co-chairs and members on safety committees and safety representatives • Obligations of worksite parties • The rights of workers
3.7		HSC/ HSR Records <ul style="list-style-type: none"> • Meetings • Inspection review • Hazard assessment participation • Response to concerns/complaints in a timely manner
3.9		List of HSC members and/or HS Representatives

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Training		
4.1	<p>Employee Orientation Policy/Procedure Including:</p> <ul style="list-style-type: none"> • Requirement to perform prior to starting regular work duties <p>Employee Orientation</p> <ul style="list-style-type: none"> • Workers rights (right to refuse, right to know, right to participate) • Health and safety policies and procedures • Health and safety responsibilities, • Task specific hazards and controls • Hazard reporting • Applicable regulatory requirements (e.g., OHS legislation, WCB etc.) • Discipline/enforcement policies • Violence and harassment prevention plans • Emergency response procedures (including alert/alarm systems) • Incident and near miss reporting 	
4.2	Blank Orientation Form	Completed Orientations
4.4, 4.9		Training Records
4.5,4.6, 4.7	<ul style="list-style-type: none"> • On-The-Job Training Policy • New worker program (green hand, etc.) • Blank Task Competency Assessment Form 	<ul style="list-style-type: none"> • On-The-Job Training Records • Trade qualification checklists • Completed tests • Completed Competency Assessments
4.10, 4.11	<p>Health and Safety Communication Policy</p> <ul style="list-style-type: none"> • Defines specific frequency • Each work area / Employee level 	<ul style="list-style-type: none"> • Meeting Minutes with attendance records • Toolbox/Tailgate Meetings
4.14, 4.15, 4.16	<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. Formal training could include</p> <ul style="list-style-type: none"> • Leadership for Safety Excellence • Worksite Investigation Basics • Hazard Management

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Hazard Assessment		
5.1	Inventory of all jobs or positions within company <ul style="list-style-type: none"> • e.g., Task List, Employee List, Organizational Chart • Formal hazard assessments 	
5.2	Formal Hazard Assessments	
5.3	Formal Hazard Assessments Consider the four categories for health and safety hazards, which include: <ul style="list-style-type: none"> • Physical (e.g., radiological, working at heights, lifting heavy loads, extreme temperatures, violence, ergonomics, etc.) • Chemical (e.g., fumes, vapours, gases, waste products, etc.) • Biological (e.g., bodily fluids, viruses, bacteria, moulds, etc.) • Psychological (e.g., harassment and bullying, stress, fatigue, etc.) 	
5.4	Risk Matrix	
5.6	Policy or procedure to create, review and revise formal hazard assessments including: <ul style="list-style-type: none"> • When new operations, work processes, equipment, materials or products are introduced • When operations work-related processes or equipment are modified • When site-specific hazard assessments, inspections, or investigations identify a previously unrecognized hazard • As per a pre-determined frequency 	
5.7		Formal Hazard Assessment Review documentation

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5.9	<p>Policy and procedures for conducting site-specific hazard assessments to confirm the following is included (as applicable to operations):</p> <ul style="list-style-type: none"> When work is conducted at temporary/mobile work sites When workers are conducting activities at a work site not owned by their employer When a new activity has been temporarily introduced at the work site Before the job or task begins Repeated if changes are introduced 	
5.10, 5.11, 5.12		Completed site-specific hazard assessments

Hazard Control		
6.1	Formal Hazard Assessments	
6.3	<ul style="list-style-type: none"> Formal Hazard Assessments Safe Work Practices Safe Job Procedures Codes of Practice 	
6.5		Completed site-specific hazard assessments
6.9	<p>Violence Prevention Plan The plan must include:</p> <ul style="list-style-type: none"> Policy Procedure Training requirements for employees 	
6.10	<p>Harassment Prevention Plan The plan must include:</p> <ul style="list-style-type: none"> Policy Procedures Training requirements for employees 	
6.11		Harassment and Violence Prevention Plan review verification

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Inspections and Maintenance		
7.1, 7.2	<p>Policy or procedure that defines the inspection frequency for:</p> <ul style="list-style-type: none"> • All areas of operations • Responsibilities for all employee levels <p>Also refer employee responsibility documentation listed from question 1.2</p>	
7.3	Inspection Report Forms	
7.4		Completed Inspection Reports
7.5	<p>Inspection system that includes:</p> <ul style="list-style-type: none"> • A method for identifying corrective actions • Requirement to assign responsibilities to individuals, and • Target and implementation dates 	
7.9	<p>Preventive Maintenance Program that includes:</p> <ul style="list-style-type: none"> • Inventory or record of all items requiring preventive maintenance • Schedule of required preventative maintenance • Satisfies legislative requirements • Satisfies manufacturer's specifications 	
7.11		<p>Preventive Maintenance Records:</p> <ul style="list-style-type: none"> • Equipment Pre-Use Checklist • Equipment Certifications • PPE Maintenance Logs (i.e., RPE, fall protection, etc.) • Receipts of Maintenance activities • Logbooks, etc.

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Emergency Response		
8.1	List of potential emergencies.	
8.3	<p>Emergency Response Plans for each potential emergency including:</p> <ul style="list-style-type: none"> • The identification of potential emergencies • Procedures for dealing with the identified emergencies • The identification of, location of and operational procedures for emergency equipment • The emergency response training requirements • The location and use of emergency facilities • The fire protection requirements • The alarm and emergency communication requirements • The first aid services required • Procedures for rescue and evacuation • The designated rescue and evacuation workers <p>Blank Site-Specific Emergency Response Plan</p>	Completed Site-Specific Emergency Response Plans
8.6	<p>ERP-related documentation (policies/procedures) or records (emergency drills) including the following criteria:</p> <ul style="list-style-type: none"> • Testing at least annually • A means of identifying deficiencies • A means of correcting deficiencies <p>Emergency Drill Report Form</p>	
8.7, 8.8		Completed Emergency Drill Reports Corrective Action Log
8.9		First Aid Training Records

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Investigations		
9.1	<ul style="list-style-type: none"> Reporting process for incidents, near misses, occupational illness, and work refusals (Policy/Procedure) Including internal and external reporting (WCB, OHS, etc.) 	
9.4	<p>Investigation Policy/Procedure that includes:</p> <ul style="list-style-type: none"> The intent/purpose of investigating incidents An outline of the types of incidents that need to be investigated, including near misses, occupational illness, and work refusals Identification of root causes Follow-up on corrective actions Senior management, management, and supervisors' responsibilities 	
9.6		<p>Completed investigation reports that include:</p> <ul style="list-style-type: none"> Senior management, management, and supervisor involvement as appropriate Root causes resulting from deficiencies in the health and safety system Corrective actions designed to implement system changes to prevent reoccurrence Completion in a timely manner
9.7	Blank Corrective Action Log	<p>Corrective Action Log Completed investigation reports</p>
Program Administration		
10.2		<ul style="list-style-type: none"> Company specific monthly, quarterly or annual health and safety reports Analysis of injury reports Graphical reports of health and safety statistics to show trends
10.3	Policy statement or procedure that requires continuous improvement of the Health and Safety Management System (HSMS)	Previous health and safety system evaluations
10.5, 10.6	Blank Action Plan	Completed Action Plan