*The auditor is required to review directive documents and sampling documents to confirm that a system is in place and meets the audit requirements. Directive documents can include policies, standards, procedures, etc.*

| **Question** | **Documentation** | **Documents to submit** |
| --- | --- | --- |
| **A1** | Health & Safety Policy | Review Directive document |
| **A2** | Documented Employee Awareness - \**please review for all employees* | review for all current employees |
| **A3** | Health and Safety Roles and Responsibilities | Review Directive document |
| **A4** | Communication of Responsibilities - \**please review for all employees* | review for all current employees |
| **A5** | Legislation list and awareness | Review Directive document |
| **B1** | Position inventory table | Review Directive document |
| **B2** | List of tasks | Review Directive document |
| **B3** | List of hazards | Review Directive document |
| **B4** | Policy/Procedure to evaluate risk | Review Directive document |
| **B5** | Hazard assessments | Review Formal Hazard assessment for all positions in inventory |
| **B6** | Prioritization | Review Directive document |
| **B7** | Process for review of hazard assessments | Review Directive document |
| **B8** | Inspection policy | Review Directive document |
| **B9** | Inspection forms | Review Quarterly sampling of all inspections in policy. Unless otherwise specified in the policy. (yearly inspection only one required) |
| **B10** | Training records - \**please review for all employees* | Review for ALL employees that perform inspections |
| **B11** | Hazard reporting policy | Review Directive document |
| **B12** | Hazard report forms | Review Quarterly sampling unless otherwise specified by notes. |
| **C1a** | Formal Hazard assessments engineering controls | Review Directive document |
| **C1b** | Formal Hazard assessments administrative controls | Review Directive document |
| **C1c** | Formal Hazard assessments - PPE | Review Directive document |
| **C2** | PPE policy | Review Directive document |
| **C3** | Training records PPE  \**please review for all employees* | Review for all current employees |
| **C4** | Discipline policy | Review Directive document |
| **C5** | Safe work procedures | Review Directive documents for all critical tasks |
| **C6** | Preventative maintenance policy / procedure | Review Directive document |
| **C7** | Preventative maintenance documents | Review Quarterly sampling of maintenance records, CVIP’s, service records from professional mechanics, pre-trip inspections (one week per quarter) |
| **D1** | Orientation Policy | Review Directive document |
| **D2** | Orientation records- \**please review for all employees* | review for ALL NEW employees, visitors or contractors |
| **D3** | Training records (i.e. H2S, 1st aid..) | review training listed in formal hazard assessments |
| **D4** | Training records (i.e. on-the-job) - \**please review for all employees* | review for all current employees |
| **D5** | Right to refuse documents- \**please review for all employees* | review for all current employees |
| **E1** | Emergency Response Plan | Review Directive document |
| **E2** | Emergency Response Procedures | Review Directive document |
| **E3** | Emergency Response Procedures Communication Documentation - \**please review for all employees* | Review for all employees and any responsibilities mentioned in the policy |
| **E4** | Emergency response plan training | Review any responsibilities mentioned in the policy |
| **E5a** | Emergency response plan evaluation process/forms | Review form |
| **E5b** | Emergency response drill records | Review all completed drills throughout the year. (frequency must match the policy) |
| **F1** | Incident reporting policy | Review Directive document |
| **F2** | Completed incident reports | Review all completed incident reports |
| **F3** | Investigation policy | Review Directive document |
| **F4a** | Investigation forms | Review form |
| **F4b** | Completed investigations forms | Review all completed investigation forms. (near miss investigations are accepted) |
| **F5** | Investigation training records | Documented training for all employees completing inspections |
| **F6** | Near miss reports | Review all completed near miss reports |
| **F7** | Statistical reports | Review Quarterly completed statistics |
| **G1** | Safety meeting policy | Review Directive document |
| **G2** | Safety meeting records | Review Quarterly sampling of all types of safety meetings mentioned in the policy. Unless otherwise explained in the policy |
| **G3a** | Site specific orientation documents | Review Quarterly sampling of all prime contractor site forms unless otherwise specified by notes |
| **G3b** | Safe work plans documentation | Review Quarterly sampling of all prime contractor site forms unless otherwise specified by notes |
| **G3c** | Safe work plans communications | Review Quarterly sampling of all prime contractor site forms unless otherwise specified by notes |
| **G4** | Action plan developed | Review Completed action plan |
| **G5** | Action plan implemented | Review action plan for evidence of implementation |