Date

Name - Senior Manager

Title

Company

Address

Dear [Senior Manager],

Thank you for the opportunity to conduct an audit of your Health and Safety Program. This audit will act as [your COR Certification/Maintenance/my Qualification] audit.

Attached is a schedule of the audit activities. The on-site audit will include:

1. Documentation review: I have enclosed a list of the documents that I will need available for my review. Please have this documentation gathered and ready at the time of my arrival.
2. Interviews: Includes all levels of staff and management. Based on the information provided, we anticipate conducting [XX] interviews. Each interview will take approximately 45 minutes. The interviews will be scheduled when I arrive at your property.
3. Observation tour: Sites included in the representative sampling.

We may need to review additional documentation or conduct additional interviews if further verification of information is necessary.

Please advise as to any Personal Protective Equipment (PPE) requirements.

The support of your contact person is required for the duration of the audit. The contact person will gather documentation, book private space for the interviews, ensuring staff that are scheduled for interviews are available and escorting the auditor on the observation tour.

All information collected from the documentation, interviews and site observations will be kept strictly confidential. All working notes will be destroyed once the final report has been approved by AMHSA.

Sincerely,

Auditor Names (all auditors participating in the audit)

CC: Audit Contact

Enclosures

**SCHEDULE OF AUDIT ACTIVITIES**

**May 10, 20XX - SIte**

9:00 – 9:30 a.m. **Pre-audit meeting**: This is to give a brief overview of the audit process. Attendees should include appropriate senior management and labour representatives. Ensure that the whole site is made aware that the audit is going to take place.

9:30 – 9:45 a.m. Meet with Contact person

9:45 – 10:15 a.m. **Familiarization Tour**: This is a short tour of the facilities included in the scope of audit. Someone knowledgeable with the whole operation should lead the auditor on this tour.

10:15 – 12:00 p.m. **Documentation Review**: This is a review of the applicable health and safety documentation. Use the findings from the documentation review to score the appropriate audit questions (see attached Document List).

12:00 – 12:30 p.m. Lunch Break

12:30 – 5:00 p.m. **Documentation Review** Continued

**May 11, 20XX - Site**

8:00 a.m. – noon **Interviews**: Conduct the interviews that have been pre-arranged***.*** Comment and score the appropriate audit questions.

12:00 – 12:30 p.m. Lunch Break

12:30 – 5:00 p.m. **Interviews** continued

**May 12, 20XX - Site**

6:00 – 11:00 a.m. **Interviews**: Conduct the interviews that have been pre-arranged***.*** Comment and score the appropriate audit questions.

11:00 – 11:30 a.m. Lunch Break

11:30 – 3:00 p.m. **Interviews** continued

**May 13, 20XX - Site**

11:00 – 2:00 p.m. **Interviews**: Conduct the interviews that have been pre-arranged***.*** Comment and score the appropriate audit questions.

2:00 – 2:30 p.m. Lunch Break

2:30 – 8:00 p.m. **Interviews** continued

**May 14, 20XX**

8:00 a.m. – noon **Observation Tour** This is for verifying audit questions where the validation technique is listed as “Observation.” The Audit Observation Tour form provides a format for visually verifying findings from your documentation review and interview results. Use the findings from the observation tour to score the appropriate **audit questions.**

12:00 – 12:30 p.m. Lunch Break

12:30 – 2:30 p.m. Auditors summarize outcome of audit

2:30 – 3:00 p.m. **Post-Audit Meeting**: The same people who attended the pre-audit meeting should be present. You will be reviewing the audit process, presenting strengths and recommendations, and answering any questions.

**May 17-18, 20XX** Auditors complete the compilation of audit outcomes; prepare the final report and submit the audit to AMHSA for review.

## Documentation Request

Documentation review is one of the first data-gathering audit activities**. Twelve (12) months** of consecutive documentation must be prepared for the auditor before the start of data-gathering activities. The documentation should reflect the most recent 12 months.

Please have the following documentation prepared and readily available at the start of the audit:

* Organizational chart
* List of employee names by department (if not included on organizational chart)
* Job descriptions, procedures, and practices
* Task or job inventories
* Schedule or worker rotation records
* Application forms, hiring records, contracts
* Orientation records, checklists, competency assessments
* Training records, copies of certificates/diplomas. Department/job specific training materials and records (such as supervisory training, new/transferred employee training, new task training, refresher training requirements, etc.)
* Training requirements and documents for employees designated to conduct hazard assessments, inspections, and investigations
* Training requirements, certificates, and shift schedules for certified first aiders
* Health and safety policies and procedures
* Written statement of responsibilities/accountabilities for all levels
* Violence Prevention and Harassment Prevention plans, including policies and procedures
* Health and safety meeting minutes
* Hazard assessment forms, records, and policy/process documents (may also be referred to as formal hazard assessments, job safety analysis, etc.)
* Site-specific hazard assessment forms, records, and policy/process documents
* Hazard assessment review and revision records (include documents outlining process/procedure changes, decisions reached in meeting minutes, memos related to controls, supervisor log books, etc.)
* Documents outlining the preventative maintenance policy and process for vehicles, equipment, and tools. Preventative maintenance records, completed scheduled work documents, work order records, etc.
* Inspection policy and procedure documents (records, inspection schedule, checklists, reports memos outlining corrective actions, etc.)
* Emergency response and evacuation plans, policies, and procedures
* Documents relating to emergency response drills, such as records of drills, minutes for drill review meetings, table-top exercises, etc.
* Documents relating to actual emergency responses, such as records of response, minutes for response review meetings, documents outlining corrective actions or changes in procedure due to emergency
* Incident reporting policy/process and forms for both near misses and incidents.
* Investigation report forms, memos regarding implementation of corrective actions, minutes of meetings discussing investigations
* Organization specific monthly, quarterly, or annual health and safety reports, injury report analysis, health and safety statistics and trend reports
* Previous health and safety system evaluations and action plans (with completion details)
* Health and safety communication records (newsletters, memos, bulletins, etc.)
* HSC and/or HSR policies, procedures, terms of reference, statement of duties/responsibilities
* HSC and/or HSR training records
* HSC and/or HSR meeting minutes and recommendations
* First aid regulations, certificates, training records
* Policies/processes for addressing contractors/visitors/other persons on or near work sites (monitoring, evaluating, communicating, etc.)

Thank you for providing all relevant documentation. Please note that the auditor may request additional records or documents if applicable.