# PRE-AUDIT OBSERVATION RECORD

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| **The PRE-AUDIT OBSERVATION RECORD must be completed in internal (i.e. annual) and external (i.e. operating approval renewal) audit years.**  This audit section must be completed prior to initiating the audit. It is intended, in part, to verify that the corrective actions identified in the previous two (2) audits were implemented and recorded or transferred as findings to the subsequent audit, as required. |

**INSTRUCTIONS:** The auditor must have a full understanding of what must be, as a minimum, included in the company safety management systems (SMS) and general operating instructions (GOI) for the facility being audited. To facilitate sufficient review time, please request a copy of the company SMS and GOI prior to reviewing records and conducting field observations and interviews.

The Pre-Audit Observation Record must be submitted with the audit documents (i.e. Industrial Rail Audit, Statement of Authenticity, Findings and Corrective Actions Log and Auditor Certification) in operating approval renewal years.

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| **Audited Company Name:** | Choose an item. |

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| **Audit Type:** | Choose an item. | **Audit Completion Date:** | Click here to enter a date. |

|  |  | **DUE DILIGENCE REQUIREMENT** | **Yes/No/N/A** | **AUDIT OBSERVATION** |
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| **PA.1** | **D** | Are industrial rail audits   1. completed annually? | Select. |  |
| 1. maintained on file? | Select. |  |
| **PA.2** | **D** | Are auditor certification documents retained on file with previous audits? | Select. |  |
| **PA.3** | **DO** | Is the ‘Findings and Corrective Actions Log’ from previous audits current?   1. Are corrective actions implemented? | Select. |  |
| 1. Are completion dates noted in the log? | Select. |  |
| **PA.4** | **D** | Does the ‘Finding and Corrective Action Log’ from the previous two (2) audits contain non-regulatory related findings? | Select. |  |
| **PA.5** | **D** | Do previous audits indicate boilerplating and/or templating? | Select. |  |
| **PA.6** | **D** | Does the company safety management system (SMS) content follow the Alberta Transportation SMS Guideline requirements? | Select. |  |
| **PA.7** | **DO** | Have general operating instructions (GOI) been developed?   1. Are the GOIs current? | Select. |  |
| 1. Are the GOIs applicable to the operation? | Select. |  |

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|  | **Pre-audit reviewed with:** |  |
| **Auditor Name** |  | Company Rep. Name(s) |
|  |  |  |
| **Auditor Signature** |  |  |