

# bizSAFE Level 3 Risk Management Audit Checklist (26-Sep-2017)

- [Grey] to be completed by user
- Include reasons on why NO or NA in Remarks

S/No.	Audit Question	DR/IP/PI*	Results			Guidance for RM Auditor	Evidence		Remarks
			Yes	No	NA		Notes	Annex	
<b>1</b>	<b>OSH Policy</b>						<b>Notes</b>	<b>Annex</b>	
1.1	Is there a documented WSH and Security policy endorsed by the top management?  - Endorsement must be made by the current top management; - Is the policy current?	DR				Policy should be endorsed by current top management. Check if names, position and date of endorsement are stated.  Note: If top management comprises of more than one person, all of them have to endorse on the policy	Attach a copy of the endorsed company's WSH and Security Policy i.e bizSAFE Level 1 policy		
1.2	Does the WSH and Security Policy show company's commitment to: 1. manage and reduce risks through effective risk management? 2. comply with applicable WSH legal requirements? 3. address terror threats?	DR				Policy should 1. indicate the company's commitment 2. address WSH and security objectives appropriate to the nature and scale of work undertaken by the company	Attach a copy of the endorsed company's WSH and Security Policy		
1.3	Is the WSH and Security Policy displayed, communicated and made available to all relevant key stakeholders with the intent that they are made aware of their individual WSH and Security obligations?	IP & PI				Interview three persons (one manager, one supervisor and one worker) to check if they are aware of the WSH and Security Policy and their WSH and Security obligations/responsibilities.  Check for evidence- either WSH and Security Policy is disseminated to employees, contractors, or posted on a website or notice board.	Attach interview statements of different stakeholder groups.  Attach photo of WSH and Security Policy communication.		
<b>2</b>	<b>Preparation for hazard identification, risk assessment and risk control</b>						<b>Notes</b>	<b>Annex</b>	
2.1	Did the company appoint team leaders and team members to form RM and/or RA Team (s) to implement risk management in the company?  Did the company appointed sufficient and suitable members?	DR				A multidisciplinary team is in place to manage safety, health and wellbeing holistically, as well as terror threats. This team(s) reports to the senior management.  Sample appointment letter(s) of RA/RM Team Leader(s) and team members	Attach a copy of company organisation chart showing the RM & RA Team leaders and members names  Attach an appointment letter for one of the team lead and team member.		
2.2	Are the appointed RA/RM team leaders trained to do Risk Assessment?  Team leaders must have successfully completed the two-day Risk Management Course conducted by ATO-SSG.	DR				Check for training records of the Risk assessment/ Risk management team leader. Please check on the authenticity and validity of the certificate(s) for all team leaders with reference to SSG website for latest list of ATOs.	Attach training certificates of all team leaders		
2.3	Are the RA/RM team members trained/briefed on Risk Management by a Team leader who has completed the Risk Management Course.	DR/IP				Check training/briefing records of 50% of the team members or conduct interviews. Verify the RM competency of the person who conducted the training or briefing.	Attach a copy of the training/briefing records of team members, brief outline of training content and interview statements		
2.4	Are the RA/RM team leaders and team leads familiar with the RA methodology adopted by the company?	DR/IP				Check for documents that stipulated RA methodology adopted by the company. E.g. WSH and Security Policy, or RA SOP, training materials which highlighted the methodology adopted e.g 3x3 matrix	Attach RM policy or SOP or training materials which shows methodology adopted by company		

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2.5	Does the company's RA methodology provide for prioritisation of risks?	DR				Check whether RA methodology provides for risk prioritisation	Attach the relevant part of RA methodology that meets this requirement		
2.6	Does the company's RA methodology provide for documentation of risks?	DR				Check whether RA methodology provides for documentation of risks e.g. categorising, indexing, referencing, etc	Attach the relevant part of RA methodology that meets this requirement		
2.7	Did the company appoint a SGSecure representative?	DR				Check for documentary proof for appointment of SGSecure representative.	Attach documentary proof to show appointment of SGSecure representative		
2.8	Is there an inventory of work activities kept by the company?	DR				A list of all work activities / processes should have been developed prior to RA. The inventory list should have included all or most of the company's daily operation. Please check for department, workplace, site or project specific work processes, if applicable.	Attach a copy of the inventory of work activities		
3	<b>Risk Assessment: Hazard identification, Risk Evaluation and Risk Control</b>						<b>Notes</b>	<b>Annex</b>	
3.1	Does the company have a procedure for hazard identification and risk assessment?	DR				Check documents for evidence.	Attach a copy of the company's RA procedure		
3.2	Is there a risk register kept at the workplace?	PI & DR				Check documents for evidence.	Attach a copy of the risk registry.		
3.3	Are risk assessment conducted for all the work activities, corresponding to the inventory of work activities, whether routine or non-routine?	PI & DR				Please verify documents with 3 current activities, where at least one activity is a non-routine work, in the workplace.	Attach RA of the 3 work activities		
3.4	Are risk assessment conducted specific and relevant to the work activities in the workplace?	PI & DR				Check risk assessments of 3 critical/ higher risk activities in/and workplace for evidence that RA are non generic and customised to existing workplace conditions.	Attach RA and photos of the 3 work activities		
3.5	Does the risk assessment identify all foreseeable risks and hazards (both safety and health) associated with the work activities carried out in the workplace?	PI & DR				Check 3 RAs in/and workplace for evidence.	Attach RA and photos of the 3 work activities		
3.6	Does the risk assessment identify potential terror threat(s) to the workplace?	PI & DR				Risk assessment should identify at least one possible terror threat scenario (eg. armed attack, suspicious parcel or vehicle ramming)	Attach RA and (if available) photos of the potential work areas and/or activities that could be affected.		
3.7	Does the risk assessment take into account other considerations including human factors (e.g. fatigue and health management, operational demands, communications, procedure design and implementation, etc) which may influence WSH and Security outcomes?	PI & DR				Refer to tab "Other Considerations"  Check 3 RAs in/and workplace for evidence.  Interview the relevant personnel	Attach RA and photos of the 3 work activities  Note the identity of personnel interviewed		

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3.8	Does the risk assessment take into account job factors (e.g. shift design, mental demands of jobs, equipment design and condition, signage and labels, etc) which may influence WSH and Security outcomes?	PI & DR				Check 3 RAs in/and workplace for evidence.	Attach RA and photos of the 3 work activities		
3.9	Does the risk assessment take into account individual risk factors (factors e.g. physical fitness, strength, hearing, eyesight, knowledge, pre-existing conditions, etc) which may influence WSH and Security outcomes?	PI & DR				Check 3 RAs in/and workplace for evidence.	Attach RA and photos of the 3 work activities		
3.10	Does the the risk assessment take into account activities of all persons having access to the workplace (including visitors to the workplace)?	DR				Check procedures for evidence.	Attach procedures or SOPs		
3.11	Does the risk assessment take into account of identified hazards originating outside the workplace capable of adversely affecting the WSH and Security of persons under the control of the occupier within the workplace;	DR				Check procedures and documents for evidence.	Attach procedures or SOPs		
3.12	Does the risk assessment take into account hazards created in the vicinity of the workplace by work-related activities under the control of the occupier?	DR				Check procedures and documents for evidence.	Attach procedures or SOPs		
3.13	Are existing legislation, Approved Codes of Practice and relevant guidelines taken into account in the development of SWP and selection of control measures stated in the risk assessment for work activities?	DR				Sample 3 RAs for evidence	Attach relevant RA meeting this requirement		
3.14	Are the risks evaluated accuracy in accordance to the hierachy of risk controls?	DR/PI				Sample 3 RAs for evidence. Verify that PPE is chosen as the last resort after other options are considered, or PPE is not considered at all. Inspect the workplace to verify that risk controls selected are available on site.	Attach 3 RAs and site implementation evidence (e.g. photographs) of such risk controls		
3.15	Are the responsible persons to implement control measure specified in the RA?  Are there deadlines for implementation of the control measure or SWP specified in the RA?	DR				Sample 3 RAs for evidence and interview corresponding implementer on his knowledge of the appointment and deadline for implementation.	Attach the 3 RA sampled and interview record of implementers		
3.16	Are RAs dated and signed by the RA team?	DR				Please sample 3 RAs of current work activities that are of higher risk.	Attach RA of the 3 work activities		
3.17	Are RAs approved and endorsed by the management?	DR				Check 3 RAs for management's approval and endorsement.	Attach RA of the 3 work activities		
<b>4</b>	<b>Implementation</b>						<b>Notes</b>	<b>Annex</b>	
4.1	Is there an action plan to follow up on the implementation of all identified risk controls in the risk assessment?  Is the plan approved by the management?	DR				RM Implementation Plan should cover all activities [including control measures to address the identified potential terror threat scenario(s)] with clear completion date and action items, approved by top management. Name(s) and designation of person(s) in charge of the implementation and timeline should be indicated.	Attach a copy of the RM implementation Plan		

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4.2	Are SWP and other control measures stated in the risk assessment implemented in the workplace ?	PI & DR				Check the implementation of the risk assessment control measures and SWP for two work activities within the workplace. Verify that employees are performing their task in accordance with the SWP and using the risk controls as stated in the RAs.	Attach RAs and SWPs of the two work activities as well as other relevant evidence of its implementation	
4.3	Are implemented risk controls assessed for their effectiveness, usability and adequacy after implementing?  Evaluation criteria for effectiveness: 1. Reduced risks, if not eliminated 2. Reliability; 3. Ease of use; 4. Interference with productivity	DR/PI				Check for evidence that risk controls are assessed post implementation	Attach of records of evaluation process after implementation or control measures and any corresponding modifications/alterations made	
4.4	Are RAs updated after the implementation of SWP and control measures?	DR				Sample 3 RAs for evidence.	Attach RA of the 3 work activities	
4.5	Are the workers briefed and aware of the hazards identified, the control measures and SWP in place for controlling hazards for the work activities they are involved in?	DR & IP				Check for briefing records.	Attach briefing attendance records and interview records of all workers interviewed.	
4.6	Are company employees briefed and aware of key SGSecure tenets and the actions to be taken in the event of a terror attack?	IP				Interview 3 persons: i. Ability to explain key SGSecure tenets: a. Run, Hide, Tell; b. Press, Tie, Tell. ii. Awareness of Emergency Response Plan: a. Emergency evacuation routes; b. Hiding locations in the workplace; and c. What to do during a lockdown procedure.	Attach interview records and statements of interviewed employees.	
4.7	Are RAs and SWP made available in the workplace to all workers?	PI/IP				Check site for evidence. Sample 3 RAs and SWPs.	Attach evidence of RA and SWP made available.	
4.8	Are risk register and RAs kept for at least 3 years?	DR				Check documents for evidence.		
<b>5</b>	<b>Review</b>						<b>Notes</b>	<b>Annex</b>
5.1	Are risk assessments reviewed once every three years?	DR				Sample 3 RAs to verify due date for the next RA review is no more than 3 years from the date that the RA was conducted	Attach RA of the 3 work activities (where applicable)	
5.2	Are risk assessments reviewed when an accident, incident, near miss or dangerous occurrence occurs?	DR				Check company's accidents, incident, near miss and dangerous occurrence records. Select 2 events and verify if the relevant risk assessments were reviewed post to the 2 events.	Attach RA of the 2 work activities and corresponding record of event	
5.3	Are risk assessments reviewed where there is a significant change in work practices, procedures, facilities or workplace environment condition ?	DR				Check company's records for recent changes in work practices, procedures, facilities or workplace environment condition. Select two different changes and review corresponding risk assessment of affected work activities for evidence of review post to the change.	Attach records of the two changes and the corresponding RAs of the affected work activities	

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5.4	Are risk assessments reviewed after any change of equipment, material or substances used?	DR				Check company's records for recent changes in equipment, material and substances used. Select two different changes and review corresponding risk assessment of affected work activities for evidence of review post to the change.	Attach records of the two changes and the corresponding RAs of the affected work activities (where applicable)	
5.5	Are risk assessments reviewed after new information on the WSH and Security risks relevant to the work conducted becomes available?	DR				Sample minimum 3 risk assessment (or applicable) for evidence	Attach RAs and new information considered	
5.6	Are amendments to existing risk register and risk assessments reviewed, approved and endorsed by management?	DR				Sample past risk register and risk assessment, review meeting minutes or correspondence between RM Team and management for evidence of review, approval and endorsement	Attach 2 records of such amendments being reviewed, approved and endorsed by management.	
5.7	Does the company have procedures for communicating changes in RA to stakeholders after the review ?	DR/IP				Communication procedures should include communications to visitors and contractors. Interview three persons (pick from the various stakeholder groups) for evidence.	Attach a copy of the RM Policy, procedure or document which lay out the communication plan. The plan should include stakeholders to be engaged, communication process, frequency of communication and feedback.	
5.8	Are relevant stakeholders informed and aware of the changes to risk assessment after it was changed	IP				Interview 3 persons if they were informed on changes in risk assesment. Check for evidence (e.g. notice board , briefing records, RA training records) of communication of workplace risks to stakeholders, especially to workers on the job	Attach interview records, implementation evidence	