



This checklist is aimed at the board and executive.

Keeping up to date with knowledge on H&S		Comments
Does the board have a dedicated H&S committee that regularly briefs them on H&S matters?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Does this subcommittee have any relevant experience in high hazard operations?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Does the executive have a specialist leader in H&S as part of this group or is H&S rolled into another function such as HR?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
If H&S is part of another executive function, how does the executive ensure there is sufficient knowledge within the lead team?		
Does the board understand the difference between occupational safety and process safety?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Has the board / executive had any training in process safety and the legal environment in which it is placed?	Yes <input type="checkbox"/> No <input type="checkbox"/>	

Have an understanding of their companies risks		Comments
Does the organisation have a risk management program in place?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Does the board and executive regularly receive a briefing (eg more than 2x a year) on their companies critical risks?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Does the board/ executive receive any regular assurance that controls needed to manage their greatest risks are appropriate and performing?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Does the board/ executive know of any high risks within their business that needs immediate action?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Does the board/ executive receive any external assurance that their companies risk management program is appropriate and meets good practice?	Yes <input type="checkbox"/> No <input type="checkbox"/>	



Have resources in place to minimise the risks within the business?		Comments
Is there a formal risk assurance program in place for high hazards?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Has the board/ executive rejected additional controls (to manage risk) on the basis of cost alone?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Does the organisation have the internal expertise to understand and manage high risk operations?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Is there a Safety Management System (SMS) in place to identify and control the risks within the business?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
How does the board & executive know that the SMS is effective?		

Monitoring in place for hazards and risks		Comments
How does the board verify that the risks within the business are being minimised?		
Does the Safety Management System define performance standards for each element and is monitoring and reporting in place to the executive and board?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Do red flags rise to the executive and board through the monitoring process? (or are they sanitised)	Yes <input type="checkbox"/> No <input type="checkbox"/>	

Processes in place to meet legal obligations		Comments
Does the board & executive understand the legal obligations of their company?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
What processes are in place to meet their legal obligations?		
How does the board/ executive record their obligation to do due diligence on their business?		



Client:

Date:

Auditor:

For more on our Due Diligence Service: [CLICK HERE](#)

SMS audit and review		No audit procedure in place <input type="checkbox"/>			
Is the SMS understood and being complied with?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
Is the SMS implemented and maintained in an effective state?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
What is the audit schedule?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
What audits have been undertaken?					
• Whole SMS / particular elements	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
• Formal / external audits	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
• Informal / internal audits	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
• Self-assessments	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
• Task observations	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
SMS audit reports	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
SMS Review					
• Is SMS adequate?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
• Is SMS effective?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
• Is SMS fit for purpose?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
• Is SMS in line with good practice?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
SMS review reports	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
Have actions and recommendations of previous audits been addressed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			

General Comments

For more on our Due Diligence Services: [CLICK HERE](#)