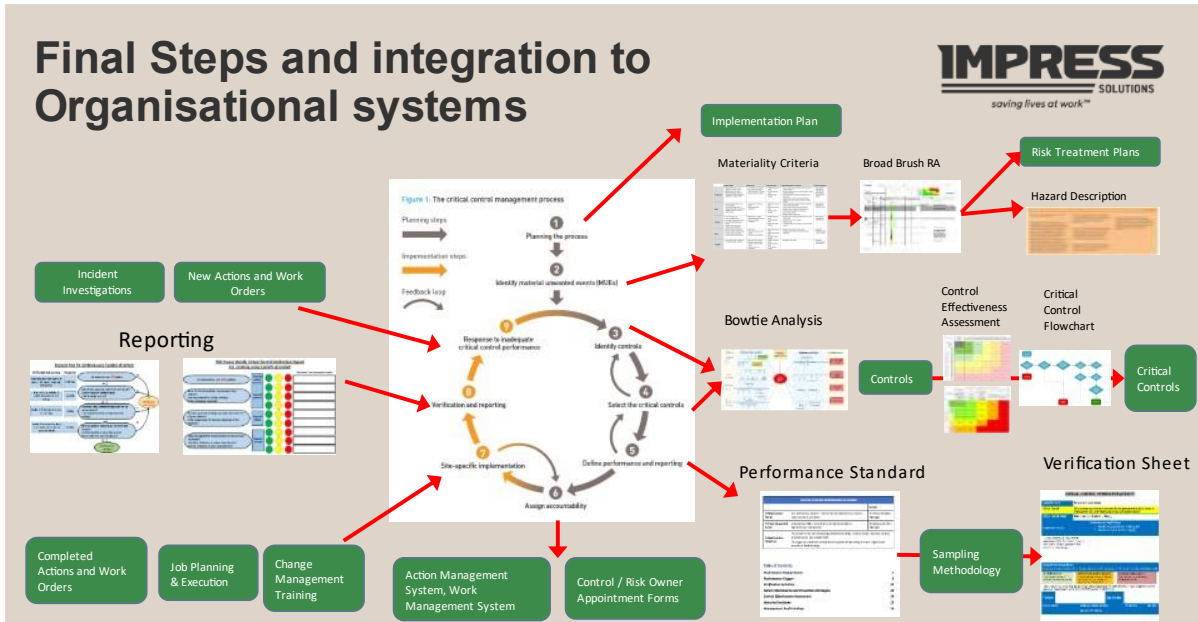## Critical Risk Management Framework Audit Sheet

This audit is designed to help you perform a gap analysis against an industry leading CRM Framework (pictured below) to identify your CRM framework opportunities for improvement.

If you need help, contact us at admin@impresssolutions.com.au or 1300 024 482.

Element	Criteria	Finding
Planning	Is there a CRM project plan which considers the following; • Key stakeholders and what they are required to do. • What training is required for different stakeholder groups. • What information will be used to inform the design of the CRM process. • Legislative requirements. • What systems are required, and what integrations are required. • Business Processes to be implemented or updated. • Safety Management system documentation to be implemented or updated. • What CRM records will be generated, where they will be stored and for how long. • What frequency will repeatable CRM activities be performed.	☐ Yes ☐ No
Critical Risk Identification	Has the Materiality Criteria been defined?	☐ Yes ☐ No
	Does the Materiality Criteria; • Define Consequence levels, and, • Define which primary consequence types are in scope.	☐ Yes ☐ No
	Is there a Risk Assessment which list all Critical Risks?	☐ Yes ☐ No
	Does the Risk Assessment include the following; • Location, Organisation Type, Customer description, Services provided. • Workforce size, rosters, Workforce Type, DIDO, FIFO, • Equipment Fleet • Key Infrastructure • Management Structure / Organisational Chart	☐ Yes ☐ No

Element	Criteria	Finding
	• Objective Statement • Process Scope • Geographic Scope • Time Scope • Process changes • External Influences • Uncertainties • Risk Ownership • Assessment of Consequence without controls • Consequence scoring across all in scope consequence types	
	Have the Critical Risks been determined based on potential consequence without Controls?	☐ Yes ☐ No
Hazard Description	For each Critical Risk has a hazard description been created which defines at a minimum; • Background • Mechanism of release • Magnitude of the hazard • Uncertainties • Scope and Boundary • Potential consequences	☐ Yes ☐ No
Critical Risk Analysis	Is there a Risk Assessment for each Critical Risk?	☐ Yes ☐ No
	Does the Risk Assessment include the following; • Background • Mechanism of release • Magnitude of the hazard • Uncertainties • Scope and Boundary • Potential consequences • Process Scope • Geographic Scope • External Influences • Uncertainties • Description of the Unwanted event described as a Loss of Control of Energy • List of Causes • List of Consequences (Impacts • Preventative Controls • Mitigating Controls • Critical Controls	☐ Yes ☐ No
	Have Critical Control been identified within the Critical Risk Assessment?	☐ Yes ☐ No
	Is there 10 Critical Controls or less identified?	☐ Yes ☐ No
	For each Control is the following Criteria met; • The Control is either an Act, Object, or System. • The Control is specific to the Risk. • The Control statement is Specific, Measurable and Auditable. • The Control statement links to the supporting management system which ensures it's performance. • A Control Effectiveness Assessment has been performed.	☐ Yes ☐ No
	For each Critical Control is the following Criteria met; • It has identified using a set of selection criteria. • The selection Criteria considers the minimum threshold for Control Effectiveness Assessment. • The Failure Modes (Erosion Factors) have been identified.	☐ Yes ☐ No

Element	Criteria	Finding
	• Failure Prevention Strategies for each failure mode have been identified.	
Define Performance & Reporting	For Each Critical Control has a Performance Standard been created?	☐ Yes ☐ No
	Does the Performance Standard meet the following criteria; • Ownership defined. • Linked Critical Risks defined. • Criteria Statements for; Purpose / Objective, Functionality, Timing, Availability, Reliability, Survivability, Dependency, Redundancy • Performance Triggers • Verification Activities • Competency Requirements • Degradation / Failure Mechanisms: • Degradation / Failure Prevention Strategies: • Control Effectiveness Assessment: How effectiveness will be measured • Competency Requirements • Defines the management systems that ensure how the Criteria Statements will be met. • Defines the ownership for each criteria statement.	☐ Yes ☐ No
Critical Control Verification Program	Is there a Critical Control Verification Program in place?	☐ Yes ☐ No
	For Each Verification program has the following criteria been met; • Verification activities do not duplicate existing front-line Supervision checks. • It verifies against all the performance standard parameters. • It verifies against the full lifecycle of the control. • A statistically valid process has been applied to determine frequency and volume of verification activities. • The verification activities are specific, measurable, and auditable.	☐ Yes ☐ No
	The calculation to determine if a Critical Control Verification is acceptable or not has been defined	☐ Yes ☐ No
	Is evidence of verification required to be submitted when completing the verification	☐ Yes ☐ No
	Is each completed verification peer reviewed?	☐ Yes ☐ No
	Are actions raised for each verification which identifies improvement opportunities?	☐ Yes ☐ No
Accountabilities	The CRM process clearly defines the names, roles and responsibilities of; • Risk Owner • Critical Control Owner • Critical Control Verifier	☐ Yes ☐ No
	Risk Owners, Critical Control Owners and Critical Control Verifiers clearly understand their CRM responsibilities.	☐ Yes ☐ No
Implementation	Does the Change Management process prompt for changes which could impact on a Critical Risk or Critical Control?	☐ Yes ☐ No
	Is there a document that describes the full CRM process?	☐ Yes ☐ No
	Is CRM training provided to each stakeholder group?	☐ Yes ☐ No
	Are frontline workers aware of Critical Risks and Critical Controls for each task they are about to perform?	☐ Yes ☐ No
	Does Safety Management System documentation include information on Critical Risk and Critical Controls	☐ Yes ☐ No
	Is the whole of site Critical Risk Assessment reviewed on an annual basis?	☐ Yes ☐ No

Element	Criteria	Finding
	Have timeframes for review of Risk Assessments for specific Critical Risks been defined, are these timeframes being met?	☐ Yes ☐ No
Verification and Reporting	Have the CRM reporting requirements been defined? Are these requirements been met?	☐ Yes ☐ No
	Are the outcomes of Critical Control Verifications reviewed within 48 hours or less?	☐ Yes ☐ No
	Is there reporting on the Critical Control Verification Process?	☐ Yes ☐ No
	Is the Risk Owner and Critical Control owner made aware of any failures of a critical Control within 24 hours or less	☐ Yes ☐ No
	Have CRM process metrics been developed?	☐ Yes ☐ No
Response to Inadequate Performance	Are all failures of a Critical Control reported as an Incident?	☐ Yes ☐ No
	Are all failures of a Critical Control Investigated?	☐ Yes ☐ No
	Does the detailed investigation process consider Critical Controls?	☐ Yes ☐ No
	Are the following documents reviewed and updated following Critical Control failure investigations; • Risk Assessment for the specific Critical Risk • Critical Control Performance Standard • Critical Control Verification Strategies	☐ Yes ☐ No