



Internal audit checklist

Last updated: Jun 2022

This checklist is to be used by water industry entities.

It should be used when completing an annual internal audit of compliance with their safety, reliability, maintenance and technical management plan.

Contact details			
Water industry entity			
Contact name		Phone	
Contact title		Email	
1. Introduction			Comments
a)	Has there been any changes to: <ul style="list-style-type: none"> the responsible person for the SRMTMP the organisational chart roles and responsibilities for the key positions? 	Yes	No
2. Description of the operation			Comments
a)	Do the assets summary and the high level descriptions including system/scheme list reflect your current infrastructure?	Yes	No
b)	Has updated operational information been included in the SRMTMP?	Yes	No
c)	Who is responsible for operations?	Name	
		Phone	
		Email	
3. Operational safety and reliability			Comments
a)	Leadership and commitment Has there been any changes to: <ul style="list-style-type: none"> the person who is responsible for water and/or sewerage infrastructure safety WHS policy statement employee selection, competency and training commitment contractor and end-user training commitment? 	Yes	No
b)	Effective planning Has there been any changes to: <ul style="list-style-type: none"> design management approach design life of plant in line with nominated standards or otherwise safety in design requirements adopted procurement systems and processes? 	Yes	No

Internal audit checklist

c)	Controlled implementation Has there been any changes to: <ul style="list-style-type: none"> • construction and commissioning management systems • safe operational procedures • maintenance and reliability considerations • decommissioning, demolition and abandonment/ disposal • emergency response management? 	Yes	No	
d)	Monitoring and evaluation Has there been any changes to: <ul style="list-style-type: none"> • incident management, including classification, reporting and investigation • document management system • reporting requirements? 	Yes	No	
e)	Audit and review Has there been any changes to auditing processes, reviews and responsibilities (including, but not limited to, long-term evaluation plans)?	Yes	No	

4. Formal safety and reliability assessment			Comments	
	Has there been any changes to the: <ul style="list-style-type: none"> • hazard identification and rating system • risk response mitigation and controls • risk assessment principles and guidelines? 	Yes	No	

5. Asset management			Comments	
	Has there been any changes to the: <ul style="list-style-type: none"> • asset management system • operations and maintenance strategies • maintenance program? 	Yes	No	

6. Contract management			Comments	
	Has there been any changes to the: <ul style="list-style-type: none"> • contract management system • contract assessment process • contractor management - that is, CMS? 	Yes	No	

7. Customer/public protocols and agreements			Comments	
	Has there been any changes to the: <ul style="list-style-type: none"> • stakeholder communication protocols • public communication protocols • education and notices related to recycled water • supply agreements - statement and/or list of recipients • register of customer contact - issues raised, identified and the response? 	Yes	No	

8. Compliance monitoring			Comments	
	Has there been any changes to the: <ul style="list-style-type: none"> • performance monitoring and compliance structure • KPI measurement and reporting processes • periodic operations audits / water quality monitoring and compliance • corrective actions and continuous improvement strategies? 	Yes	No	

Internal audit checklist

9. Emergency response and incident reporting		Comments
<p>Were there any emergencies or incidents in the 21/22 financial year that meet the OTR water and sewerage incident notification and communication protocol?</p> <p>If yes;</p> <ul style="list-style-type: none"> • How many? • Were any of the incidents caused by a recurring issue? • In the case of any recurring incidents, what remedial/corrective action was undertaken? 	<p>Yes No</p>	

10. Consideration of previous audit report and approval letter		Comments
<p>Have you completed all requirements and considered all recommendations included in your most recent approval letter and audit report?</p>	<p>Yes No</p>	

11. Performance reporting	Wastewater	Drinking water	Non-drinking water	Comments
km of main				
Number of residential connections				
Number of non-residential connections				
Total number of sewerage mains breaks and chokes				
Total number of water main breaks				
Number of complaints				
Total number of planned interruptions				
Total number of unplanned interruptions				
Volume of water supplied residential customers (ML)				
Volume of water supplied non-residential customers (ML)				
Annual volume of wastewater treated (ML)				

Submission

Once completed, this form should be submitted via email to:
DEM.OTRWSInfrastructure@sa.gov.au