Office of the Technical Regulator

Internal Audit Checklist
Safety, reliability, maintenance and technical management plans

To be used by water industry entities when completing an annual internal audit of compliance with their safety, reliability, maintenance and technical management plan.

Company				Date	

1. Introduction	Yes	No	N/A	Comments
Is the Safety, reliability, maintenance and technical management plan (SRMTMP) effective and functional?				
Has the purpose of the SRMTMP changed?				
Have the scope and objectives changed?				
Is the responsible person for the SRMTMP still current?				
Is the Organisational Chart up to date?				
Have any roles and responsibilities for key position/s changed?				
Is the communication strategy for the plan still current?				
Are relevant legislation, codes and standards listed?				
Are the major approvals and licences listed?				

2. Description of the Operation	Yes	No	N/A	Comments
Do the assets summary and the high level descriptions including system / scheme list reflect your current infrastructure?				
Is there additional asset design and operational information?				
Who is responsible for operations?				

3. Operational Safety and Reliability	Yes	No	N/A	Comments
Leadership and Commitment – Has there been any changes to: • Person responsible for water and/or sewerage infrastructure safety • WHS Policy statement • Employee selection, competency and training commitment • Contractor and end user training commitment				
Effective Planning– Has there been any changes to: • Design management approach • Design life of plant in line with nominated standards or otherwise • Safety in design requirements adopted • Procurement systems and processes				
Controlled Implementation– Has there been any changes to: • Construction and commissioning management systems • Safe operational procedures • Maintenance and reliability considerations • Decommissioning, demolition and abandonment/disposal • Emergency response management				
Monitoring and Evaluation– Has there been any changes to:				

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• Incident management, incl. classification, reporting and investigation • Document management system • Reporting requirements				
Audit and Review– Has there been any changes to: • Auditing processes, reviews, and responsibilities, including but not limited to long term evaluation plans				
4. Formal Safety and Reliability Assessment	**Yes**	**No**	**N/A**	**Comments**
Has there been any changes to: • Hazard identification and rating system • Risk response mitigation and controls • Risk Assessment principles and guidelines				
5. Asset Management	**Yes**	**No**	**N/A**	**Comments**
Has there been any changes to: • Asset management system • Change management system • Operations and maintenance strategies • Maintenance program				
6. Contract Management	**Yes**	**No**	**N/A**	**Comments**
Has there been any changes to: • Contract management system • Contract assessment processes • Contractor Management, i.e. CMS				
7. Customer / Public Protocols and Agreements	**Yes**	**No**	**N/A**	**Comments**
Has there been any changes to: • 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, response				
8. Compliance Monitoring	**Yes**	**No**	**N/A**	**Comments**
Has there been any changes to: • Performance monitoring and compliance structure • KPI measurement and reporting processes • Periodic operations audits/ Water quality monitoring and compliance • Corrective actions and continuous improvement strategies				

Emergency Response and Incident Reporting	**Yes**	**No**	**N/A**	**Comments**
Were there any emergencies / incidents? If yes, • How many? • Were the incident/s reported in accordance with OTR requirements? • Were the incident/s investigated (internally/externally)?				

UPDATE OF SRMTMP	**Yes**	**No**	**N/A**	**Comments**
Has the version table in the SRMTMP been updated and all changes noted?				
Has the updated version of the SRMTMP been provided to the OTR for approval?				

- End of Checklist -

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