Safety, reliability, maintenance and technical management plans

Office of the Technical Regulator

> **Internal audit checklist**

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)	Is the Safety, Reliability, Maintenance and Technical Management Plan (SRMTMP) effective and functional?	Yes	No	
b)	Has the purpose of the SRMTMP changed?	Yes	No	
c)	Have the scope and objectives changed?	Yes	No	
d)	Is the responsible person for the SRMTMP still current?	Yes	No	
e)	Is the organisational chart up to date?	Yes	No	
f)	Have any roles and responsibilities for the key position(s) changed?	Yes	No	
g)	Is the communication strategy for the plan still current?	Yes	No	
h)	Are relevant legislation, codes and standards listed?	Yes	No	
i)	Are the major approvals and licenses listed?	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)	Is there additional asset design and operational information?	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: • 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	

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b)	**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?	Yes No	
c)	**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?	Yes No	
d)	**Monitoring and evaluation** Has there been any changes to: • 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: • 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: • asset management system • change management system • operations and maintenance strategies • maintenance program?	Yes No	
6. Contract management			Comments
	Has there been any changes to the: • 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: • 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	

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8. Compliance monitoring			Comments
Has there been any changes to the: • 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	
9. Emergency response and incident reporting			Comments
Were there any emergencies or incidents? If yes; • How many? • Were the incident(s) reported in accordance with the OTR requirements? • Were the incident(s) investigated (internally/ externally)?	Yes	No	
10. Update of the SRMTMP			Comments
a) Has the version table in the SRMTMP been updated and all changes noted?	Yes	No	
b) Has the updated version of the SRMTMP been provided to the OTR for approval?	Yes	No	

Submission

This form should be submitted via email to DEM.OTRWSInfrastructure@sa.gov.au