# Purpose

The purpose of this standard is to provide a Wannon Water framework and guidance for the management of **Audits** to provide valuable information on those aspects of the system that may be ineffective, identify opportunities for improvement, reduce our risks to human health, the environment and drinking water, as far as reasonably practicable, and ensure compliance with legislative obligations.

Audits and inspections of our Zero Harm (Integrated) Management System (**IMS**) play a critical role in ensuring that our processes continue to be suitable, adequate and effective, and that our IMS effectively manages to prevent any adverse impacts on our Strategic Direction and continues to support our Zero Harm aspiration.

# Scope

This framework applies to:

* All employees, **Contractors** or other persons (e.g., volunteers) engaged in our activies who are under our direct supervision.

**Out of Scope:**

* When a principal contractor has been granted formal possession of a site whilst carrying out contracted work.

# Standard requirements

| **Requirements** | **Responsibility** | **Accountability** |
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| An audit and inspection[[1]](#footnote-2) program must be in place to assess and inform the:   * Effectiveness of controls to manage our risks * Suitability, adequacy and effectiveness of our IMS to support our strategic direction and objectives * Compliance of our IMS and supporting procedures and processes to meet the requirements of applicable legislation and obligations. | **Executive People & Resilience** | GM People & Business Services |
| The audit program must examine at a minimum; elements of our IMS that are subject to audit by applicable legislation and obligations - using a risk-based approach, focusing audits on:   * Controls with the biggest impact on managing our highest risks * Systems processes or procedures with the biggest impact in supporting our strategic direction and objectives; or opportunity for improvement to deliver efficiencies. | **Executive People & Resilience** | GM People & Business Services |
| The audit program must be adaptable with additional targeted audits scheduled where required (e.g. in response to an incident or change to a business process). | **Executive People & Resilience** | GM People & Business Services |
| The audit program must include the ability to perform the program with **Auditors** who are objective and impartial. | **Executive People & Resilience** | GM People & Business Services |
| Audits must be conducted and managed as per the [*Audit Program Procedure*](https://wannonwater.sharepoint.com/:w:/r/sites/cdms/Published%20Documents/Audit%20Program%20Procedure.docx?d=wf5e6c89f04c3419cb30b7dc3fcca9174&csf=1&web=1&e=rugO7W). | **Executive People & Resilience** | GM People & Business Services |
| The Audit program must take into consideration audit:   * Frequency * Types and methods (e.g. self-inspection checklists, internal audits, external regulatory audit) * Responsibilities and resources * Stakeholder engagement throughout the audit lifecycle * Planning and reporting requirements. | **Executive People & Resilience** | GM People & Business Services |
| Annual audit plans must be developed and documented in accordance with requirements described within the [*Audit Program Procedure*](https://wannonwater.sharepoint.com/:w:/r/sites/cdms/Published%20Documents/Audit%20Program%20Procedure.docx?d=wf5e6c89f04c3419cb30b7dc3fcca9174&csf=1&web=1&e=rugO7W) and completed in accordance with the defined schedules. | **Executive People & Resilience** | GM People & Business Services |
| Audit objectives, scopes / criteria and reports must be developed, endorsed and approved in accordance with the [*Audit Program Procedure*](https://wannonwater.sharepoint.com/:w:/r/sites/cdms/Published%20Documents/Audit%20Program%20Procedure.docx?d=wf5e6c89f04c3419cb30b7dc3fcca9174&csf=1&web=1&e=rugO7W). | **Executive People & Resilience** | GM People & Business Services |
| The audit program must be periodically reviewed and maintained to ensure effectiveness and compliance with requirements in applicable obligations. | **Executive People & Resilience** | GM People & Business Services |
| Audit results must be documented and communicated to management, stakeholders and personnel responsible for the system/process being audited. | **Executive People & Resilience** | GM People & Business Services |
| Audit results and outcomes must be reviewed and recommendations considered for further action or escalated based on their level of impact on risk and benefit to the business. | **Executive People & Resilience** | GM People & Business Services |
| Audit records, including but not limited to, schedules, scopes, plans and reports must be kept and maintained. | **Executive People & Resilience** | GM People & Business Services |
| Auditors must be suitably trained and have the necessary competence to conduct audits to the required standard as per the [*Audit Program Procedure*](https://wannonwater.sharepoint.com/:w:/r/sites/cdms/Published%20Documents/Audit%20Program%20Procedure.docx?d=wf5e6c89f04c3419cb30b7dc3fcca9174&csf=1&web=1&e=rugO7W) and the *Training, Competency & Awareness Procedure***[[2]](#footnote-3)**. | **Executive People & Resilience** | GM People & Business Services |
| Raise a Hazard Report where there is a concern that the Audit program is not meeting the requirements of this standard. | **Executive People & Resilience** | GM People & Business Services |

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# Training, Competence, and Awareness

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| **Standards** | **Responsibility** | **Accountability** |
| All managers with Responsibilities & Accountabilities within this document must be made aware of this Standard. | Executive People & Resilience | GM People & Business Services |

# Monitoring

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| --- | --- | --- |
| **Standards** | **Responsibility** | **Accountability** |
| Compliance with and effectiveness of this standard  must be verified at least every four years by including periodic audits in the Audit Program. | Executive People & Resilience | GM People & Business Services |
| All records required by this standard must be maintained in our records management systems –(e.g. **CM, RiskWare** ). | Information Services Manager | Chief Information Officer |

# Definitions

| **Term** | **Means** |
| --- | --- |
| Accountability | The nominated General Manager who will approve any capital/operating expense requests (within the Instrument of Delegation) and any material changes to current work practices to meet requirements of the Standard. While there is one nominated General Manager it is noted that the Executive are collectively accountable for the Standard. |
| Audit | Systematic, independent, and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled |
| Auditors & Audit teams | Person(s) with the demonstrated personal attributes and competence to conduct an audit |
| BM | Branch Manager |
| CM | Content Manager |
| Contractor | A person or company engaged to provide materials or work (construction, maintenance, service, supply or operation) on a particular project or activity. This includes:   * Consultant- A person or company that provides professional expert advice * Supplier   Labour Hire Company Performs outsources work on a temporary basis, under the direction and control of Wannon Water. |
| GM | General Manager |
| IMS | Zero Harm (Integrated) Management System |
| Inspection | Typically, targeted and recurring checks performed as Business-as-Usual Activity to verify compliance with key Wannon Water standards and specifications |
| RiskWare | Wannon Water’s Risk Management Software Application. |
| Responsibility | The nominated person who is responsible for ensuring there is a system in place to meet a requirement (title in bold) and those who are responsible for delivering a task to an acceptable level of performance. All responsible person(s) must be of Branch Manager level or equivalent. |

# Governance

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| **Parent policy/standard** | [Zero Harm Policy](https://wannonwater.sharepoint.com/:w:/r/sites/cdms/Published%20Documents/Zero%20Harm%20Policy.DOCX?d=w28a88858bc424da988df5d4ce744b530&csf=1&web=1&e=0fQgOy) |
| Associated procedures/standards | * [Audit Program Procedure](https://wannonwater.sharepoint.com/:w:/r/sites/cdms/Published%20Documents/Audit%20Program%20Procedure.docx?d=wf5e6c89f04c3419cb30b7dc3fcca9174&csf=1&web=1&e=rugO7W) * [Audit and Risk Management Committee Charter](https://wannonwater.sharepoint.com/:w:/r/sites/cdms/Published%20Documents/Audit%20and%20Risk%20Management%20Committee%20Charter.DOCX?d=wcd990671aad54109805e6b38651e53c7&csf=1&web=1&e=zJBuyg) * [Internal Audit Charter and Procedure](https://wannonwater.sharepoint.com/:w:/r/sites/cdms/Published%20Documents/Internal%20Audit%20Charter%20and%20Procedure.DOCX?d=wa04dbc1ceb7d44f1bba1ff11b4f9279c&csf=1&web=1&e=CBafGT) * [Hazard Reporting Procedure](https://wannonwater.sharepoint.com/:w:/r/sites/cdms/Published%20Documents/Hazard%20Reporting%20Procedure.DOCX?d=w904e88d68b3b409ab8920915600f1c91&csf=1&web=1&e=PFbH52) * [Training, Competency & Awareness Procedure](https://wannonwater.sharepoint.com/:w:/r/sites/cdms/Published%20Documents/Training,%20Competency%20%26%20Awareness%20Procedure.docx?d=w3d9e5607401f436d93f0f8043bfde971&csf=1&web=1&e=BTEYoB) |
| **Legislation mandating compliance** | * *Occupational Health & Safety Act 2004* (Vic) * *Occupational Health & Safety Regulations* 2017 (Vic) * *Environmental Protection Act 2017* (Vic) * *Environmental Protection Regulations 2021* (Vic) * *Safe Drinking Water Act 2003* (Vic) * *Safe Drinking Water Regulations 2015* (Vic) * *Dangerous Goods Act 1985* (Vic) * *Dangerous Goods (Storage and Handling) Regulations 2022* (Vic) * ISO 14001: Environmental Management Systems * ISO 45001: Occupational Health and Safety Management Systems * Codex Alimentarius Alinorm 97/13A (HACCP based Drinking Water Quality Management System) * ISO 31000: Risk Management * ISO19011: Guidelines for Auditing Management Systems * ISO 9001: Quality Management Systems – Requirements * Australian Drinking Water Guidelines 2011 |
| **Approval** | General Manager People & Business Services |
| **Owner** | General Manager People & Business Services |
| **Content enquiries** | Management Systems & Assurance Officer |

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# Document version history

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| --- | --- |
| Version | Changes made to document |
| 1 | New document created as part of the new IMS Standard Framework |

1. Inspection activities are created in alignment with the audit program and are also designed to verify key control effectiveness for the management of our highest risks. Details on inspection activities can be found within our Operational (Enterprise) risks. [↑](#footnote-ref-2)
2. The *Training, Competency & Awareness Procedure* is still under development. Please liaise with the Organisational Development Lead in the interim. [↑](#footnote-ref-3)