**Application for WIC Act Audit Services Panel – Form B – Auditor**

# About this document

Use this form to apply for nomination as an auditor employed by a Panel Member to the *Water Industry Competition Act (2006)* (WIC Act) Audit Services Panel. You must attach all supporting documentation as indicated in this form.

A detailed response to this application form must be submitted separately for each auditor employed by the Panel Member.

We have prepared a *WIC Act Audit Services Panel Guide* to help you complete this form. You can access this guide on our website. You can find information on the WIC Act and requirements for applicants, as well as on how to apply and the application process here. For more information, email the Director, Regulation and Compliance at wica@ipart.nsw.gov.au.

# Meaning of icons and shading in this form

Icons

 Instructions to complete this form.

 A document or supporting evidence to be provided with the application.

 Important information to help you complete the application.

 The legislative instrument or administrative reason(s) for the question.

Shading

Blue shaded questions must be completed by all applicants.

Amber shaded questions must only be completed if relevant to the application.

# How to complete this application form

1. Provide a response to all required questions.

2. Where an attachment is required, provide the complete file name for the attachment in the file name field in this form (include in the file name, question number to which the file relates, and the document extension). If the attachment is included as part of a larger document, specify the relevant location in that document (e.g. page number) in the location field of this form.

3. Review the completed application form and supporting documentation to ensure that they are concise, complete, relevant and accurate.

## Applicant details

1. Who is applying for nomination as an auditor?
* If your application is successful, the information in this question will be publicly available on the Audit Services Panel, WILMA[[1]](#footnote-1) portal and the IPART website.
* Auditor’s membership of the Audit Services Panel is attached to their employment with the Panel Member.

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| --- | --- |
| First name: | Click here to enter text. |
| Last name: | Click here to enter text. |
| Job title: | Click here to enter text. |
| Name of employer (Panel Member) | Click here to enter text. |
| Postal address: | Click here to enter text. |
| Contact number: | Click here to enter text. |
| Email address: | Click here to enter text. |

1. What is the auditor’s professional background?
* Provide an overview of current and/or previous employment, as it is relevant to the water industry.
* Auditors must have a minimum of 5 years experience in the water industry.

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| --- | --- |
| Provide an overview of your relevant current and/or previous employment: | Click here to enter text. |

Attachments

* Attach your CV.

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| --- | --- |
| Auditor CV: | s |

1. What are your qualifications?
* IPART requires auditors to demonstrate they have a degree or diploma recognised in Australia in a field that contributes to the development of knowledge and skills for auditing in the water industry.
* List your qualifications and training.
* Add more lines, if required.

| Qualification | Year awarded | Name of institution |
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Attachment

* Attach your academic qualifications showing the qualification, year awarded and name of institution.

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| --- | --- |
| Academic qualification(s): | Click to enter name of document (and location if it is in a larger document) |

1. What auditor training and certification do you have?
* Provide information about auditor training and/or certification.
* IPART requires auditors to demonstrate audit knowledge and skills using a combination of the following (Questions 4 and 5):
* Recognised generic auditor training or auditor observed to be competent by a certified skill examiner or person with the appropriate competencies to assess. This would be evidenced by a by a Certificate of achievement, or Certificate IV Workplace Training and Assessment, Exemplar Global SE assessment, or similar.
* At least 5 audits or 100 hours of audit experience in the last 5 years in the water industry, as an auditor or acquired under the supervision of an auditor documented in an audit log.
* Experience in water industry technical or professional position involving exercise of judgement, decision making, establishing or reviewing risk management systems and problem solving.
* Add more lines, if required.

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| --- | --- | --- |
| Audit training and/or certification | Date | Name of organisation |
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Attachment

* Attach your auditor training showing the certification, date and name of awarding organisation.

|  |  |
| --- | --- |
| Auditor training and/or certification(s): | Click to enter name of document (and location if it is in a larger document) |

* Check the appropriate box and respond accordingly.
* An audit team leader should have acquired additional audit experience to develop the knowledge and skills to lead audit teams (this question 4 and next question 5). Lead auditor training should be complemented with working under the direction and guidance of a different audit team leader.

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| --- | --- |
| [ ]  | I **do not have** training and/or certification, and experience leading audit teams.🡪 *Go to the next question – 5. What experience do you have with audits?* |
| [ ]  | I **have** training and/or certification, and experience leading audit teams.🡫 *Provide details below. And in question 5, provide experience as a lead auditor.* |

* Provide information about lead auditor training and/or certification.
* The audit log (Question 5) should show at least two audits conducted as Lead Auditor in the last 5 years.
* Add more lines, if required.

|  |  |  |
| --- | --- | --- |
| Lead auditor training and/or certification | Date | Name of organisation |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |

Attachment

* Attach your lead auditor training showing the certification, date and name of awarding organisation.

|  |  |
| --- | --- |
| Lead auditor training and/or certification(s): | Click to enter name of document (and location if it is in a larger document) |

1. What experience do you have with audits?
* We require auditors to assess operational compliance with approved plans, processes, procedures, licence and approval conditions, including relevant licence conditions prescribed in the *Water Industry Competition (General) Regulation* 2008 (WIC Regulation).
* Auditors must summarise their previous skills and experience relevant to regulatory compliance audits. Typical examples include work done within the water, environment or sustainability industries or with planning post-approval requirements audits.

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| --- | --- |
| Describe your skills and experience with regulatory compliance audits: | Click here to enter text.  |

Attachment

* Attach your audit log showing your audit experience.
* An audit log template is provided in Appendix A. However you may use a template provided by a certifying organisation or create your own audit log.
* If providing your own audit log, it must outline the audit type, role performed (e.g. auditor, lead auditor), project referees’ contact details (client/business name and contact details), a brief audit summary, the time period of the engagement (e.g. date or period it was conducted) and time spent conducting the audit.

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| --- | --- |
| Audit Log: | Click to enter name of document (and location if it is in a larger document) |

Water industry compliance knowledge and experience

1. What experience do you have with water industry compliance?
* List trainings, workshops, conferences, working groups, previous water industry audits or forums attended relevant to compliance in the water industry.
* Add more lines, if required.

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| --- | --- | --- |
| Training or workshop name | Date attended | Name of organisation |
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Attachment

* Attach certificates of related training, if avaliable.

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| Water industry compliance related training certificate(s), if available: |  |

Additional specialist auditor categories

* Specialist auditors are auditors who have been approved by IPART as suitably qualified to conduct audits of new infrastructure and licence plans for schemes licensed under the WIC Act prior to commencing commercial operation.
* Commercial operation approval can only be given if a report, prepared by an approved auditor, indicates that the water or sewerage infrastructure is capable of operating safely and in accordance with its infrastructure operating plan and its water quality or sewage management plan, as the case requires.
* See *WIC Act Audit Services Panel Guide* for more details.
* Check the appropriate box and respond accordingly.

|  |  |
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| [ ]  | I **do not have** adequate experience or training to be included as a specialist auditor on the panel.🡪 *Go to the next section – Declaration.* |
| [ ]  | I **have** adequate experience or training to be included as a specialist auditor on the panel.🡫 *Provide details below.* |

* Only complete the questions you have adequate competency for:
* Infrastructure performance category – question 7
* Drinking water quality category – question 8
* Recycled Quality category - Question 9
* Sewage Management category - Question 10.
1. What infrastructure performance / asset management audit experience do you have?
* Before commercial operation is granted, an auditor must be satisfied that the infrastructure complies with regulatory requirements, is capable of operating safely and operating in accordance with its licence plans.
* Before commercial operation is granted, an auditor must be satisified of the adequacy of the licensee’s infrastructure operating plan that indicates the arrangments that the licensee has made, or proposes to make in relation to: the design, construction, operation and maintenance of the infrastructure, including particulars as to the life-span of the infrastructure, the system redundancy built into the infrastructure and the arrangements for the renewal of the infrastructure; the continued safe and reliable performance of the infrastructure; the continuity of water supply and sewerage services; alternative water supplies and sewerage services when the infrastructure is inoperable; and the maintenance, monitoring and reporting of standards of service.
* Auditors should demonstrate a minimum of 4 asset management system audits, totalling not less than 20 days, as a member of an audit team. These audits must have occurred within the last 5 years from the date of application. This requirement must be evidenced in an audit log (See question 5).
* Provide the following details for project(s) where you have previously audited against the infrastructure performance and/or asset managment.
* Add more lines, if required.

| Project details | Date  | Contact |
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1. What drinking water audit experience do you have?
* Before commercial operation is granted an auditor must be satisfied of the adequacy of the licensee’s drinking water quality plan relating to the drinking water supplied from the infrastructure, in specifying how the 12 elements of the framework for the management of drinking water quality, as detailed in the *Australian Drinking Water Guidelines* (ADWG), have been addressed and will be implemented.
* Auditors should either be certified and an audit log provided that demonstrates 4 audits in the last 5 years. Or by demonstrating relevant ADWG related audit training and 20 days audit experience in the last 5 years within drinking water management consistent with the ADWG. This requirement must be evidenced in an audit log (See question 5).
* Provide the following details for project(s) where you have previously audited against the frameworks set out in, applied or used in theADWG.
* Add more lines, if required.

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| Project details | Date  | Contact |
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1. What recycled water audit experience do you have?
* Before commercial operation is granted an auditor must be satisfied of the adequacy of the licensee’s recycled water quality plan relating to the recycled water supplied from the infrastructure, in specifying how the 12 elements of the framework for the management of recycled water quality and use, as detailed in the *Australian Guidelines for Water Recycling* (AGWR), have been addressed and will be implemented and, having regard to those guidelines, the purposes for which the water may be used and the purposes for which the water may not be used.
* Auditors should either be certified and an audit log provided that demonstrates 4 audits in the last 5 years. Or by demonstrating relevant AGWR related audit training and 20 days audit experience in the last 5 yearswithin recycled water management consistent with the AGWR. This requirement must be evidenced in an audit log (See question 5).
* Provide the following details for project(s) where you have previously audited against the frameworks set out in, applied or used in the AGWR.
* Add more lines, if required.

| Project details | Date  | Contact |
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1. What sewage management audit experience do you have?
* Before commercial operation is granted an auditor must be satisfied of the adequacy of the licensee’s sewage management plan relating to the conveyance, treatment and disposal of sewage by means of the infrastructure, in indicating the manner in which health and ecological assessments will be undertaken and any concerns arising from any such assessment addressed, and the arrangements for the disposal of waste from the infrastructure.
* Auditors should demonstrate a minimum of 4 sewage management audits, totalling not less than 20 days, as a member of an audit team. These audits must have occurred within the last 5 years from the date of application. This requirement must be evidenced in an audit log (See question 5).
* Describe your previous experience or knowledge of sewage management, infrastructure (asset) information, sewage management plans, applying and auditing sewerage infrastructure (asset) management quality frameworks and improvement plans, and assessing sustainable application/disposal of treated effluent to land.
* Add more lines, if required.

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| Project details | Date  | Contact |
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Application checklist

1. Have you completed the application form and supporting documentation?
* Tick the box when you have completed the task beside it.

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| --- | --- |
| [ ]  | Have you completed all the relevant questions and attachments in *WIC Act Audit Services Panel Application - Form B – Auditor* for each auditor? |
| [ ]  | Are all the documents attached to your application relevant and listed in your application form? |

* Tick the box for the supporting documentation that is attached to the application.

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| [ ]  | Auditor’s CV (Question 2) |
| [ ]  | Academic qualifications (Question 3) |
| [ ]  | Auditor certifications/training (Question 4) |
| [ ]  | Audit log (Question 5) |
| [ ]  | Water industry compliance related training certificate(s) (Question 6) |

## Appendix A – Sample Audit Log

* Applicants are required to submit an audit log to demonstrate their experience.
* The contact details for the audited organisation must be independent and cannot have been a member of the audit team.
* Total time for audit should include both on-site time and off-site time spent on preparation, documentation, report writing etc.
* Add more lines, if required.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Date conducted | Role (e.g. lead auditor, solo auditor, or audit team member) | Name and contact information for the audit team leader (if different to applicant) | Number of people on audit team (only include audit lead and active auditors) | Audited organisation, address, and contact details. | Audit details | Standard(s) audited against, or audit criteria | Total time for audit in days |
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1. [WILMA](https://wilma.ipart.nsw.gov.au/) is the Water Industry Licensing Management Application. It is a web-based application which enables licensed network operators, retail suppliers and auditors to submit or access information relevant to their regulatory requirements or functions. [↑](#footnote-ref-1)