

### Purpose of the approved form

The *Public Health Regulation 2012* (the Regulation) requires an audit of compliance with the Risk Management Plan (Approved Form 1) and Regulation to be conducted every year. This audit report document is provided to assist the independent auditor in carrying out the audit.

The audit report is an approved form under clause 13O of the Regulation. It must be provided to the local government authority within 7 days of completion. Further guidance on how to carry out an audit is provided in the *NSW Guidelines for Legionella Control in Cooling Water Systems*, available at [www.health.nsw.gov.au/environment/legionellacontrol](http://www.health.nsw.gov.au/environment/legionellacontrol)

### Site and contact details

Provide the name, phone numbers (business hours, after hours and mobile numbers), email address, and postal address for each of the contact persons listed below.

Record	Details
Site address	
Cooling water system details (number of cooling towers, and unique identification number for each cooling tower)	
Local government authority (where this system is located)	
Occupier name and contact details (the person or entity who owns the system)	
Building manager name and contact details (the person who manages the system on behalf of the occupier)	
Competent person name and contact details (the person who signs the RMP)	
Duly qualified person name, employer and contact details (person managing the system on a day to day basis)	
Water treatment provider name and contact details (if different to duly qualified person)	
Water sampling contractor name and contact details (if different to duly qualified person)	
Mechanical services contractor name, employer and contact details (person who manages the system in aspects other than water treatment)	
Laboratory (name and NATA accreditation details)	

## Period covered by this audit

Record	Dates
Period being audited (12 month period)	to
Period covered by current RMP (up to 5 year period)	to

## Documentation identification and collection

Identify whether the following documents have been completed and provided for auditing. Documents are provided by the occupier or duly qualified person. Collect these documents in this step.

Documentation provided	Yes	No	N/A
Current valid RMP – 1 count			
Monthly report covering the following items – 12 counts <ul style="list-style-type: none"><li>• Inspection</li><li>• Maintenance (including servicing)</li><li>• Chemical analysis</li><li>• Microbial testing (for <i>Legionella</i> count and heterotrophic colony count)</li></ul>			
Records of actions required to be completed by the RMP during this audit period (for example, removal of a dead leg or replacement of a drift eliminator)			
Records of actions taken to address non-compliance identified by previous audit (including photographs and receipts as evidence of compliance)			
Records of any notifications made to the local government authority (for example, notification of a reportable test result)			
Records of enforcement action taken by a local government authority or NSW Health (for example, improvement notices and prohibition orders)			
Records of additional actions taken in order to comply with the RMP, authorised officer requirements, or for any other reason			

## Compliance with Risk Management Plan (RMP) and Regulation

Assess compliance with the RMP and Regulation in this step, based on documents collected in the previous step. Auditors should keep a record of documents (and elements of the RMP) that were checked during the audit using their own worksheets, which can be attached to this form.

Compliance demonstrated	Yes	No	N/A
Actions, control strategies and monitoring documented in the RMP (see "Maintenance plan" section) were completed			
Actions, control strategies and monitoring documented in the RMP (see "Maintenance plan" section) were completed, within the timeframe required by the RMP			
Actions required by the Regulation were completed:			
<ul style="list-style-type: none"> <li>Sampling and testing the cooling water system for <i>Legionella</i> count and heterotrophic colony count, every month – 12 counts</li> </ul>			
<ul style="list-style-type: none"> <li>Notifying the local government authority of a reportable test result, within 24 hours of receiving the result – compare date and time on laboratory test report with date and time that Approved Form 4 was received by local government authority</li> </ul>			
<ul style="list-style-type: none"> <li>Providing the local government authority with a certificate of RMP completion, within 7 days of receiving the document – recorded on Approved Form 1</li> </ul>			
<ul style="list-style-type: none"> <li>Providing the local government authority with a certificate of audit completion, within 7 days of receiving the document – recorded on previous Approved Form 2</li> </ul>			
<ul style="list-style-type: none"> <li>Preparing a monthly report of inspection, microbial testing, and chemical analysis, every month – 12 counts, recorded on Approved Form 3</li> </ul>			
Actions to address non-compliance identified by the previous audit were taken			

## Summary of non-compliance demonstrated by this audit

Assess compliance with the RMP and Regulation in this step, based on documents collected in the previous step. Auditors should keep a record of documents (and elements of the RMP) that were checked during the audit using their own worksheets, which can be attached to this form.

### List of non-compliance demonstrated by this audit

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*Attach documents, worksheets and photographs to support the audit findings after this page.*



## Declaration by independent auditor

*I declare that I have been approved by the Secretary of NSW Health to audit cooling water systems, and that I meet the independence requirements set out in the Regulation.*

<b>Name of independent auditor</b>	<b>Contact details (phone number, email, postal address)</b>
<b>Signature of independent auditor</b>	<b>Date</b>
<b>NSW Health auditor number</b>	<b>Employer (name of company or organisation)</b>

## Local government authority use

<b>Record</b>	<b>Details</b>
Date received	
Name and position of receiving officer	
Certificate of audit completion received within 7 days of completion (date of declaration above)	
Certificate of audit completion received within 2 months of end of this audit period	

Action taken (date and time):	
	Unique identification numbers confirmed
	Auditor number and current registration confirmed
	Register of cooling water systems updated
	Flagged for follow up
	Desktop (off site) follow up
	Site investigation and inspection
	Improvement notice issued
	Prohibition order issued