

INTERNAL AUDIT CHECKLIST CHANGE MANAGEMENT

Audit No. _____

Date: _____

Auditor(s): _____

Item	Compliance	Remarks
Are changes at OTML reviewed and implemented by authorised, competent personnel in a safe manner, and communicated to all those affected by the change?		
Are changes at OTML documented and registered, with records retained for the timeframe required by legislation?		
<p>Does the OTML management system address temporary or permanent changes to the following critical areas:</p> <ul style="list-style-type: none"> • Organisational changes • Plant and equipment • Buildings and infrastructure • Mine planning, pit layout and ground control • Hazardous substances • Document control and end user accessibility 		
Is consideration given to the risks associated with the introduction of new or modified technology or software?		
Does OTML's management system address the review of process design and control carried out on any OTML managed facility that has		

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been shut down for a period of six months or more?		
<p>Does OTML's management system identify the risks associated with changes to technical specifications in the following areas:</p> <ul style="list-style-type: none"> • Instrument transmitter, protective relay or limit switch • Electrical Specification Procedures • Instrument Specification Procedures • Purchasing specifications • Engineering specifications • Non-routine maintenance impacting on camp or production 		
<p>Are controls in place to address changes in relation to:</p> <ul style="list-style-type: none"> • Purchasing and acquisition • Vendor management • Purchasing record retention 		
Does OTML's management system identify, communicate and record any legal, regulatory or other obligatory changes, including OTML policy changes?		
Are changes associated with business planning identified, implemented and communicated at the appropriate level within the business?		

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Does OTML's change management system reflect the appropriate course of action and approval level necessary to authorise changes in an emergency situation?		
Are requirements for record retention and evidence documented?		
Are measures in place to ensure that OTML's change management system is audited and reviewed at the required frequency?		

Key:

Exceed	Requirements with this score exceed obligations. No corrective action required.
Action NA	
Compliant	Requirements with this score do not require corrective action. Opportunities for improvement should become a longer term goal once the quality system is established.
Low Priority	
Minor N/C	Requirements with this score require corrective action which should become a medium term priority. These are quick wins but you should focus on the major non-conformities first.
Medium	
Major N/C	Requirements with this score require corrective action which should become a high priority for rectification. These elements should be corrected by ensuring full implementation and documentation.
High Priority	
Major N/C	Requirements with this score require corrective action which must become an immediate priority. These elements must be corrected through process implementation and documentation.
Immediate	