Audit Protocols (OBRM Regulated Agencies)

Reporting protocols

A letter of agreement between the Director OBRM and an agency will establish the audit and reporting protocols required to progress the alignment of the agency’s prescribed burning program with ISO31000:2009 – Risk management: Principles and Guidelines.

On an agreed date each calendar year, OBRM, the appropriate agency representative (and other agency personnel as required) and the OBRM Auditor (Auditor) will meet to discuss and agree on an audit program proposed by the agency for the ensuing 12-month period.

As per the agreed program, the Auditor will conduct the audits with the appropriate agency representative and have full access to the agency’s records and personnel in relation to prescribed burning. The agency may at any time also request, through the Director OBRM, a review of any prescribed burning activity outside of, or in addition to, the agreed program. OBRM may initiate additional audits of the agency’s prescribed burning program as deemed necessary.

Any issues found by the Auditor shall be discussed with the agency representative at the audit to seek clarification and comment before those issues are finalised into the Auditor’s report.

The Auditor’s findings will then be documented in a report using the OBRM approved template. Each report shall have a unique identifier and each individual finding shall also have a unique identifier.

The agency agrees to follow the below procedure:

i. Within ten working days of the audit, the Auditor’s report on the identified findings is to be transmitted by the Auditor to the agency representative.

ii. Within ten working days of receiving the report, the agency representative will discuss the findings with the Auditor. If as a result of that discussion, the Auditor considers that no further action is required, the Auditor should mark the form closed, sign it and advise the representative by email that no further action is required. The Auditor will then send a copy of the form as now marked ‘closed’ to both the representative and the Director OBRM.

iii. In all other cases, within ten working days of the discussion with the Auditor regarding the Auditor’s report, the agency representative will provide a written response to the Auditor. If the response includes any actions to be taken to address the findings, the intended date of completion of those findings shall be included in the response.
iv. If, for reasons of extenuating circumstances, a longer period is required to provide a response, the agency’s representative shall seek the agreement of the Director OBRM to the extended period. The request can be either by email or by written correspondence.

v. The response of the agency representative to the Auditor’s report shall be sent to the Director OBRM with a copy to the Auditor.

vi. The Director OBRM shall, within five working days of receipt of the response from the agency representative, advise the representative whether the response is accepted in which case, unless there are findings in relation to the response still to be completed, the finding shall be deemed ‘closed’.

vii. The agency will actively monitor all outstanding findings to ensure that such findings are addressed within the agreed timeframes. If there are any items that become overdue, the agency representative shall advise the Director OBRM of the steps it will take to complete the finding.

viii. If the Director OBRM is dissatisfied with the response, the reasons for not accepting the response shall be advised to the agency representative and the Director OBRM shall, within five working days, arrange a meeting with the appropriate agency senior executive (or equivalent) for the purposes of seeking to resolve the issue.

ix. Should the meeting not find resolution, the Director OBRM shall specify in writing any actions required of the agency and shall transmit this, with a Show Cause Request, to the agency’s CEO (or equivalent).

x. The agency’s CEO (or equivalent) shall respond to the Show Cause Request within five working days.

Urgent Issues

Should the Auditor detect any issue which in their opinion is associated with any unacceptable threat to people, assets or economic activity, the Auditor shall immediately communicate this to the agency representative and the Director OBRM.

The agency’s CEO (or equivalent) and the Director OBRM shall, upon receiving this notification, discuss the issue directly and seek to agree on a course of action to resolve the issue. It remains open to the Director to withdraw their approval of any prescribed burning program if they think fit.