



WILMA

Water Industry
Licensing
Management
Application

AUDIT PROCESS MANUAL

Table of Contents

Review and Evaluation Process of Submitted Audit Case	3
Pre-operational Audit	3
WILMA Auditor to respond on requested Draft audit report process	3
WILMA Auditor to respond on requested Final audit report process	4
Compliance Audit	6
WILMA Auditor to respond on requested Submit an audit proposal process	6
WILMA Auditor to respond on requested Submit Draft Audit report process.....	10
WILMA Auditor to respond on requested Submit Final Audit report process	11

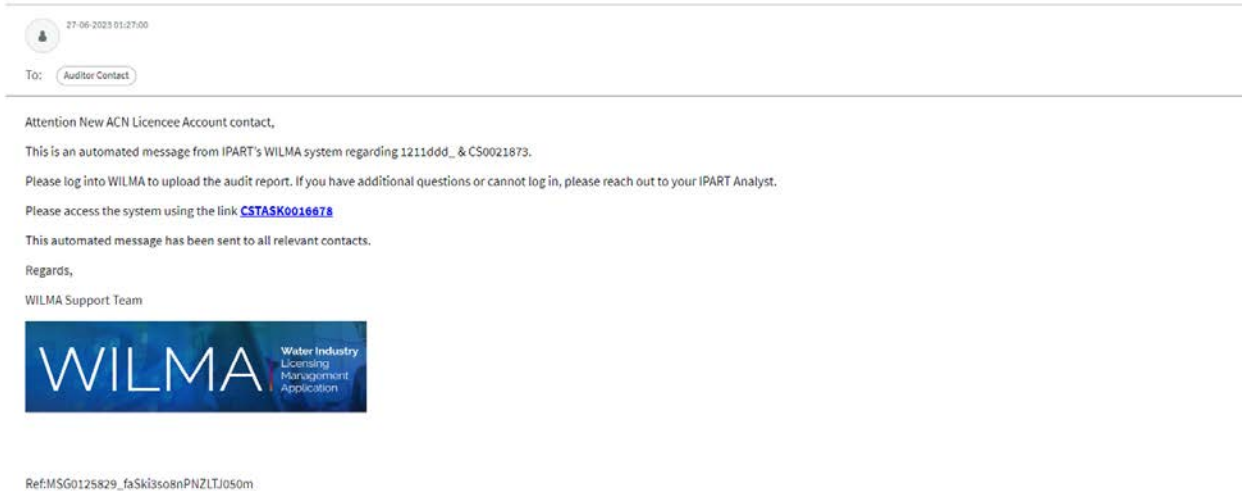
How to Review and Evaluate a Submitted Audit Case

Pre-operational Audit

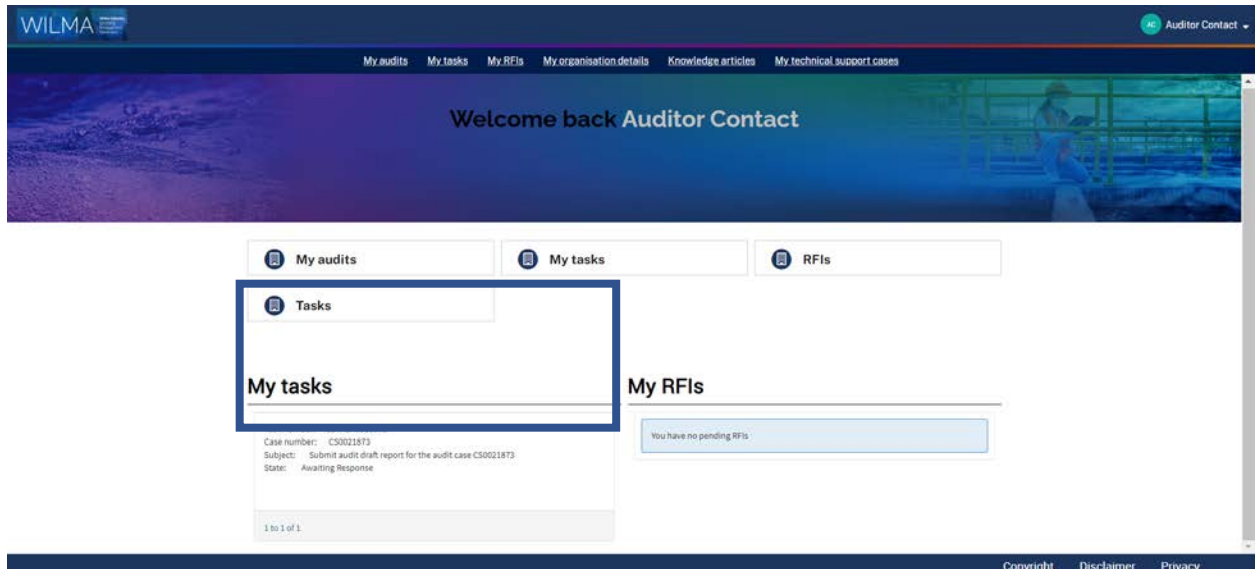
WILMA Auditor to respond on requested Draft audit report process

1. The system sends an email to the WILMA Auditor informing that a task has been assigned to them to submit the draft audit report for the audit case

A task CSTASK0016678 has been assigned to you to submit the draft audit report for the audit case CS0021873



2. The Wilma Auditor who receives the email notification should be able to access the task that was automatically assigned to them. The case is specifically assigned to the Primary Auditor designated in the Auditor company, which is determined based on the primary auditor specified in the Auditor company details.



- Once the WILMA Auditor access the task they should be able to respond on the task given to them by populating “Task Response” and uploading of the “Draft audit report” then once completed they can click on the “Submit” button on located on the lower part of the form

The screenshot shows the WILMA Auditor interface for task CSTASK0016678. The form includes fields for Task number (CSTASK0016678), State (Awaiting Response), Case Number (CS0021873), Case Type (Audits), Subject (Submit audit draft report for the audit case CS0021873), and Task Response. Below these is a 'Submitted Details' section with fields for Licence (1211868), Audit Type (Pre-operational audit), and Audit ID (A0002096). A 'Draft audit report' section is highlighted with a blue box, containing a 'Required - Upload' button. The bottom of the page has links for Copyright, Disclaimer, and Privacy.

- After the submission the state of the task will be changed to “Responded” and the field would be read only

The screenshot shows the WILMA Auditor interface for task CSTASK0016678 after submission. The State field is now 'Responded' and is highlighted with a blue box. The Task Response field now contains 'Draft Audit Report'. The 'Submitted Details' section remains the same. Below it, the 'Draft audit report' section shows 'Simple Gantt Chart1.xlsx' with 'Upload' and 'Delete' buttons. The bottom of the page has links for Copyright, Disclaimer, and Privacy.

WILMA Auditor to respond on requested Final audit report process

- The system sends an email to the WILMA Auditor informing for the submission of the audit report. WILMA Auditor should be able to receive an email with a subject of “Please submit the

audit report in WILMA”

Please submit the audit report in WILMA

27-06-2023 02:27:59

To: Auditor Contact

Attention New ACN Licence Account contact,

This is an automated message from IPART's WILMA system regarding 1211ddd_ & CS0021873.

Please log into WILMA to upload the audit report. If you have additional questions or cannot log in, please reach out to your IPART Analyst.

Please access the system using the link [CS0021873](#)

This automated message has been sent to all relevant contacts.

Regards,

WILMA Support Team



Ref:MSG0125835_9mANFNBQKeDj0urZbaUw

- The assigned Wilma Auditor should be able to access the task and respond to it

A screenshot of the WILMA Auditor interface. The top navigation bar includes "My audits", "My tasks", "My RFIs", "My organisation details", "Knowledge articles", and "My technical support cases". A banner reads "Welcome back Auditor Contact". Below this are buttons for "My audits", "My tasks", "RFIs", and "Tasks". The "My tasks" section is highlighted with a blue border and contains a task card with the following details: Task number: CSTASK0016679, Case number: CS0021873, Subject: Submit audit final report for the audit case CS0021873, State: Awaiting Response. The "My RFIs" section shows "You have no pending RFIs". The footer contains "Copyright", "Disclaimer", and "Privacy" links.

- Once the WILMA Auditor have opened the task they should be able to respond on the task given to them by populating “Task Response” and uploading of the “Final audit report” then once

completed they can click on the “Submit” button on located on the lower part of the form

The screenshot shows the WILMA Auditor interface for task CSTASK0016679. The form includes the following fields and options:

- Task number:** CSTASK0016679
- State:** Awaiting Response
- Case Number:** CS0021873
- Case type:** Audits
- Subject:** Submit audit final report for the audit case CS0021873
- Task Response:** (Empty text area)
- Submitted Details:**
 - Licence:** 1211666
 - Audit Type:** Pre-operational audit
 - Audit ID:** A0002066
 - Final audit report:** (Empty text area)
 - Buttons:** Required (with asterisk icon) and Upload
- Category:** (Empty dropdown)

Footer: Copyright Disclaimer Privacy

4. After the submission the state of the task will be changed to “Responded” and the field would be read only

This screenshot shows the same task form as above, but the state has changed to "Responded". The "State" dropdown menu is highlighted with a blue border, and the text "Responded" is visible. Additionally, the "Final audit report" field now contains the text "Test Letter.pdf" and has "Upload" and "Delete" buttons below it.

Footer: Copyright Disclaimer Privacy

Compliance Audit

WILMA Auditor to respond on requested Submit an audit proposal process

Once the nominated auditor for the compliance audit is accepted by the WILMA analyst, a system generated email will be sent to the WILMA Auditor informing that the nominated auditor details have

been accepted for the audit case

The nominated auditor details have been accepted for the audit case CS0021895

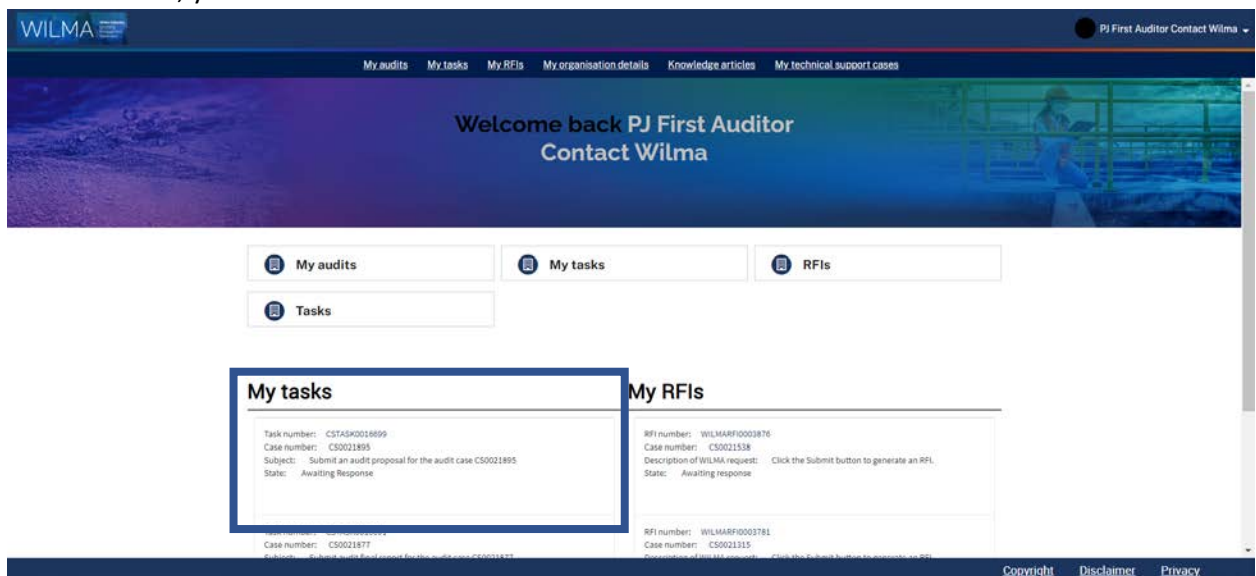
27-06-2023 17:35:17
To: PJ First Auditor Contact Wilma

Regards,
WILMA Support Team



Ref:MSG0126067_iVInbnGVzPUjTdwCWdX0

1. Once the WILMA Auditor has received the email that nominated auditor details have been accepted for the associated compliance audit. There will be a task that would be assigned to the WILMA Auditor with the subject "Submit an audit proposal for the audit case". The WILMA Auditor is able to access the task associated to them, you can locate the task at the bottom part of the portal on the "My tasks" section or by accessing the "My Tasks" option in the ribbon banner, you can click on the "Task number" associated on the case task



2. Once the WILMA Auditor had opened the task, majority of the fields on this task are on read-only state, and you can populate the "Task Response" and upload the required "Audit proposal" and "Primary auditor". You can also upload 3 optional files and choose their categories, it can be either *Audit proposal*, *Deed poll*, or *Licence plans*. Upon completion of the form you can choose the "Save" button the changes on the form or if you are done completing the required information you can choose the "Submit" button to proceed on the process.

Note: Here are the only file types that the system will accept: *xlsx*, *pdf*, *doc*, *xls*, *docx*

WILMA PI First Auditor Contact Wilma

My audits My tasks My RFIs My organisation details Knowledge articles My technical support cases

Task

Task number: CSTASK0016699 State: Awaiting Response

Case Number: CS0021895 Case type: Audit

Subject: Submit an audit proposal for the audit case CS0021895

Task Response:

Submitted Details

Licence number: 1211666

Audit Type: Compliance audit

Audit period start date:

Audit report due date:

Audit initiation letter: Test Letter.docx

Audit proposal

Upload file 1:

Upload file 2:

Upload file 3:

Attachments: Test Letter.docx

Copyright Disclaimer Privacy

- Once the form has been completed, the state of the task will be changed to “Responded” and all the fields were no on read-only state

The screenshot shows the WILMA web interface. At the top, there is a navigation bar with the WILMA logo and user information 'PJ First Auditor Contact Wilma'. Below this is a menu with options: 'My audits', 'My tasks', 'My RPIs', 'My organisation details', 'Knowledge articles', and 'My technical support cases'. The main content area displays a task form for 'CSTASK0016699'. The form is divided into sections: 'Task' (Task number: CSTASK0016699, State: Responded), 'Case Number' (CS0021895), 'Case type' (Audit), 'Subject' (Submit an audit proposal for the audit case CS0021895), and 'Task Response' (Audit proposal). Below this is a 'Submitted Details' section with fields for 'Licence number' (1211884), 'Audit Type' (Compliance audit), 'Audit period start date', and 'Audit period end date'. At the bottom right of the page, there are links for 'Copyright', 'Disclaimer', and 'Privacy'.

- After the submission of the Audit proposal task, the WILMA Auditor will receive an email confirming that the audit proposal has been submitted in WILMA

Your audit CS0021895 has been created in WILMA



Attention **New ACN Licencee Account** contact,

This is an automated message from IPART’s WILMA system regarding **1211ddd_ & CS0021895**

Your audit proposal regarding the above licence has been submitted in WILMA.

Please access the system using the link [CS0021895](#)

This automated message has only been sent to the Analyst assigned to the case.

Regards,

WILMA Support Team

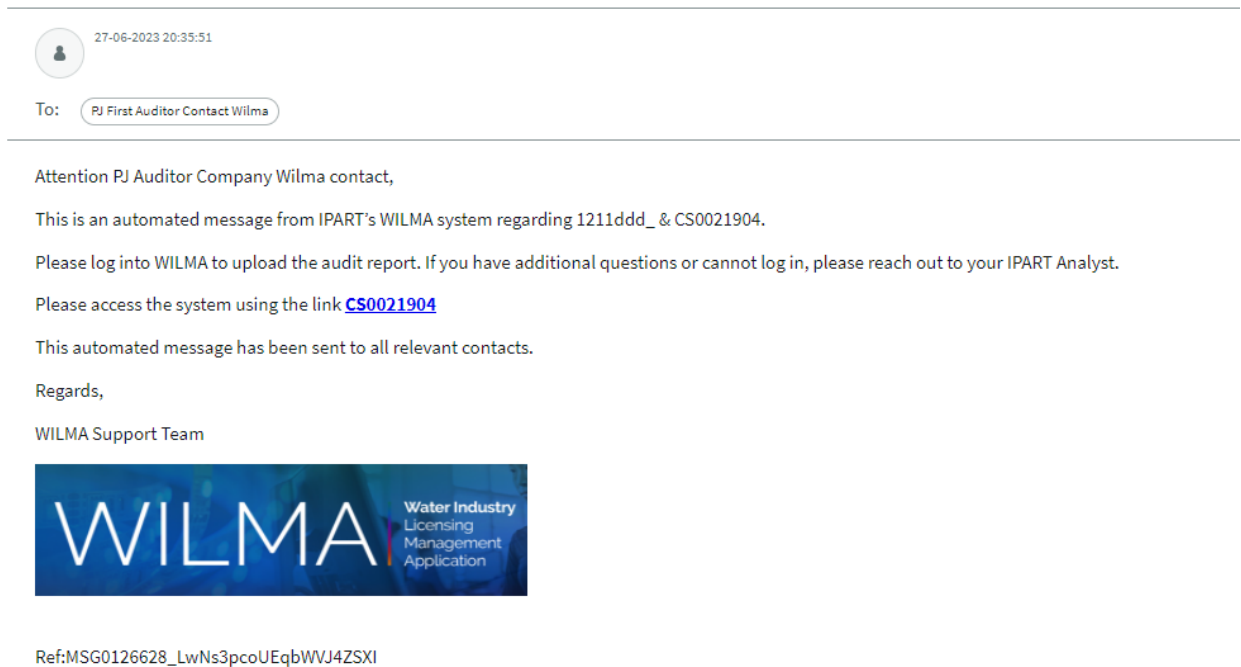


Ref:MSG0126072_oeSY5Rh9MQaKdx9SBP63

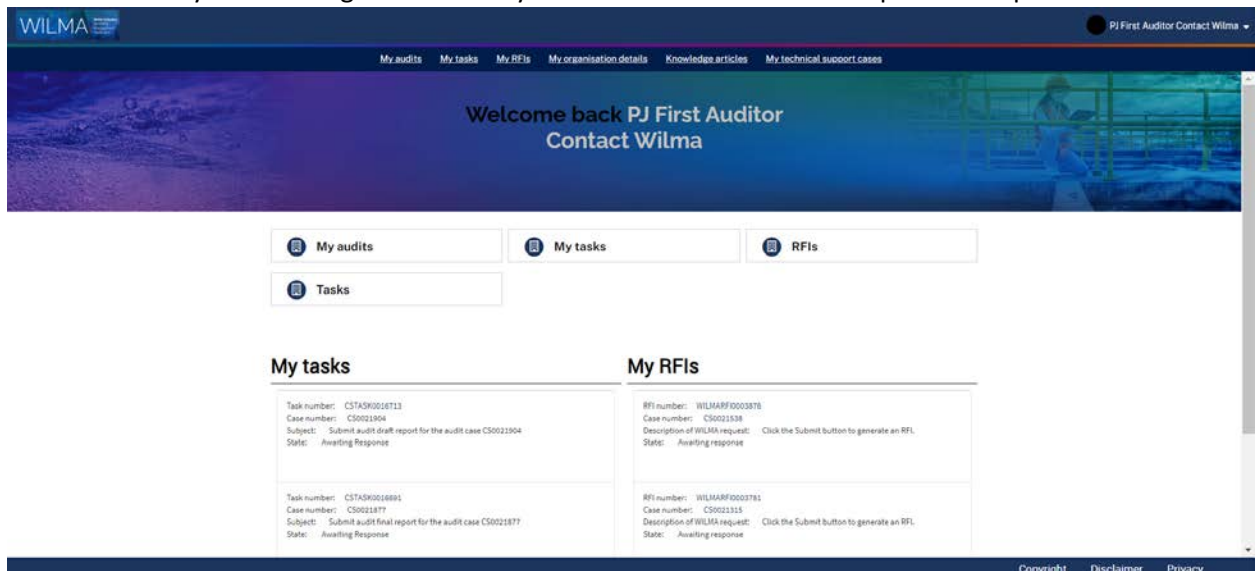
WILMA Auditor to respond on requested Submit Draft Audit report process

1. The WILMA Auditor will receive an email that informing to submit the audit report in WILMA

Please submit the audit report in WILMA



2. WILMA Auditor should have access to take action and send the required draft audit report, to access the task you can navigate to the “My tasks” section at the bottom part of the portal



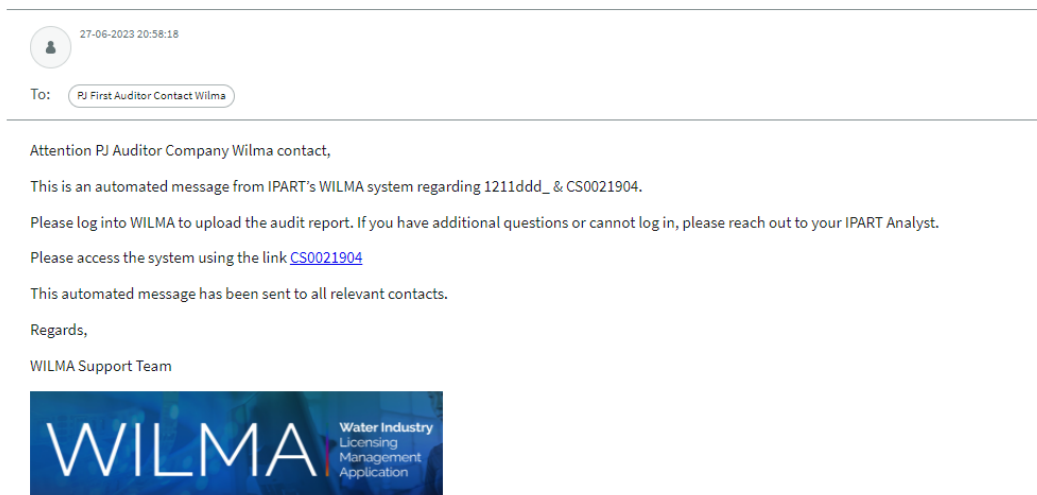
3. Once the WILMA Auditor had opened the task, majority of the fields on this task are on read-only state, and you can populate the required fields such as the “Task Response” and upload the required “Draft audit report.” The “Task Response” field is where you can write your

response regarding the task. Upon completion of the form you can choose the “Save” button the changes on the form or if you are done completing the required information you can choose the “Submit” button to proceed on the process

The screenshot shows the WILMA web application interface. At the top, there is a navigation bar with the WILMA logo and a user profile icon labeled 'PJ First Auditor Contact Wilma'. Below the navigation bar, there are several menu items: 'My audits', 'My tasks', 'My REIs', 'My organisation details', 'Knowledge articles', and 'My technical support cases'. The main content area displays a task form for 'CSTASK0016713'. The form includes fields for 'Task number' (CSTASK0016713), 'State' (Awaiting Response), 'Case Number' (CS0021904), and 'Case type' (Audit). The 'Subject' field contains the text 'Submit audit draft report for the audit case CS0021904'. Below the subject field is a 'Task Response' text area. A 'Submitted Details' section contains fields for 'Licence' (1211466), 'Audit Type' (Compliance audit), 'Audit ID' (A0002094), and 'Category' (Draft audit report). There is a 'Draft audit report' section with a 'Required - Upload' button. At the bottom of the form, there is an 'Attachments' section with a file named 'Test Letter.docx'. The form has 'Save' and 'Submit' buttons at the bottom right. The footer of the page contains 'Copyright', 'Disclaimer', and 'Privacy' links.

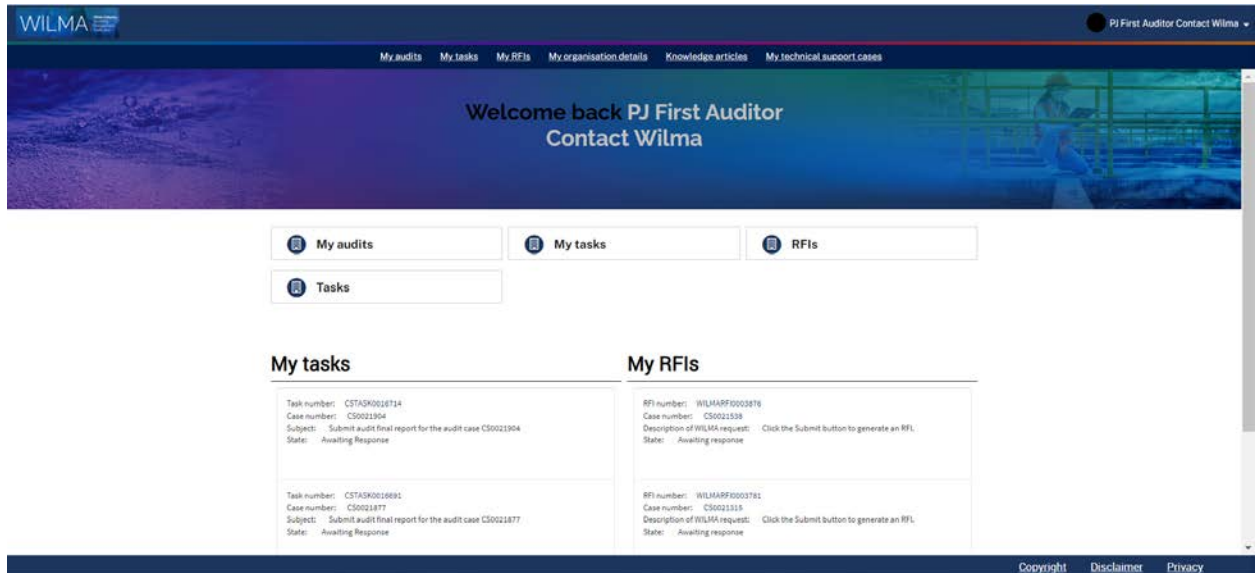
WILMA Auditor to respond on requested Submit Final Audit report process

1. The WILMA Auditor will receive an email that informing to submit the audit report in WILMA
Please submit the audit report in WILMA

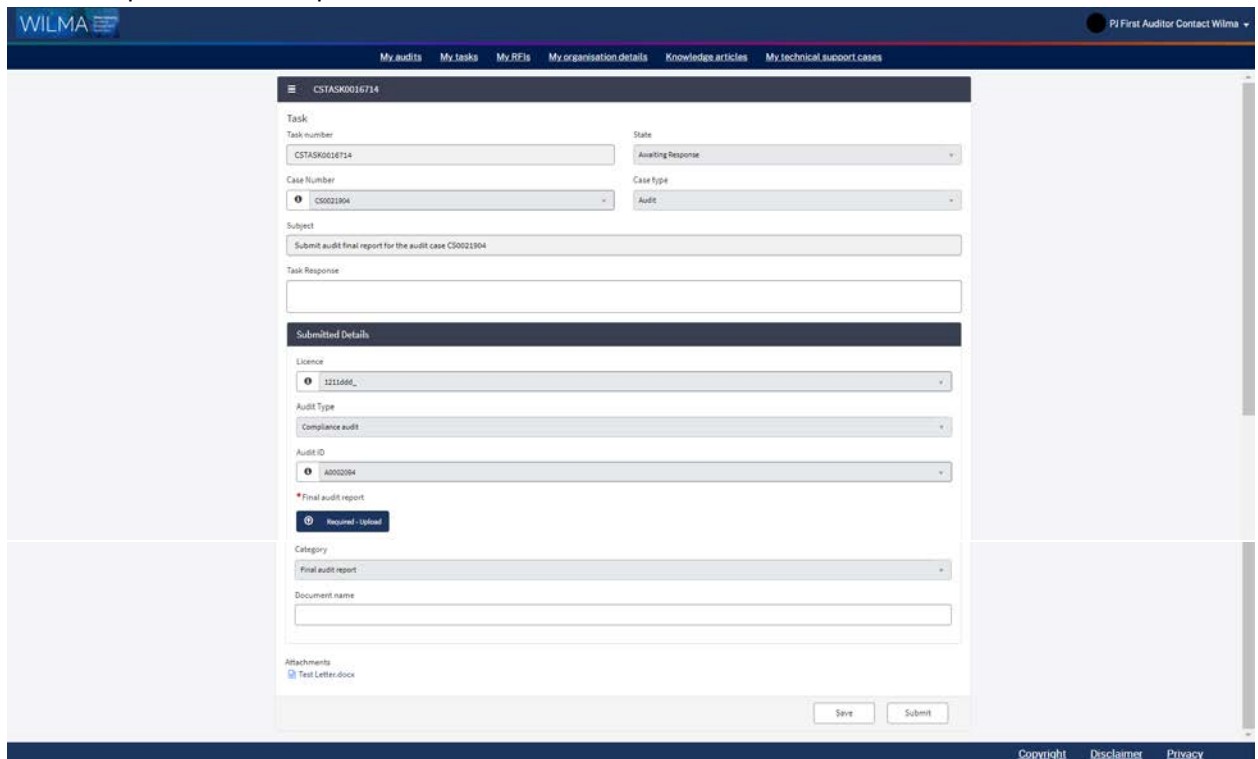


Ref:MSG0126642_Gn02HwmYScv70b1ICC48

2. WILMA Auditor should have access to take action and send the required draft audit report or respond to RFIs. To access the task or RFIs you can navigate to the “My tasks” or “My RFIs” section at the bottom part of the portal.



3. Once the WILMA Auditor had opened the task, majority of the fields on this task are on read-only state, and you can populate the “Task Response” and upload the required “Draft audit report.” Upon completion of the form you can choose the “Save” button the changes on the form or if you are done completing the required information you can choose the “Submit” button to proceed on the process



Note: When the audit is put into a 'Closed' state, the WILMA Auditor will receive an email notification notifying him/her that the audit has already been completed. Below is the sample email that the WILMA Auditor will receive:

Attention Gabrielle Licensee Group of Company contact,

This is an automated message from IPART's WILMA system regarding GLGC #1 & CS0021905.

An audit case has been closed. If you have additional questions or cannot log in, please reach out to your IPART Analyst.

Please access the system using the link [CS0021905](#)

This automated message has been sent to all relevant contacts.

Regards,

WILMA Support Team



Ref:MSG0128415_RJfN8G3v2m9FXEyuvRd0