



Checklist Internal Audit Implementation & Monitoring and Reporting & Evaluation for the establishment of a monitoring system

Objective

Procedures to check and correct activities are a crucial part of every management system – also within the Integrated Management System.

One of the minimum requirements is the yearly Internal Audit conducted by the coordinator or coordination team and an Internal Auditor. This Internal Auditor needs to be independent from the coordination team and should be a person from another strategic department, a (neighbouring) municipality or an external consultant or verifier. Of overall importance is that the auditor or auditing team have a solid foundation in the 'expert knowledge' necessary to conduct integrated management and sustainability aspects.

The internal audit emphasises:

- determining whether the direct and indirect environmental /sustainability issues and their evaluation are up to date
- determining whether the Strategic Programme is up to date
- comparing present status and realisation/implementation of the Action Plan(s)
- comparing present status and progress towards resp. achievement of environmental /sustainability targets
- checking whether the laws and regulations of relevance to environment /sustainable development have been updated and are being followed through
- checking the management system functions (organisation, documentation, internal and external communication, monitoring and reporting)
- checking update, adherence to and implementation of the training plan for employees

The following checklist emphasises on the first Internal Audit and includes also questions related to the implementation of the integrated management system, not relevant after the realisation of the first cycle



Aspects regarding the process of establishing the monitoring system		
1	Data requirements identified	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
2	Data sources for all indicators identified	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
3	Meta-database (information about data) available	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
4	Contact persons for all data sources contacted and informed about their duties. Monitoring structure and roles are described in organisational set up (see point 14 and 15 in Checklist on Organisational Set Up)	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
5	Detailed information of authorities holding different data, public functions and services available	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
6	Existing monitoring and evaluation structures (on local level and between local and regional level) analyzed and gaps identified	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks: <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
7	Timeframe and periodicity for all targets and indicators defined	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
8	Key data and indicators are available on a long term basis	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks
9	Reference values exist (base year)	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks
10	Plan for future inclusion of non-available key data /indicator exists	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks



11	Process of data handling documented (template or guidelines): storage and documentation format, backup, update, access	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
12	Data manipulation /treatment needs identified	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
13	Data verification and validation assured	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
14	Electronic and offline links to other sites, databases, monitoring systems included?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
15	Allocated resources are adequate (persons and financial)	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
16	Template for data transfer available and distributed (spreadsheet, reporting template with meta-information)	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
17	Tracking of users for feedback and statistics possible	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending



Characteristics of monitoring and evaluation system		
18	Are trends tracked and evaluated? (direction of development)	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending
19	Compliance with legal requirements can be tracked at all time where applicable	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending
20	Is there any emergency response mechanism of monitoring system?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending

Communication and involvement in the monitoring and evaluation process		
21	All relevant stakeholders informed about the <i>ongoing</i> process	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks:
22	Suitable monitoring data is available to the public: Permanently in real-time Updated periodically	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> pending Remarks: