

Internal Audit Checklist

Quality Management System Procedure

NWI-QMS-19-1

Internal Auditor:		Audit Period:	
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Legend:

C	Conforms to requirement.
OFI	Conforms to requirement, but there is an opportunity for improvement or a potential nonconformity.
Mn	Minor non-conformity; a part of a required element of the Standard has not been satisfactorily addressed.
Mj	Major non-conformity; an element of the Standard or a major portion of it has not been satisfactorily addressed.

System Designation	System Name	Desktop Audit Date(s)	Site Audit/ Roundtable Meeting Date(s):	Roundtable Meeting Participants:

Revision Date: April 13, 2020

Revision Level: 6

Internal Reference: NWI-QMS-19-1

Criteria		System:	1	2	3	4	5	6	7	8	9
Element 1 – Quality Management System											
1.1	With the exception of any identified nonconformities and potential nonconformities, the QMS generally conforms to the Standard and is being maintained.										
Element 2 – Quality Management System Policy											
2.1	A QMS Policy is in place and it includes the required commitments.										
2.2	Personnel are able to locate the QMS Policy.										
2.3	Personnel can state the commitments of the QMS Policy.										
2.4	Specific examples can be provided which demonstrate that the system is meeting its QMS Policy commitments (i.e. improving the QMS, improving or protecting water quality, meeting or exceeding regulatory requirements, resolving items of regulatory non-compliance, etc.)										
Element 3 – Commitment and Endorsement											
3.1	The Plan includes a written endorsement by Top Management and the Owner.										
3.2	Top Management can provide examples of ensuring that the operating authority is aware of all applicable legislative and regulatory requirements.										
3.3	Top Management can provide examples of determining, obtaining or providing resources needed to continually improve the QMS.										
3.4	Top Management and the Owner can provide additional examples which demonstrate its commitment to an effective QMS.										
Element 4 – QMS Representative											
4.1	A QMS Representative is identified for the system and personnel can identify the Representative.										
4.2	The QMS Representative can provide examples of QMS administration, including facilitating required QMS processes, updating QMS policies and procedures, and coordinating and responding to the findings of external audits.										
4.3	The QMS Representative can provide examples of ensuring that personnel are aware of all applicable legislative and regulatory requirements.										
4.4	The QMS Representative can provide examples of promoting awareness of the QMS throughout the operating authority, including providing annual refresher training during the internal audit, employee participation in QMS processes, etc.										
4.5	The QMS Representative can provide examples of reporting to Top Management on the performance of the QMS and any need for improvement (i.e. management reviews, audits).										

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Element 5 – Document and Records Control											
5.1	There is a procedure for document and records control that describes how documents and records are kept current (documents only), legible, readily identifiable, retrievable, stored, protected, retained and disposed of.										
5.2	The scope of control includes the Operational Plan, DWQMS policies and procedures, internal and external audit results, management reviews, and other documents and records that are needed to ensure the effective planning, operation and control of operations.										
5.3	Any handwritten records (i.e. facility logbooks) are legible and permanently rendered in ink or nonerasable marker.										
5.4	Google Drive File Stream has been made "available offline" on at least (1) NWI-owned device, such as a desktop data computer (i.e. file back-up).										
5.5	In accordance with the Document and Records Management Table, the following documents and records could be found on the Google Drive File Stream Compliance Account: Operational Plans, DWQMS Policies and Procedures, SOPs, ERPs, OHS Procedures, Contact Lists, Approvals, Accreditation Certificates, Financial Plans, Distribution Maps, Operating Records (archived), QMS Records, AWQI records, Forms 1/2/3, Director Notification Forms and Customer Complaints.										
5.6	In accordance with the Document and Records Management Table, the following documents and records could be found on the Google Drive File Stream Project Account: Operating Records (current year), Maintenance Records (current year), Monthly Operational Reports, MUMP Forms, Callout and Overtime Records (could also exist in hardcopy) and Sampling Results (could also exist in hardcopy).										
5.7	In accordance with the Document and Records Management Table, the following documents and records could be found either on the Google Drive File Stream Project Account or in hardcopy at the facility from where the project is managed: Distribution and Hydrant Maintenance Records, Wastewater Collection System Maintenance Records and Third-Party Maintenance Records.										
5.8	All relevant current approvals (Municipal Drinking Water Licence, Drinking Water Works Permit, Permit to Take Water, and wastewater approvals) are displayed at the relevant treatment facility or at the facility from where the project is managed.										
5.9	Equipment O&M manuals and engineering plans, schematics and drawings are available at the relevant treatment facility or at the facility from where the project is managed.										

Revision Date: April 13, 2020

Revision Level: 6

Internal Reference: NWI-QMS-19-1

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Element 6 – Drinking Water System											
6.1	The Plan includes a complete system description (i.e. a description of all applicable treatment system processes and distribution system components) and a treatment process flow chart, including a summary description of the municipal drinking water system in the case of an operational subsystem.										
6.2	The Plan states the names of the Owner and Operating Authority.										
6.3	The Plan describes the water source, including general characteristics, common event-driven fluctuations and any resulting operational challenges and threats.										
6.4	Personnel can describe the system and the description is consistent with the Plan.										
6.5	Personnel can describe event-driven fluctuations in the source water and any resulting operational challenges or threats, and the description is consistent with the Plan.										
6.6	The description of the drinking-water system is kept current.										
Elements 7 & 8 – Risk Assessment and Risk Assessment Outcomes											
7/8.1	There is a documented risk assessment process that identifies potential hazardous events and associated hazards, assesses risks, ranks hazardous events, identifies control measures, identifies critical control points, and considers reliability and redundancy of equipment.										
7/8.2	The procedure considers the hazardous events and associated hazards as identified by the Ministry document titled Potential Hazardous Events for Municipal Drinking Water Systems and includes a method for identifying additional potential hazardous events and associated hazards.										
7/8.3	A risk assessment has been conducted in accordance with the procedure in the previous 3 years, and the risk assessment identifies hazardous events and associated hazards, the assessed risks, the ranked events and control measures to address the potential hazards and hazardous events.										
7/8.4	The currency of the information and the validity of assumptions used in the risk assessment has been verified at least once every calendar year (coincident with the management review).										
7/8.5	There are documented processes for monitoring critical control limits.										
7/8.6	The risk assessment identifies critical control points and respective critical control limits, and the critical control limits are current (i.e. current alarm set points are within identified ranges).										
7/8.7	There are documented procedures to respond to deviations from the critical control limits, and there are procedures for reporting and recording deviations from the critical control limits.										
7/8.8	Personnel can describe the risk assessment process and provide justification concerning the ranking of different hazardous events.										

Revision Date: April 13, 2020

Revision Level: 6

Internal Reference: NWI-QMS-19-1

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Element 9 – Organizational Structure, Roles, Responsibilities and Authorities											
9.1	The organizational structure of the Operating Authority is described, including respective roles, responsibilities and authorities.										
9.2	Corporate oversight roles, responsibilities and authorities are delineated.										
9.3	Persons within the management structure responsible for undertaking the Management Review are identified.										
9.4	Persons having Top Management responsibilities are identified, along with their responsibilities.										
9.5	All subject system Owners are identified.										
9.6	Personnel can state their position and describe their roles, responsibilities and authorities, and the descriptions are consistent with the policy.										
9.7	The Operating Authority ensures that the description of the organization is kept current.										
9.8	The policy has been communicated to Operating Authority Personnel.										
9.9	The policy has been communicated to DWS Owners.										
Elements 10 – Competencies											
10.1	There are documented competencies required for operations personnel.										
10.2	There are documented activities to develop and maintain competencies.										
10.3	There are documented activities to ensure that personnel are aware of the relevance of their duties and how they affect safe drinking water.										
10.4	Personnel can confirm how the Operating Authority helps to develop and maintain competencies associated with operator certification.										
10.5	Personnel are certified (all certificates displayed at appropriate facilities) and any uncertified new personnel attained or will attain OIT certificates within three (3) months of being hired.										
10.6	New Operators trained with an experienced Operator for a satisfactory amount of time.										
10.7	New Operators underwent New Employee Compliance Orientation within the first six (6) months of employment										
10.8	The Operations Manager is the primary ORO for all relevant subsystems.										

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Elements 10 – Competencies											
10.9	Personnel adhere to documented policies and procedures, including adhering to recording frequencies outlined in operational spreadsheets and instructions delivered by Top Management and Compliance.										
10.10	Occupational health and safety meetings were conducted at the required frequency and all assigned mandatory topics were considered.										
10.11	Personnel can confirm the implementation of the expanded training program (i.e. QMS training during the internal audit, training during safety meetings and ERTT, training administered by the HR Department, other training sessions provided by the Compliance Department, etc.)										
10.12	Personnel can confirm that copies of certificates, licences and Director Approved training have been promptly forwarded to HR.										
10.13	HR has maintained the certification tracking system on SmartSheet.										
10.14	HR has maintained the operator training tracking system on SmartSheet (for training administered by Human Resources through the HRdownloads service).										
Element 11 – Personnel Coverage											
11.1	There is a procedure to ensure that sufficient personnel meeting the identified competencies are available for duties that directly affect drinking water quality.										
11.2	Detailed schedules are available for personnel coverage (i.e. schedules indicating normal and on-call coverage with specific names, vacation schedules, etc.)										
11.3	Personnel can describe methods of personnel coverage (business hours, after hours, ORO/OIC/OIT, special circumstances).										
11.4	Callout and Overtime Records (current version) have been adequately completed (including all required fields completed).										
11.5	The system has designated OROs and OICs in facility logbooks for every calendar day.										
11.6	Any OITs have adhered to established guidelines while working alone, and no operational decisions have been made without authorization and instruction from the ORO or OIC.										

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Element 12 – Communications											
12.1	There is a procedure for communications concerning how relevant aspects of the QMS are communicated between the OA and the Owner, OA personnel, suppliers and the public.										
12.2	Personnel have access to QMS materials and can demonstrate how to access the materials(i.e. demonstrating how to access materials using the NWI Employee Secure Portal).										
12.3	Personnel were involved in QMS processes (internal audits, management reviews, audits, etc.)										
12.4	Annual management review reports have been forwarded to DWS Owners and the QMS was communicated to DWS Owners during the most recent endorsement of the Operational Plan.										
12.5	Operational Plans are available on the public website and at Municipal Offices/libraries.										
Element 13 – Essential Supplies and Services											
13.1	There is a procedure that identifies essential supplies and services and describes methods for ensuring the procurement and quality of essential supplies and services.										
13.2	Alternate suppliers are available for treatment chemicals, drinking-water components and supplies, and alternate service providers are available where applicable for essential supplies and services identified in system-specific contact lists.										
13.3	Operations personnel use the Purchase Requisition Form for all orders related to water treatment chemicals and drinking-water components and supplies that come into contact with water, and forms a) are appropriately completed and labelled, b) have appropriate Manager or Designate Approval and c) are electronically submitted to the S&P Department to place an order.										
13.4	The Sales & Purchasing Department procures all drinking-water chemicals and all water treatment components and supplies that come into contact with water within a system.										
13.5	Purchase orders placed by the S&P Department contain statements indicating that chemicals, components and supplies must be certified to the appropriate safety criteria standards.										
13.6	All chemicals, components and supplies that come into contact with drinking water are certified to the relevant standards or otherwise meet regulatory exemption criteria.										
13.7	All chemical deliveries are completed under Operator supervision and personnel promptly a) verify that products meet quality requirements where required, b) check shipment integrity, c) cross-reference the order with what has been received and what is indicated on the bill of lading before the deliverer leaves the site, and d) report any deficiencies to the S&P Department.										
13.8	There is email communication between the Sales and Purchasing Department and operations personnel to confirm receipt of product.										
13.9	Bills of lading, packing slips and original Purchase Requisition Forms are filed for 7 years on site.										

Revision Date: April 13, 2020

Revision Level: 6

Internal Reference: NWI-QMS-19-1

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Element 14 – Review and Provision of Infrastructure											
14.1	There is a procedure for the annual review of the adequacy of infrastructure necessary to operate and maintain the subject system.										
14.2	The infrastructure review considered the outcomes of the risk assessment documented under Element 8.										
14.3	An infrastructure condition assessment was conducted in the previous year and a capital expenditure budget was developed and approved.										
14.4	Capital expenditure budgets have been uploaded to SmartSheet and are being updated by Operations Managers and Sales & Purchasing Department personnel.										
14.5	The previous management review evaluated the progress toward budget execution.										
Element 15 – Infrastructure Maintenance, Rehabilitation and Renewal											
15.1	Infrastructure maintenance, rehabilitation and renewal programs are documented.										
15.2	A long term forecast of major infrastructure maintenance, rehabilitation and renewal activities is documented and has been reviewed in the previous year.										
15.3	Maintenance records have been satisfactorily completed for the subject system.										
15.4	The Operating Authority ensures that the description of the infrastructure maintenance, rehabilitation and renewal programs is kept current.										
15.5	Infrastructure maintenance, rehabilitation and renewal programs for the subject system have been communicated to the DWS Owner (management review reports, monthly reports, etc.).										
15.6	The effectiveness of the maintenance program is monitored and the Planned Maintenance Activities SOP and Measurement and Recording Equipment Calibration and Maintenance Procedure were updated in the previous calendar year.										

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Element 16 – Sampling, Testing and Monitoring											
16.1	There is a sampling, testing and monitoring procedure for process control and finished drinking water quality including requirements for sampling and monitoring at the conditions most challenging to the subject system.										
16.2	The procedure includes a description of any relevant sampling, testing or monitoring activities that take place upstream of the subject system.										
16.3	The procedure describes how results are recorded and shared between the Operating Authority and the Owner.										
16.4	The sampling, testing and monitoring programs described by personnel for the subject system are consistent with the procedure.										
16.5	Water quality testing has been conducted at the frequency specified within the procedure or within the operational spreadsheets.										
16.6	Results have been promptly communicated to the DWS Owner in accordance with the procedure (i.e. the submission of monthly reports, annual reports, etc.).										
Element 17 – Measurement and Recording Equipment Calibration and Maintenance											
17.1	There is a procedure for the calibration/maintenance of measurement/recording equipment.										
17.2	There is a method for ensuring that expired standards are not used in calibrations and verifications of measuring equipment.										
17.3	There are no expired standards for any standard used in the calibrations and verifications of measuring equipment. Relevant standards include, but are not limited to, pH, absorbance, turbidity, chlorine, fluoride, iron and manganese standards.										
17.4	Calibration and maintenance records have been satisfactorily completed for all instruments.										
17.5	Calibration verification certificates were available for relevant flow measuring devices.										

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Element 18 – Emergency Management											
18.1	There is a procedure that includes a list of potential emergency situations or service interruptions, processes for emergency response and recovery, emergency response training and testing requirements, Owner and Operating Authority responsibilities during emergency situations, references to municipal emergency planning measures, and an emergency communication protocol and an up-to-date list of emergency contacts.										
18.2	ERPs exist for all hazardous events associated with critical control points.										
18.3	All personnel have reviewed assigned corporate ERPs at the required frequency, and this review is tracked by Compliance.										
18.4	Emergency response training and testing (ERTT) sessions have been conducted satisfactorily and at the required frequency.										
18.5	Corporate and system-specific contact lists were updated in the previous calendar year.										
18.6	Current corporate and system-specific contact lists are displayed at facilities.										
Element 19 – Internal Audits											
19.1	There is a procedure for internal audits that evaluates conformity, identifies audit criteria, frequency, scope, methodology, and record-keeping requirements, considers previous audit results, and describes how corrective/preventive actions are identified/initiated.										
19.2	An internal audit covering all DWQMS elements was conducted in the previous calendar year.										
19.3	The internal audit checklist was verified and/or updated prior to the previous internal audit.										
19.4	The on-site audit component concluded with a roundtable meeting involving the relevant Operations Manager, available Operators and internal auditor, and this meeting served as annual refresher training on the Standard and NWI's QMS.										
19.5	An internal audit report was developed and included an introduction, a discussion of previous audit results, a summary of internal audit results in tabular format and a discussion concerning all nonconformities and potential nonconformities.										
19.6	Internal audit results were appropriately communicated to Top Management, Operations Managers and Operators.										
19.7	Any and all nonconformities and potential nonconformities were addressed satisfactorily.										

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Element 20 – Management Review											
20.1	There is a procedure for management reviews that evaluates the continuing suitability, adequacy and effectiveness of the QMS and considers all of the items included within the Standard.										
20.2	A management review was conducted in the previous calendar year and it included 1) all required topics as provided in the Standard, 2) a consideration of best management practices, 3) the annual review of risk assessment outcomes, 4) a consideration of the accuracy of the DWS description in the Operational Plan, and 5) a consideration of the accuracy of the description of infrastructure maintenance, rehabilitation and renewal programs in the Operational Plan.										
20.3	Top Management, relevant Operations Managers and Compliance Coordinators participated in the review and identified deficiencies and action items.										
20.4	A Management Review Report was prepared and included 1) an introduction with rationale for the review and meeting information, 2) a comprehensive summary of each topic and participant discussion, and 3) a record for decisions and action items related to the management review, including personnel responsible and proposed timelines for completion.										
20.5	The Management Review Report was submitted to all meeting participants and to relevant DWS Owners. Policy and program information related to Element 9 and Element 15 of the Standard was also communicated coincident with the delivery of the report.										
20.6	Progress can be demonstrated toward achieving the management review action items.										
Element 21 – Continual Improvement											
21.1	There is a procedure for tracking and measuring continual improvement of the QMS that reviews and considers best management practices, documents a process for identifying and managing corrective actions, and documents a process for identifying and implementing preventive actions.										
21.2	Best management practices were reviewed and considered during the most recent management review.										
21.3	Nonconformities identified during internal audits and other processes were assigned corrective actions, and the actions taken to correct the nonconformity were effective.										
21.4	Opportunities for improvement and potential nonconformities identified during internal audits and other processes were assigned preventive actions, and the actions taken to prevent the potential nonconformity were effective.										