



INTERNAL AUDIT SUMMARY & CHECKLIST

Date:	Auditor(s):
Process or Program:	
<input type="checkbox"/> Mentioned opportunity to provide additional info, if they think of it later?	

Strengths:

Opportunities for Improvement:

OK to link auditee name to OFI's?

Non-Conformities:



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DWQMS Element / Question	Comments	Status ¹ (circle one)				
2 – Quality Management System Policy		C	NC	STR	OFI	NA
Aware of Quality Policy? (can describe how job impacts policy)						
3 – Commitment and Endorsement		C	NC	STR	OFI	NA
Aware of legal requirements (as they apply to their job)?						
Have adequate resources? (e.g. staff, equipment, supplies)						
4 – Quality Management System Representative		C	NC	STR	OFI	NA
Can name the QMS Rep?						
5 – Document and Records Control		C	NC	STR	OFI	NA
Can demonstrate how to access documents? (e.g. SOPs, forms, WO's, standards, guidelines)						
Can describe records produced and where they are filed?						
Are records legible and complete?						
Documents and records are kept in accordance w/ QMS 05?						

¹ **C** – conforming; **NC** – non-conforming; **STR** – strength; **OFI** – opportunity for improvement; **NA** – not applicable



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7 & 8 – Risk Assessment and Risk Assessment Outcomes		C	NC	STR	OFI	NA
Aware of critical control points? (e.g. primary / secondary disinfection & backflow prev.)						
Aware of critical control limits? (e.g. point at which response is initiated)						
Aware of hazardous events / risks (what things can go wrong)?						
Understands actions to take when things go wrong? (e.g. notifications, documentation)						
9 – Organizational Structure, Roles, Responsibilities and Authorities		C	NC	STR	OFI	NA
Can describe related roles, responsibilities and authorities?						
Understands who is part of top management and who is owner?						
10 – Competencies		C	NC	STR	OFI	NA
Can describe competencies required for staff involved?						
Understands how to develop and maintain competencies required?						
Can describe how job affects drinking water quantity & quality?						



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11 – Personnel Coverage		C	NC	STR	OFI	NA
How are staff scheduled to ensure we meet required coverage (24/7 if needed)?						
12 – Communications		C	NC	STR	OFI	NA
Can describe how communications take place? (e.g. with owner, with staff, with essential suppliers, with public)						
13 – Essential Supplies and Services		C	NC	STR	OFI	NA
Can describe how essential supplies and services are made available?						
Can describe what happens if essential supply / service is not available?						
Do special requirements exist for these essential supplies / services?						
Is evidence available that supplies / services have met requirements?						
14 – Review and Provision of Infrastructure		C	NC	STR	OFI	NA
Can describe the condition of infrastructure? Is it adequate?						
Can describe communications related to infrastructure issues?						



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Does the annual review of adequacy of infrastructure consider Risk... Outcomes?						
15 – Infrastructure Maintenance, Rehabilitation and Renewal		C	NC	STR	OFI	NA
Can describe the maintenance, rehab., renewal program?						
Is a summary of this program available and kept current?						
Are long-term forecasts of major infrastructure activities reviewed 1:year?						
Programs communicated to Owner and monitored for effectiveness?						
16 – Sampling, Testing and Monitoring		C	NC	STR	OFI	NA
Can describe sampling, testing, monitoring (STM) for process control?						
Can describe STM for finished drinking water quality?						
Can describe requirements for STM at conditions most challenging to the system?						
Any STM activities that takes place upstream of the system?						
Can describe how STM results are recorded and shared between Operating Authority & Owner?						



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17 – Measurement and Recording Equipment Calibration and Maintenance		C	NC	STR	OFI	NA
Can describe calibration and maintenance requirements for measurement and recording equipment?						
18 – Emergency Management		C	NC	STR	OFI	NA
Aware of potential emergency situations or service interruptions?						
Understands the process for and their role in emergency response and recovery?						
Received emergency response training?						
Participated in emergency tests or debrief sessions from actual emergencies?						
Can access emergency contact lists?						
19 – Internal Audits		C	NC	STR	OFI	NA
Are previous internal and external audit results considered in this audit?						
Aware of how corrective actions are identified and initiated?						
21 – Continual Improvement		C	NC	STR	OFI	NA
Can describe process improvements considered						



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or implemented in the last year?						
Was involved in investigating causes of non-conformities?						
Can describe actions taken to correct non-conformities? Were actions effective in preventing recurrence?						
Can identify potential problems related to their work in the system? (potential prev. action)						
Any other suggestions for process /program improvement?						
1 – Quality Management System		C	NC	STR	OFI	NA
Are the activities performed in accordance with requirements? (e.g. procedures, work instructions, forms, etc.)						
Is the quality management system (QMS) effectively implemented in this area?						

[DWQMS elements 6 and 20 is element-based audit for Top Management and Quality Management System Representative only].