



Title: Internal Audits		Control Number: SLD 19	
Revision: 2.0	Effective Date: Aug. 21, 2009	Section: QMS	
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### 1.0 Purpose

The procedure describes the process for managing the Internal Audit program of the QMS.

### 2.0 Scope

The entire QMS is subject to the Auditing procedures described herein

### 3.0 Definitions

- QMS – Quality Management System
- NCR – Audit Nonconformance
- OFI – Opportunity for Improvement

### 4.0 Procedure

The QMS Representative, or designate, is appointed as the Lead Auditor. The Lead Auditor is responsible for ensuring that these procedures are followed accordingly, and specifically:

- An annual Internal Audit Schedule is created and maintained
- Ensuring an Internal Audit team is trained, competent and readily available to conduct audits
- Ensuring that the General Manager Waterworks is informed if additional internal auditing resources are required
- Overseeing that system non-conformances are addressed and closed out in a timely manner by the internal audit team

#### 4.1 Audit Program

The Town of Markham will conduct internal audits of its QMS on a regular basis to ensure that it continues to perform according to established policies and objectives. The audits will evaluate the

performance of the QMS against the specific requirements of the DWQMS.

An *Audit Schedule* will be defined by the Lead Auditor to ensure that the entire QMS is audited at least once every twelve months. The development of a schedule should consider results of previous audits. The audit schedule may also be amended based on these results.

Only qualified Town of Markham personnel with appropriate QMS audit training and knowledge of the system will complete internal audits.

An Audit scope consisting of a description of the physical locations, organizational units, activities and processes, as well as the time period covered will be developed for every internal audit that will be performed.

#### **4.2 Conducting the Audits**

The Lead Auditor will strive to ensure that auditors are scheduled to conduct audits in areas outside of the auditor's day-to-day responsibilities. If necessary, external resources can be used to perform the audit.

The Internal Auditors shall gather and review all required documents (procedures, work instructions, DWQMS, etc.) and background information on the element being audited to become familiar with the requirements.

The Lead Auditor is responsible for coordinating and scheduling personnel interviews.

During interviews, Internal Auditors shall collect information and any data serving as objective evidence that a requirement has been met. The Internal Auditor takes notes to supplement his/her findings.

#### **4.3 Audit Results**

Audit results will be determined by comparing audit findings against the audit criteria defined within the standard.

### Audit Nonconformances (NCRs)

When a systematic problem, gap or discrepancy is identified through the internal audit process, the auditor will issue a NCR, describing the problem and the personnel responsible for addressing it.

All NCRs shall be handled as per the procedures described in Continuous Improvement. All NCRs will be subject to formal root cause analysis, corrective and preventive action.

Where the auditor finds a problem but the issue does not represent a true system breakdown, an OFI can be noted in lieu of issuing an NCR

Members of the Audit Team will compile the results of the audit, summarizing NCRs, OFIs and other notations, into a final Audit Report. The completed Audit Report is subsequently submitted to the Lead Auditor for review.

The Lead Auditor (with the Internal Auditor, where required) will communicate and review the results outlined in the Audit Report to the appropriate Supervisors, Managers and personnel of the audited area(s). These results will also be shared with related areas in order to ensure that identified issues are generally addressed elsewhere, if appropriate.

A summary of Internal Audit findings will be provided to Top Management at Management Review meetings to ensure awareness of the internal audit process, the status of recent audits, and the strength of the overall management system.

The QMS Representative, as per the requirements of the Document and Records Control procedure, will maintain the audit records/results.

## 5.0 Associated SOPs

- Not Applicable

## 6.0 References

- DWQMS Element 19 Internal Audits

## 7.0 Records

- Audit Nonconformances
- Audit Reports
- Audit Schedule

## 8.0 History of Changes

Revision	Date	Description	By
2.0	Aug. 5, 2009	Sections 3.0, 4.0, 4.1, 4.2, 4.3, 7.0	E. Wu