

Document 16.1 – Biosolids EMS Internal Audit Guidance

Version Number: 6

Version Date: August 22, 2016

The Biosolids EMS Internal Audits will be conducted with the following guidelines:

1. The District will conduct a full scale internal audit of the entire EMS for Biosolids program for the Year 0, 2, 4, 6, 8, 10 audits.
2. See Document 16.2 – Biosolids EMS Audit Schedule for the verification, interim and internal audit schedule.
3. Internal audits will be conducted by the Monitoring and Research Department's Quality Assurance Coordinator (QAC). The QAC will be the lead auditor and may designate other auditors to form a team. The QAC will have received ISO14001 training.
4. The NBP Third Party Auditor's guidance document will be used as a guide for the audit. Auditors will consider reviewing records and documents, interviewing appropriate employees/contractors, and directly observing operations to verify compliance with EMS. The internal audit shall evaluate the organization's performance relative to established biosolids program goals and objectives. The internal audit will cover all the organization's biosolids management program activities including those performed by contractors.
5. The internal audit shall evaluate the contractor's performance relative to established responsibilities as stated in the Detailed Specifications of each respective Biosolids handling contract.
6. The QAC will develop a scope and schedule for the audit. Auditors will complete audit worksheets to evaluate conformance. At a minimum, information in the worksheet will include:
 - a. Element being audited
 - b. Auditors names
 - c. Period being audited, date(s) of audit
 - d. Summary of findings
 - e. Observations of potential non-conformances (if any)
 - f. Recommendations for correcting potential non-conformances
7. The QAC will prepare the *Biosolids EMS Internal Audit Report*. The report will be forwarded to the EMS Coordinator with the audit worksheets. Following receipt of the *Biosolids EMS Internal Audit Report* and audit worksheets, the EMS Coordinator will prepare a memo to transmit the *Report* from the Director of M&O to the Division Heads and Director of M&R.

Revision History



Metropolitan Water Reclamation District of Greater Chicago

Environmental Management System for Biosolids

Version Number	Version Date	Description of Revision
0	7/28/05	Original Issue.
1	12/12/05	Revised to reflect on how the internal audit was conducted in June of 2005. Revised to address the qualifications of auditors.
2	7/20/07	Revised to address the internal audit plan (i.e. auditors, scope, schedule, etc.).
3	10/8/09	Update Position and Department Titles
4	12/2/09	Added Step 5. Corrected grammar in Step 7.
5	10/13/11	Edited Footer with Official Document Location
6	8/22/16	Edited 1. Added years 6, 8, 10. 3. Added ISO14001 training for QAC