

Table 16.1 Internal Auditor's Worksheet

Auditors Worksheet		Circle one: Conformance Nonconformance	
Element No.	8	Audit Number:	08-2006-01
Provide lead auditor and team members along with classifications	Mike Lunn, WPS-OPS		
Audit date(s)	6/1/2006-6/15/2006		
List nonconformances:			
1.			
2.			
3.			
4.			
5.			
6.			
7.			
Comments:			

"I have conducted an internal audit of the Biosolids EMS element noted above."

Lead Auditor (MM/DD/YYYY) 6/15/06 signature: Mike Lunn

Joint review with EMS coordinator: (MM/DD/YYYY) 6/15/06 Initials: RF

Table 16.1 Internal Auditor's Worksheet

Auditors Worksheet		Circle one: Conformance Nonconformance	
Element No.	9	Audit Number:	09-2006-01
Provide lead auditor and team members along with classifications	Mike Lunn, WPS-OPS		
Audit date(s)	6/1/2006-6/15/2006		
List nonconformances:			
1.			
2.			
3.			
4.			
5.			
6.			
7.			
Comments:			

"I have conducted an internal audit of the Biosolids EMS element noted above."

Lead Auditor (MM/DD/YYYY) 6/15/06 signature: Mike Lunn

Joint review with EMS coordinator: (MM/DD/YYYY) 6/15/06 Initials: IZF

Table 16.1 Internal Auditor's Worksheet

Auditors Worksheet		Circle one: Conformance Nonconformance	
Element No.	10	Audit Number:	10-2006-01
Provide lead auditor and team members along with classifications	Mike Lunn, WPS-OPS		
Audit date(s)	6/1/2006-6/15/2006		
List nonconformances: 1. 2. 3. 4. 5. 6. 7.			
Comments:			

"I have conducted an internal audit of the Biosolids EMS element noted above."

Lead Auditor (MM/DD/YYYY) 6/15/06 signature: Mike Lunn

Joint review with EMS coordinator: (MM/DD/YYYY) 6/15/06 Initials: RF

Table 16.1 Internal Auditor's Worksheet

Auditors Worksheet		Circle one: Conformance <u>Nonconformance</u>	
Element No.	11	Audit Number:	11-2006-01
Provide lead auditor and team members along with classifications	Mike Lunn, WPS-OPS		
Audit date(s)	6/1/2006-6/15/2006		
<p>List nonconformances:</p> <ol style="list-style-type: none"> 1. Plant O&M Emergency Response Plan has not been kept up to date. 2. 3. 4. 5. 6. 7. 			
<p>Comments: Non-Conformance to be corrected by 6/16/2006.</p>			

"I have conducted an internal audit of the Biosolids EMS element noted above."

Lead Auditor (MM/DD/YYYY) 6/15/06 signature: Mike Lunn

Joint review with EMS coordinator: (MM/DD/YYYY) 6/15/06 Initials: JZF

Figure 16.1 Corrective Action Plan

Corrective Action Plan	
<p>Instructions: EMS Coordinator will provide information from the internal audit team, resources needed to conduct an investigation of the nonconformance and the requested completion date. The purpose of the corrective action plan is to layout a plan of action for investigating the root cause of the nonconformance and implementing corrective actions to avoid a reoccurrence. Once the corrective actions have been implemented date, sign and return this form to the EMS coordinator. Portions of this corrective action plan, its attachments, and findings will be included in the department's annual management review of performance and included with the final annual internal audit reports.</p>	
Completed by EMS coordinator	Audit Number: 11-2006-01
	Nonconformance to be investigated and corrected: Emergency Response Plan in Wastewater Plant O&M.
	Responsibility: (list team members if more than one) WPS-OPS
	Resources provided: Shift Supervisors, Asst. Director
	Requested completion date: 06-30-2006
<p>Investigation findings: The Wastewater Plant Operation and Maintenance Manual section on Emergency Response is out of date and requires updating.</p>	
<p>Resolution/Corrective Action: The WPS-OPS will take the lead and revise this section of the Plant Operations and Maintenance Manual.</p>	
<p>Actual completion date: 6/16/2006</p>	

“To the best of my knowledge the above stated corrective action plan has been investigated and the corrective action noted above has been implemented.”

Date (DD/MM/YYYY): 06/16/2006

Signed:

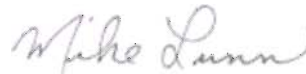


Table 16.1 Internal Auditor's Worksheet

Auditors Worksheet		Circle one: Conformance Nonconformance	
Element No.	12	Audit Number:	12-2006-01
Provide lead auditor and team members along with classifications	Mike Lunn, WPS-OPS		
Audit date(s)	6/1/2006-6/15/2006		
List nonconformances:			
1.			
2.			
3.			
4.			
5.			
6.			
7.			
Comments:			

"I have conducted an internal audit of the Biosolids EMS element noted above."

Lead Auditor (MM/DD/YYYY) 6/15/06 signature: Mike Lunn

Joint review with EMS coordinator: (MM/DD/YYYY) 6/15/06 Initials: JZF

Electronic copies on the “Antfarm” are considered controlled. All other copies are to be considered uncontrolled

Table 14.1 Nonconformance Summary and Response Time

Nonconformance Summary/ Investigation team members	Date ^H	Investigation Findings and Recommendations Summary	Completed ^I / Response Time ^J
Internal audit 05-2006-01/ Gary DeKock	6/9/06	There is no mechanism in place to make sure SMART criteria are used when setting goals and objectives. Develop new form and revise procedures so that SMART criteria are used in setting goals and objectives.	6/13/06 4

^H Date nonconformance identified

^I Date nonconformance corrective action controls are in place and the nonconformance condition no longer exists.

^J Track time period in days from when nonconformance was identified until corrective action is in place.