

ACCREDITATION PROGRAM FOR OPERATING AUTHORITIES ON-SITE/SYSTEMS VERIFICATION AUDIT REPORT – 2018

FILE #: 1631768-01

The Corporation of the City of Kawartha Lakes

Operating Authority for:

City of Kawartha Lakes

Systems Audit

Prepared by: Paul Cartlidge

Date: Jul 16, 2018

Audit Objectives

The objective of the audit was to determine whether the drinking water Quality Management System (QMS) of the subject system conforms to the requirements of the Ontario Ministry of the Environment's (MOE) Drinking Water Quality Management Standard (DWQMS) at all of the locations noted in the Applicant Profile Form (AP 602). It was also intended to gather the information necessary for SAI Global to assess whether accreditation can be offered to the operating authority.

Audit Scope

The facilities and processes associated with the operating authority's QMS were objectively evaluated to obtain audit evidence and to determine a) whether the quality management activities and related results conform with DWQMS requirements, and b) if they have been effectively implemented.

Audit Criteria:

- The Drinking Water Quality Management Standard
- Current QMS manuals, procedures and records implemented by the Operating Authority
- SAI Global Accreditation Program Handbook

Auditor:

Paul Cartlidge

Audit Report Distribution List:

The Audit Report is distributed as follows:

- Operating Authority
- Owner
- Ministry of the Environment Director

Confidentiality and Documentation Requirements

The SAI Global stores their records and reports to ensure their preservation and confidentiality. Unless required by law, the SAI Global will not disclose audit records to a third party without prior written consent of the applicant. The only exception will be that the SAI Global will provide audit and corrective action reports to the Ontario Ministry of the Environment. For more information, please refer to the SAI Global Accreditation Program Handbook.

PART A. MANAGEMENT SUMMARY

This was an off site system audit of the The Corporation of the City of Kawartha Lakes for conformance with the requirements of DWQMS: Oct. 2006.

The overall effectiveness of the The Corporation of the City of Kawartha Lakes Quality Management System is considered:

- ☒ Effective
☐ Not effective

No non-conformities were identified during this assessment, as noted in Part D of this report.

The audit objectives have been accomplished within the audit scope in accordance with the audit plan and the time allocation.

Notes

Copies of this report distributed outside the organization must include all pages.

As part of the SAI Global Terms, it is necessary for you to notify the SAI Global of any changes to your Quality Management System that you believe are significant enough to risk non-conformity with DWQMS: Oct. 2006. For more information, please refer to the SAI Global Accreditation Program Handbook.

PART B. GENERAL INFORMATION

Operating Authority:

Legal name and address The Corporation of the City of Kawartha Lakes

Address 12 Peel Street, P.O Box 9000 Lindsay Ontario

Applicant representative Julie Henry

Title Quality Management and Policy Coordinator

Telephone 705-324-9411 Fax (705) 328- 3054

E-mail jhenry@city.kawarthalakes.on.ca

Owner:

Legal name and address

☒ same as above, or:

Applicant representative Julie Henry

Title Quality Management and Policy Coordinator

Telephone 705-324-9411 Fax (705) 328- 3054

E-mail jhenry@city.kawarthalakes.on.ca

Accreditation Option: Full Scope - Entire DWQMS

Population Serviced: 29192

This audit report covers the subject systems listed:

Lindsay Drinking Water System (license # 141-120)
Birchpoint Estates Drinking Water System (license # 141-109)
Bobcaygeon Drinking Water System (license # 141-105)
Canadiana Shores Drinking Water System (license # 141-112)
Fenelon Falls Drinking Water System (license # 141-104)
Janetville Drinking Water System (license # 141-111)
Kings Bay Drinking Water System (license # 141-119)
Kinmount Drinking Water System (license # 141-121)
Manilla Drinking Water System (license # 141-106)
Manorview Drinking Water System (license # 141-118)
Mariposa Estates Drinking Water System (license # 141-117)
Norland Drinking Water System (license # 141-103)
Omemee Drinking Water System (license # 141-108)
Pinewood Drinking Water System (license # 141-110)
Pleasant Point Drinking Water System (license # 141-113)
Sonya Village Subdivision Drinking Water System (license # 141-107)
Southview Drinking Water System (license # 141-101)
Victoria Place Drinking Water System (license # 141-114)
Western Trent/Palmina Drinking Water System (license # 141-102)
Woodfield Drinking Water System (license # 141-116)
Woodville Drinking Water System (license # 141-115)

PART C. SUMMARY OF FINDINGS

SUMMARY OF FINDINGS							
OPERATING AUTHORITY The Corporation of the City of Kawartha Lakes						1631768-01	
ACCREDITATION CYCLE: <i>Systems Audit</i>							
AUDIT TYPE <input checked="" type="checkbox"/> Systems <input type="checkbox"/> On-Site Verification				AUDITOR Paul Cartlidge		Jul 16, 2018 to Jul 17, 2018	
SUBJECT SYSTEM(S) AUDITED ① Operational Plan and supporting procedures/records for City of Kawartha Lakes drinking water systems							
REQUIREMENT ↓	SYSTEM →	①	②	③	④	⑤	⑥
1. Quality Management System	C						
2. Quality Management System Policy	C						
3. Commitment and Endorsement	C						
4. Quality Management System Representative	C						
5. Document and Records Control	C						
6. Drinking-Water System	C						
7. Risk Assessment	C						
8. Risk Assessment Outcomes	C						
9. Organizational Structure, Roles, Responsibilities and Authorities	C						
10. Competencies	C						
11. Personnel Coverage	C						
12. Communications	C						
13. Essential Supplies and Services	C						
14. Review and Provision of Infrastructure	C						
15. Infrastructure Maintenance, Rehabilitation & Renewal	C						
16. Sampling, Testing and Monitoring	OFI						
17. Measurement & Recording Equipment Calibration and Maintenance	C						
18. Emergency Management	C						
19. Internal Audits	C						
20. Management Review	C						
21. Continual Improvement	C						
Mj	Major non-conformity. The auditor has determined one of the following: (a) a required element of the DWQMS has not been incorporated into a QMS; (b) a systemic problem with a QMS is evidenced by two or more minor non-conformities; or (c) a minor non-conformity identified in a corrective action request has not been remedied.						
Mn	Minor non-conformity. In the opinion of the auditor, part of a required element of the DWQMS has not been incorporated satisfactorily into a QMS.						
OFI	Opportunity for improvement. Conforms to the requirement, but there is an opportunity for improvement.						
C	Conforms to requirement.						
	Not applicable to this audit.						
*	Additional comment added by auditor in the body of the report.						

PART D. FINDINGS/COMMENTS

DWQMS Reference:	1	Quality Management System
Client Reference:	QMS-01	Overview of Operational Plan, revision 7, April 25, 2018
Results:	Conforms	
Details:		<i>Documented Quality Management System described in the Operational Plan for the City of Kawartha Lakes Drinking Water Systems, which is divided into sections for each DWQMS element.</i>
DWQMS Reference:	2	Quality Management System Policy
Client Reference:	QMS-02	– Quality Management System Policy, revision 0, November 18, 2016
Results:	Conforms	
Details:		<i>Policy Statement describes the Quality Management System and is endorsed by the Mayor and CAO for the City of Kawartha Lakes – reviewed and accepted.</i>
DWQMS Reference:	3	Commitment and Endorsement
Client Reference:	QMS-03	Commitment and Endorsement, revision 1, November 11, 2017
Results:	Conforms	
Details:		<i>QMS-03 describes the endorsement of Operational Plan by the City of Kawartha Lakes Supervisor of Water and Wastewater Operations, Manager of Environmental Services and Director of Public Works on January 9-10, 2018. City of Kawartha Lakes Council motion CR2017-1047 on December 12, 2017 serves as the official endorsement of the QMS. Reviewed and accepted.</i>
DWQMS Reference:	4	Quality Management System Representative
Client Reference:	QMS-04	- QMS Representative, revision 5, April 25, 2018
Results:	Conforms	
Details:		<i>The roles of QMS Representative and Designate are appointed by Top Management and are filled by the Quality Management and Policy Coordinator (main rep) and the Supervisor of Water and Wastewater Services (designate). Reviewed and accepted.</i>
DWQMS Reference:	5	Document and Record Control
Client Reference:	QMS-05	Document and Records Control, revision 14, April 26, 2018
Results:	Conforms	
Details:		<i>Procedure QMS-05 reviewed and accepted.</i>

DWQMS Reference:

Client Reference:

Results:

Details:

6 Drinking Water System

QMS-06 Drinking Water System, revision 15, July 12, 2018 including Drinking Water System Descriptions for each of the facilities.

Conforms

Contents of Drinking Water System Descriptions reviewed and accepted for all systems including:

- *Lindsay Drinking Water System (Treatment and Distribution)*
- *Bobcaygeon Drinking Water System (Distribution only)*
- *Canadiana Shores Drinking Water System (Distribution only)*
- *Fenelon Falls Drinking Water System (Distribution only)*
- *Janetville Drinking Water System (Distribution only)*
- *Kings Bay Drinking Water System (Distribution only)*
- *Kinmount Drinking Water System (Distribution only)*
- *Manilla Drinking Water System (Distribution only)*
- *Manorview Drinking Water System (Distribution only)*
- *Mariposa Estates Drinking Water System (Distribution only)*
- *Norland Drinking Water System (Distribution only)*
- *Omeme Drinking Water System (Distribution only)*
- *Pinewood Drinking Water System (Distribution only)*
- *Pleasant Point Drinking Water System (Distribution only)*
- *Southview Drinking Water System (Distribution only)*
- *Victoria Place Drinking Water System (Distribution only)*
- *Woodfield Drinking Water System (Distribution only)*
- *Woodville Drinking Water System (Distribution only)*
- *Sonya Village Subdivision Drinking Water System (Distribution only)*
- *Western Trent/Palmina Drinking Water System (Distribution only)*
- *Birchpoint Estates Drinking Water System (Distribution only)*

DWQMS Reference

Client Reference:

Results:

Details:

7 Risk Assessment

QMS-07 Risk Assessment, revision 9, May 1, 2017

Conforms

Procedure QMS-07 reviewed and accepted.

DWQMS Reference:

Client Reference:

Results:

Details:

8 Risk Assessment Outcomes

QMS-08 Risk Assessment Outcomes, revision 0, March 6, 2018 and Risk Assessment Tables for each Drinking Water System

Conforms

Risk Assessment Tables, Summary of Critical Control Points reviewed and accepted for all systems including the Lindsay Drinking Water System (Treatment and Distribution) as well as all Distribution Systems

Risk Assessment information is current as of the most recent review in October 2017. Reviewed and accepted.

DWQMS Reference:	9	Organizational Structure, Roles, Responsibility and Authorities
Client Reference:		QMS-09 Organizational Structure, Roles, Responsibilities and Authorities, revision 6, May 1, 2017 and associated tables.
Results:		Conforms
Details:		<i>Organizational Structure, Roles, Responsibility and Authorities reviewed are adequately described in procedure QMS-09 and associated tables. Reviewed and accepted.</i>
DWQMS Reference:	10	Competencies
Client Reference:		QMS-10 Competencies, revision 12, March 26, 2018
Results:		Conforms
Details:		<i>Competencies by position for all personnel reviewed and are adequately described in QMS-10 and the associated table. Process in place for initial and ongoing training for personnel performing duties affecting drinking water quality. Reviewed and accepted.</i>
DWQMS Reference:	11	Personnel Coverage
Client Reference:		QMS-11 Personnel Coverage, Revision 11, November 7, 2016
Results:		Conforms
Details:		<i>Procedure QMS-11 reviewed and accepted.</i>
DWQMS Reference:	12	Communications
Client Reference:		QMS-12 Communications, Revision 7, April 25, 2018
Results:		Conforms
Details:		<i>Procedure QMS-12 reviewed and accepted.</i>
DWQMS Reference:	13	Essential Supplies and Services
Client Reference:		QMS-13 Essential Supplies and Services, revision 10, November 21, 2016
Results:		Conforms
Details:		<i>Procedure QMS-13 Essential Supplies and Services reviewed and accepted. Form QMS_13_01, rev. 5, April 27, 2016 Essential Supplies and Services List contains a list of all approved supplies. Appendix QMS_13_Ap-D, rev. 6, April 23, 2018 contains a list of all approved suppliers and subcontractors. Reviewed and accepted.</i>
DWQMS Reference:	14	Review and Provision of Infrastructure
Client Reference:		QMS-14 Review and Provision of Infrastructure, revision 10, June 13, 2018
Results:		Conforms
Details:		<i>Procedure QMS-14 reviewed and accepted.</i>
DWQMS Reference:	15	Infrastructure Maintenance, Rehabilitation and Renewal
Client Reference:		QMS-15 Infrastructure Maintenance, Rehabilitation and Renewal, revision 12, April 26, 2018
Results:		Conforms
Details:		<i>Procedure QMS-15 reviewed and accepted.</i>

DWQMS Reference:	16 Sampling, Testing and Monitoring
Client Reference:	QMS-16 Sampling, Testing and Monitoring, revision 8, May 16, 2017 City of Kawartha Lakes Sampling Calendars for 2018 for all drinking water systems
Results:	Opportunity for Improvement
Details:	<i>Procedure QMS-16 reviewed and accepted. Sampling calendars have been generated for all 21 sites for the City of Kawartha Lakes (Lindsay Treatment Facility and all distribution systems). The owner is provided with an annual summary of sampling, testing and monitoring results. Procedures and Sampling Calendars reviewed and accepted.</i> Opportunity for Improvement – Consider including general guidance in procedure QMS-16 for selection of sampling points which are conditions most challenging to the subject system.
DWQMS Reference:	17 Measurement and Recording Equipment Calibration and Maintenance
Client Reference:	QMS-17 Measurement and Recording Equipment Calibration and Maintenance, revision 10, November 21, 2016
Results:	Conforms
Details:	<i>Procedure QMS-17 reviewed and accepted.</i>
DWQMS Reference:	18 Emergency Management
Client Reference:	QMS-18 Emergency Management, revision 11, July 11, 2017
Results:	Conforms
Details:	<i>General requirements are described in procedure QMS-18 and the City of Kawartha Lakes Corporate Emergency Plan. Response procedures are described in numerous SOPs. A specific contingency plan exists for the Lindsay treatment facility. Emergency contact list is current (April 19, 2018). Reviewed and accepted.</i>
DWQMS Reference:	19 Internal Audits
Client Reference:	QMS-19 Internal Audits, revision 7, April 25, 2018
Results:	Conforms
Details:	<i>Procedure QMS-19 meets the requirements of section 19 of the DWQMS. Internal Audits are performed annually. Most recent internal audit for City of Kawartha Lakes Systems was performed on November 20-27, 2017. No non-conformances and 9 Opportunities for Improvement were identified. Audit procedure and results reviewed and accepted,</i>
DWQMS Reference:	20 Management Review
Client Reference:	QMS-20 Management Review, revision 8, April 26, 2018
Results:	Conforms
Details:	<i>Procedure QMS-20 captures all PLAN requirements from section 20 of the DWQMS. Management Reviews are conducted a minimum of once every calendar year. Action items from Management Review and updates to items from previous Management Reviews are tracked on a separate form QMS_20_03. Ongoing action items were updated as of November 2017. Most recent Management Review meeting to be reviewed at the on-site Re-Accreditation Audit in August 2018.</i>

DWQMS Reference:

Client Reference:

Results:

Details:

21 Continual Improvement

QMS-21 Continual Improvement, revision 8, June 15, 2018

Conforms

Procedure QMS-21 reviewed and accepted. The operating authority strives to continually improve the effectiveness of its Quality Management System through the use of the quality policy, audit results, adverse results, best management practices, identification and management of corrective actions and management review.

Best Management Practices, Opportunities for Improvement and Corrective Actions are used as tools to demonstrate continual improvement. 9 Opportunities for Improvement were identified during the most recent internal audit and were documented on the OFI form QMS_21_03.

Corrective Action Reports were generated for various incidents throughout 2017. Reviewed CAR # 2017-003 for high TC on a hydrant sample, which was investigated and determined to be a sampling error.

PART E. RECOMMENDATION – Systems Audit

The auditor recommends the following:

- ☐ Offer of accreditation
- ☐ Offer of accreditation after response to corrective action requests has been deemed acceptable to the SAI Global
- ☐ On-site verification audit after response to corrective action requests has been deemed acceptable by the SAI Global
- ☒ On-site verification audit as next step in the accreditation process
- ☐ On-site verification of corrective action requests
- ☐ Maintenance of existing accreditation
- ☐ Complete re-assessment

Final comments: Extremely detailed and up to date procedures and records to support the QMS. Good use of Corrective Action process for various incidents in 2017.



Paul Cartlidge
Quality Management System Lead Auditor
SAI Global