

# ACCREDITATION PROGRAM FOR OPERATING AUTHORITIES SYSTEMS VERIFICATION AUDIT REPORT – 2017

**FILE #: 1631768-01**

**The Corporation of the City of Kawartha Lakes  
OAP 141 (Distribution)**

**Operating Authority for:**

Birchpoint Estates Drinking Water System  
Bobcaygeon Drinking Water System  
Canadiana Shores Drinking Water System  
Fenelon Falls Drinking Water System  
Janetville Drinking Water System  
King's Bay Drinking Water System  
Kinmount Drinking Water System  
Lindsay Drinking Water System  
Manorview Drinking Water System  
Mariposa Estates Drinking Water System  
Norland Drinking Water System  
Omemee (Victoria Glen) Drinking Water System  
Pinewood Drinking Water System  
Pleasant Point Drinking Water System  
Sonya Village Subdivision Drinking Water System  
Southview Estates Drinking Water System  
Victoria Place Drinking Water System  
Western Trent/Palmina Drinking Water System  
Woodfield Drinking Water System  
Woods of Manilla Drinking Water System  
Woodville Drinking Water System

## S2 Surveillance Audit

**Prepared by:** James McLarty

**Date:** Apr 10, 2017

## 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:

James McLarty

## Audit Report Distribution List:

The Audit Report is distributed as follows:

- Operating Authority
- Owner
- Ministry of the Environment Director

## Confidentiality and Documentation Requirements

SAI Global stores their records and reports to ensure their preservation and confidentiality. Unless required by law, SAI Global will not disclose audit records to a third party without prior written consent of the applicant. The only exception will be that 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 verification audit of the The Corporation of the City of Kawartha Lakes Operational Plan to verify 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.**

### 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 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 OAP 141 (Distribution)

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

Applicant representative Julie Henry

Title Quality Management and Policy Coordinator

Telephone 705-324-9411 2391 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 «2391» Fax (705) 328- 3054

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

Accreditation Option: Full Scope - Entire DWQMS

Population Served: 29,192

This audit report covers the subject systems listed:

<b>System</b>	<b>Type of System</b>
Birchpoint Estates Drinking Water System	Distribution only
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
King's Bay Drinking Water System	Distribution only
Kinmount Drinking Water System	Distribution only
Lindsay Drinking Water System	Treatment and Distribution
Manorview Drinking Water System	Distribution only
Mariposa Estates Drinking Water System	Distribution only
Norland Drinking Water System	Distribution only
Omemee (Victoria Glen) Drinking Water System	Distribution only
Pinewood Drinking Water System	Distribution only
Pleasant Point Drinking Water System	Distribution only
Sonya Village Subdivision Drinking Water System	Distribution only
Southview Estates Drinking Water System	Distribution only
Victoria Place Drinking Water System	Distribution only
Western Trent/Palmina Drinking Water System	Distribution only
Woodfield Drinking Water System	Distribution only
Woods of Manilla Drinking Water System	Distribution only
Woodville Drinking Water System	Distribution only

List of Level 1 and Level 2 Documentation Reviewed including reports etc.:

QMS-01	Overview of Operational Plan	Revision 6, dated 2016-04-18
QMS-02	Quality Management System Policy	Revision 0, dated 2016-11-18
QMS-03	Commitment and Endorsement	Revision 0, dated 2016-11-18
QMS-04	Quality Management System Representative	Revision 4, dated 2014-08-06
QMS-05	Document and Records Control	Revision 11, dated 2016-02-24
QMS-06	Drinking Water System Descriptions	Revision 11, dated 2016-11-21
QMS-07	Risk Assessment R4	Revision 8, dated 2016-11-21
QMS-09	Organizational Structure, Roles, Responsibilities and Authorities	Revision 10, dated 2016-11-21
QMS-10	Competencies	Revision 11, dated 2016-12-20
QMS-11	Personnel Coverage	Revision 11, dated 2016-11-07
QMS-12	Communications	Revision 6, dated 2016-11-21
QMS-13	Essential Supplies and Services	Revision 10, dated 2016-11-21
QMS-14	Review and Provision of infrastructure	Revision 8, dated 2017-02-09
QMS-15	Infrastructure Maintenance, Rehab & Renewal	Revision 10, dated 2017-02-09
QMS-16	Sampling, Testing and Monitoring	Revision 7, dated 2017-02-09
QMS-17	Measurement and Recording Equipment Calibration & Maintenance	Revision 10, dated 2016-11-21
QMS-18	Emergency Management	Revision 9, dated 2016-11-21
QMS-19	Internal Audits	Revision 6, dated 2016-11-21
QMS-20	Management Review	Revision 6, dated 2016-11-21
QMS-21	Continual Improvement	Revision 7, dated 2016-11-21
Table QMS_08_T_01	Risk Assessment for 2016	Revision 1, dated 2017-03-02
Table QMS_08_T_-02	Summary of Critical Control Points	Revision 8, No date
Table QMS_09_T_02	Roles, Responsibilities, Authorities	Revision 9, dated 2017-01-12
QMS_10_T-01	Competencies Table	Revision 9, dated 2016-11-21
QMS_11_Sched_01	2017 On-call and ORO Schedule	dated 2017-01-24
QMS_13_Ap_D	Essential Suppliers and Services Listing	Revision 2, dated 2016-11-21
QMS_18_Plan_04	Lindsay DWS Contingency Plan	Revision 12, dated 2017-03-10
QMS_18_Ap_A	CKL Emergency Contact List	Revision 10, dated 2016-11-28
QMS_16_01	Lindsay DWS Sampling Plan	Revision 6, dated 2016-12-05
QMS_19_03	Internal Audit Report 7A	dated 2016-11-28
QMS_18_Plan_04	Contingency Plan	Revision 12, dated 2017-03-10
Management Review meeting minutes, from meeting 2016-06-30		

## PART C. SUMMARY OF FINDINGS

SUMMARY OF FINDINGS							
<i>OPERATING AUTHORITY</i> The Corporation of the City of Kawartha Lakes OAP 141 (Distribution)						<b>1631768-01</b>	
<i>ACCREDITATION CYCLE: S2 Surveillance Audit</i>							
<i>AUDIT TYPE</i> <input checked="" type="checkbox"/> Systems <input type="checkbox"/> On-Site Verification			<i>AUDITOR</i> James McLarty			Apr 10, 2017 to Apr 11, 2017	
<i>SUBJECT SYSTEMS AUDITED</i> ① The table includes all drinking water systems identified on page 5							
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		OFI					
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		C					
17. Measurement & Recording Equipment Calibration and Maintenance		C					
18. Emergency Management		C					
19. Internal Audits		C					
20. Management Review		C					
21. Continual Improvement		C					
<b>Mj</b>	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.						
<b>Mn</b>	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.						
<b>OFI</b>	Opportunity for improvement. Conforms to the requirement, but there is an opportunity for improvement.						
<b>C</b>	Conforms to requirement.						
	Not applicable to this audit.						
<b>*</b>	Additional comment added by auditor in the body of the report.						

## PART D. FINDINGS/COMMENTS

- DWQMS Reference: 1 Quality Management System  
*Client Reference:* Quality Management System QMS-01  
*Results:* **Acceptable**  
*Details:* *The documented Operational Plan meets the DWQMS requirements.*
- DWQMS Reference: 2 Quality Management System Policy  
*Client Reference:* Quality Management System QMS-02  
*Results:* **Acceptable**  
*Details:* *The Quality Management System Policy was endorsed on January 24, 2017 by the Owner.*
- DWQMS Reference: 3 Commitment and Endorsement  
*Client Reference:* Quality Management System QMS-03  
*Results:* **Acceptable**  
*Details:* *The Operational Plan was endorsed on or about January 10, 2017 by Top Management and by city council on Dec. 13, 2016.*
- DWQMS Reference: 4 Quality Management System Representative  
*Client Reference:* Quality Management System QMS-04, Appendix 4A  
*Results:* **Acceptable**  
*Details:* *The Management Representative is identified as the Quality Management and Policy Coordinator, Julie Henry, on 2015-06-26.*
- DWQMS Reference: 5 Document and Record Control  
*Client Reference:* Quality Management System QMS-05  
*Results:* **Opportunity for Improvement**  
*Details:* *There is an Opportunity for Improvement of the Operational Plan by ensuring that all system procedures are maintained and updated with sequential on-going updated revision references. The document control procedure describes how documents requiring control are managed and controlled. The records procedures describes how records are managed.*
- DWQMS Reference: 6 Drinking Water System  
*Client Reference:* Quality Management System QMS-06 and drinking water system maps  
*Results:* **Acceptable**  
*Details:* *The Operational Plan describes the twenty-one drinking water systems. The Operating Authority is only responsible for the distribution operations of twenty of the drinking water systems. The Operating Authority is responsible for both the operation and distribution of the Lindsay Drinking Water System.*

DWQMS Reference:	7	Risk Assessment
Client Reference:		Quality Management System QMS-07
Results:		<b>Acceptable</b>
Details:		<i>The Risk Assessment procedure describes the steps as to how the risk assessment process is to be conducted.</i>
DWQMS Reference:	8	Risk Assessment Outcomes
Client Reference:		Quality Management System QMS-08
Results:		<b>Acceptable</b>
Details:		<i>A risk assessment review was concluded on or about March 3, 2017.</i>
DWQMS Reference:	9	Organizational Structure, Roles, Responsibility and Authorities
Client Reference:		Quality Management System QMS-09
Results:		<b>Acceptable</b>
Details:		<i>The organizational structure, roles, responsibilities and authorities are described within this section of the Operational Plan.</i>
DWQMS Reference:	10	Competencies
Client Reference:		Quality Management System QMS-10
Results:		<b>Acceptable</b>
Details:		<i>Competencies requirements for all employees of the Operating Authority regarding Drinking Water Systems are described in the Operational Plan and associated Competencies Table.</i>
DWQMS Reference:	11	Personnel Coverage
Client Reference:		Quality Management System QMS-11
Results:		<b>Acceptable</b>
Details:		<i>The Operational Plan describes how personnel coverage is met and managed. An on-call schedule for 2017 was provided for review.</i>
DWQMS Reference:	12	Communications
Client Reference:		Quality Management System QMS-12
Results:		<b>Acceptable</b>
Details:		<i>The Operational Plan describes the communication processes that should take place between Top Management and the owner, operating personnel, suppliers and the public.</i>
DWQMS Reference:	13	Essential Supplies and Services
Client Reference:		Quality Management System QMS-13
Results:		<b>Acceptable</b>
Details:		<i>Essential supplies and services are identified within this section of the Operational Plan. An additional Emergency Contact List is included in the Emergency Response section of the Operational Plan.</i>

- DWQMS Reference: 14 Review and Provision of Infrastructure  
*Client Reference:* Quality Management System QMS-14  
*Results:* **Acceptable**  
*Details:* *The Operational Plan describes how the Review and Provision of Infrastructure including the review of existing infrastructure and the determination of any new infrastructure is managed.*
- DWQMS Reference: 15 Infrastructure Maintenance, Rehabilitation and Renewal  
*Client Reference:* Quality Management System QMS-15  
*Results:* **Acceptable**  
*Details:* *The Operational Plan describes how the infrastructure rehabilitation, renewal and maintenance programs and activities are to be undertaken.*
- DWQMS Reference: 16 Sampling, Testing and Monitoring  
*Client Reference:* Quality Management System QMS-15  
*Results:* **Acceptable**  
*Details:* *The Operational Plan describes how the Operating Authority meets all required sampling, testing and monitoring requirements. A sample schedule for 2017 was supplied for review.*
- DWQMS Reference: 17 Measurement and Recording Equipment Calibration and Maintenance  
*Client Reference:* Quality Management System QMS-17  
*Results:* **Acceptable**  
*Details:* *The Operational Plan describes how the Operating Authority meets the required calibrations and maintenance activities to ensure that equipment meets calibration and maintenance requirements.*
- DWQMS Reference: 18 Emergency Management  
*Client Reference:* Quality Management System QMS-18  
*Results:* **Acceptable**  
*Details:* *The Operational Plan describes the Emergency Management process to used ensure safe, clean drinking water is provided. The City of Kawartha Lakes has a corporate emergency plan.*
- DWQMS Reference: 19 Internal Audits  
*Client Reference:* Quality Management System QMS-19  
*Results:* **Acceptable**  
*Details:* *The Internal Audit report was dated November 28, 2016. Several opportunities for Improvement were generated as a result of the internal audit.*

DWQMS Reference: 20 Management Review  
*Client Reference:* Quality Management System QMS-20  
*Results* **Acceptable**  
*Details:* *The Management Review with great detail was held on June 29, 2016. All sixteen requirements were included in the review process.*

DWQMS Reference: 21 Continual Improvement  
*Client Reference:* Quality Management System QMS-21  
*Results:* **Acceptable**  
*Details:* *Corrective actions are issued as part of the continual improvement process. Car responses are reviewed, accepted and closed out as required.*

## 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: None



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E-signature of Lead Auditor