

**ACCREDITATION PROGRAM FOR OPERATING AUTHORITIES
ON-SITE/SYSTEMS VERIFICATION AUDIT REPORT – 2017****FILE #: 1634181-01****Ontario Clean Water Agency****Operating Authority for:****City of Kawartha Lakes****S2 Surveillance Audit****Prepared by: Paul Cartlidge****Date: March 27, 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:

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 Ontario Clean Water Agency for the City of Kawartha Lakes for conformance with the requirements of DWQMS: Oct. 2006.

The overall effectiveness of the Ontario Clean Water Agency for 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 Ontario Clean Water Agency – Kawartha HubAddress 123 East St South Bobcaygeon, OntarioApplicant representative Geoff ReddenTitle Senior Operations ManagerTelephone 705-738-9734 Fax E-mail gredden@ocwa.com**Owner:**Legal name and address City of Kawartha Lakes
☐ same as above, or: 12 Peel St., Box 9000 Lindsay OntarioApplicant representative Geoff ReddenTitle Senior Operations ManagerTelephone 705-738-9734 Fax E-mail gredden@ocwa.com

Accreditation Option: Full Scope - Entire DWQMS

Population Served: 11665

This audit report covers the subject systems listed:

Bobcaygeon Drinking Water System
Canadiana Shores Drinking Water System
Fenelon Falls Drinking Water System
Janetville Drinking Water System
Kings Bay Drinking Water System
Kinmount Drinking Water System
Manilla Drinking Water System
Manorview Drinking Water System
Mariposa Estates Drinking Water System
Norland Drinking Water System
Omemee Drinking Water System
Pinewood Drinking Water System
Pleasant Point Drinking Water System
Southview Drinking Water System
Victoria Place Drinking Water System
Woodfield Drinking Water System
Woodville Drinking Water System
Sonya Village Subdivision Drinking Water System
Western Trent/Palmina Drinking Water System
Birchpoint Estates Drinking Water System

PART C. SUMMARY OF FINDINGS

SUMMARY OF FINDINGS							
OPERATING AUTHORITY Ontario Clean Water Agency for the City of Kawartha Lakes						1634181-01	
ACCREDITATION CYCLE: S2 Surveillance Audit							
AUDIT TYPE <input checked="" type="checkbox"/> Systems <input type="checkbox"/> On-Site Verification				AUDITOR Paul Cartlidge		Mar 27, 2017 to Mar 28, 2017	
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							
13. Essential Supplies and Services	C						
14. Review and Provision of Infrastructure							
15. Infrastructure Maintenance, Rehabilitation & Renewal	C						
16. Sampling, Testing and Monitoring	C						
17. Measurement & Recording Equipment Calibration and Maintenance							
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.						
OFl	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:		Multi Facility Operational Plan for the City of Kawartha Lakes Drinking Water Systems, Revision 9, 31-Oct-2016
Results:		Conforms
Details:		<i>Documented Quality Management System described in the Multi Facility Operational Plan for the City of Kawartha Lakes Drinking Water Systems, Revision 9, 31-Oct-2016</i>
DWQMS Reference:	2	Quality Management System Policy
Client Reference:		Multi Facility Operational Plan for the City of Kawartha Lakes Drinking Water Systems, Revision 9, 31-Oct-2016, section 2 – Quality & Environmental Management System Policy
Results:		Conforms
Details:		<i>Policy Statement describes the Quality Management System – reviewed and accepted. Policy statement was revised and approved by OCWA Board of Directors on April 6, 2016.</i>
DWQMS Reference:	3	Commitment and Endorsement
Client Reference:		Multi Facility Operational Plan for the City of Kawartha Lakes Drinking Water Systems, Revision 9, 31-Oct-2016, section 3 - Commitment & Endorsement of OCWA'S QEMS & Operational Plan and Appendix N – signed Commitment and Endorsement Sheet.
Results:		Conforms
Details:		<i>Appendix N contains written endorsement of Operational Plan signed by OCWA representatives on November 1, 2016 and City of Kawartha Lakes Director of Public Works on November 10, 2016.</i>
DWQMS Reference:	4	Quality Management System Representative
Client Reference:		Multi Facility Operational Plan for the City of Kawartha Lakes Drinking Water Systems, Revision 9, 31-Oct-2016, section 4 - Quality & Environmental Management System Representative
Results:		Conforms
Details:		<i>The role of QEMS Representative is shared between the Senior Operations Manager, Operations Manager and Process and Compliance Technician (PCT).</i>
DWQMS Reference:	5	Document and Record Control
Client Reference:		QEMS Procedure QP-01 Document and Records Control Procedure.
Results:		Conforms
Details:		<i>QEMS Procedure QP-01 Document and Records Control Procedure revision 11, 31-Oct-2016 reviewed and contains instructions for documents and records control.</i>

DWQMS Reference:
Client Reference:

6 Drinking Water System
Multi Facility Operational Plan for the City of Kawartha Lakes Drinking Water Systems, Revision 9, 31-Oct-2016, section 6 and Appendix B-1 to B-20 for Drinking Water System Descriptions of the facilities.

Results:
Details:

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

- B-1 Bobcaygeon WTF, revision 9, 31-Oct-2016
- B-2 Canadiana Shores WTF, revision 5, 31-Oct-2016
- B-3 Fenelon Falls WTF, revision 7, 31-Oct-2016
- B-4 Janetville WTF, revision 4, 31-Oct-2016
- B-5 Kings Bay WTF, revision 5, 31-Oct-2016
- B-6 Kinmount WTF, revision 5, 31-Oct-2016
- B-7 Manilla WTF, revision 7, 31-Oct-2016
- B-8 Manorview WTF, revision 6, 31-Oct-2016
- B-9 Mariposa Estates WTF, revision 5, 31-Oct-2016
- B-10 Norland WTF, revision 4, 31-Oct-2016
- B-11 Omemee WTF, revision 5, 31-Oct-2016
- B-12 Pinewood WTF, revision 6, 31-Oct-2016
- B-13 Pleasant Point WTF, revision 7, 31-Oct-2016
- B-14 Southview WTF, revision 6, 31-Oct-2016
- B-15 Victoria Place WTF, revision 5, 31-Oct-2016
- B-16 Woodfield WTF, revision 4, 31-Oct-2016
- B-17 Woodville WTF, revision 5, 31-Oct-2016
- B-18 Sonya Village Subdivision Drinking Water System, revision 2, 31-Oct-2016
- B-19 Western Trent/Palmina Drinking Water System, revision 4, 31-Oct-2016
- B-20 Birchpoint Estates Drinking Water System, revision 4, 31-Oct-2016

DWQMS Reference
Client Reference:

7 Risk Assessment
QEMS Procedure QP-02 Risk Assessment and Risk Assessment Outcomes

Results:
Details:

Conforms
QEMS Procedure QP-02 Risk Assessment and Risk Assessment Outcomes, revision 7, 31-Oct-2016 reviewed and accepted.

DWQMS Reference:
Client Reference:

8 Risk Assessment Outcomes
Risk Assessment Outcomes for each Drinking Water System (see below)

Results:
Details:

Conforms
Summary of Risk Assessment Outcomes reviewed and accepted for all systems including:

- C-1 Bobcaygeon WTF, revision 9, 25-Sep-15
- C-2 Canadiana Shores WTF, revision 8, 09-Mar-15
- C-3 Fenelon Falls WTF, revision 7, 11-Mar-15
- C-4 Janetville WTF, revision 5, 09-Mar-15
- C-5 Kings Bay WTF, revision 7, 09-Mar-15
- C-6 Kinmount WTF, revision 7, 09-Mar-15

- C-7 Manilla WTF, revision 6, 10-Mar-15
- C-8 Manorview WTF, revision 7, 09-Mar-15
- C-9 Mariposa Estates WTF, revision 7, 09-Mar-15
- C-10 Norland WTF, revision 7, 09-Mar-15
- C-11 Omemee WTF, revision 6, 11-Mar-15
- C-12 Pinewood WTF, revision 6, 09-Mar-15
- C-13 Pleasant Point WTF, revision 7, 09-Mar-15
- C-14 Southview WTF, revision 6, 11-Mar-15
- C-15 Victoria Place WTF, revision 6, 09-Mar-15
- C-16 Woodfield WTF, revision 4, 09-Mar-15
- C-17 Woodville WTF, revision 7, 11-Mar-15
- C-18 Sonya Village Subdivision Drinking Water System, revision 3, 09-Mar-15
- C-19 Western Trent/Palmina Drinking Water System, revision 2, 09-Mar-15
- C-20 Birchpoint Estates Drinking Water System, revision 3, 09-Mar-15

Currency of the information and validity of assumptions used in Risk Assessments are reviewed as part of the Management Review process (see element 20).

DWQMS Reference:	9	Organizational Structure, Roles, Responsibility and Authorities
Client Reference:		Multi Facility Operational Plan for the City of Kawartha Lakes Drinking Water Systems, Revision 9, 31-Oct-2016, section 9 - Organizational Structure, Roles, Responsibilities and Authorities and Appendix D - QEMS Organizational Structure for the City of Kawartha Lakes Water Treatment Facilities, Revision 3, 30-Sep-15
Results:		Conforms
Details:		<i>Organizational Structure, Roles, Responsibility and Authorities reviewed are adequately described in the Operational Plan. Reviewed and accepted.</i>
DWQMS Reference:	10	Competencies
Client Reference:		Multi Facility Operational Plan for the City of Kawartha Lakes Drinking Water Systems, Revision 9, 31-Oct-2016, section 10 - Competencies
Results:		Conforms
Details:		<i>Competencies by position for all personnel reviewed and are adequately described in the Operational Plan. 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:		QEMS Procedure QP-03 Personnel Coverage, Revision 8, 31-Oct-16
Results:		Conforms
Details:		<i>Personnel Coverage is ensured through a scheduling system as described in QEMS Procedure QP-03 Personnel Coverage, Revision 8, 31-Oct-16 reviewed and accepted.</i>

DWQMS Reference:	13 Essential Supplies and Services
Client Reference:	QEMS Procedure QP-05 Essential Supplies and Services, revision 6, 31-Oct-16
Results:	Conforms
Details:	<i>QEMS Procedure QP-05 Essential Supplies and Services describes the requirements for contractors, water testing services, calibration services, chemical supplies and process components and the controls placed on these companies. Essential Supplies and Services List, Sept 22, 2016 contains a list of all companies. Reviewed and accepted.</i>
DWQMS Reference:	15 Infrastructure Maintenance, Rehabilitation and Renewal
Client Reference:	Multi Facility Operational Plan for the City of Kawartha Lakes Drinking Water Systems, Revision 9, 31-Oct-2016, section 15 - Infrastructure Maintenance, Rehabilitation and Renewal
Results:	Conforms
Details:	<i>Operational Plan includes a process for review of Infrastructure and includes a requirement to review with the System Owner. Reviewed and accepted.</i>
DWQMS Reference:	16 Sampling, Testing and Monitoring
Client Reference:	QEMS Procedure QP-07 Sampling, Testing and Monitoring, revision 5, 31-Oct-16 Kawartha Hub Sampling Calendars for 2017 for all drinking water systems
Results:	Conforms
Details:	<i>QEMS Procedure QP-07 Sampling, Testing and Monitoring includes the requirement that all sampling, monitoring and testing is conducted at a minimum in accordance with SDWA O. Reg. 170/03, in addition to the requirements by the Owner. Sampling calendars have been generated for all 20 sites covered by the Ontario Clean Water Agency for the City of Kawartha Lakes. The owner is provided with an annual summary of sampling, testing and monitoring results. Procedures and Sampling Calendars reviewed and accepted.</i>
DWQMS Reference:	18 Emergency Management
Client Reference:	QEMS Procedure QP-09 Emergency Management, revision 5, 31-Oct-16
Results:	Conforms
Details:	<i>General requirements are described in procedure QP-09 and the OCWA Emergency Response Plan. The following specific contingency plans have been established:</i> <ul style="list-style-type: none"> • CP-01 Spill Response, Revision 1, 30-Jun-14 • CP-02 Critical Injury, Revision 2, 30-Jun-14 • CP-03 Critical Shortage of Staff, Revision 2, 30-Jun-14 • CP-04 Loss of Service, Revision 0, 30-Jun-14 • CP-05 Unsafe Water, Revision 2, 30-Jun-14 • CP-06 Security Breach, Revision 0, 30-Jun-14 <i>Procedures reviewed and accepted.</i>

DWQMS Reference:	19 Internal Audits
Client Reference:	QEMS Procedure QP-10 Internal QEMS Audits, Revision 3, 31-Oct-16
Results:	Conforms
Details:	<i>Procedure QP-10 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 July 26, 2016 and findings are described in the Internal QEMS Audit Report. No non-Conformities were identified and Opportunities for Improvement were identified on 16 elements of the DWQMS. Internal Audit Procedure and Report reviewed and accepted.</i>
DWQMS Reference:	20 Management Review
Client Reference:	QEMS Procedure QP-11 Management Review, revision 4, 31-Oct-2016
Results:	Conforms
Details:	<i>Procedure QP-11 captures all PLAN requirements from section 20 of the DWQMS. Management Reviews are conducted a minimum of once every 12 months. Most recent Management Review Meeting was held October 5, 2016. Meeting minutes reviewed and contained comments and action items based on the PLAN requirements of the DWQMS. Previous Management Review Implementation Action Plan as of 05-Oct-2016 reviewed. Action Plan is reviewed quarterly to monitor progress on Action Items. The Management Review summary was provided to the Owner on November 10, 2016. Minutes and Action Plans reviewed and accepted.</i>
DWQMS Reference:	21 Continual Improvement
Client Reference:	Multi Facility Operational Plan for the City of Kawartha Lakes Drinking Water Systems, Revision 9, 31-Oct-2016, section 21 – Continual Improvement
Results:	Conforms
Details:	<i>Opportunities for Improvement were identified on 16 elements of the DWQMS were identified on the most recent Internal Audit and are listed on the Management Review Implementation Action Plan, which is a living document containing the status of all action items from the Management Review Process. Many of the action items from the most recent internal audit were noted to be complete as of October 31, 2016. Reviewed and accepted.</i>

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: Well implemented and maintained Quality Management System for the City of Kawartha Lakes. Internal Audit was well performed and Management Review contained detailed information on the performance of the QMS. Opportunities for Improvement identified during the internal audit were addressed and action items were promptly completed.



E-signature of Lead Auditor / Auditor

