

Internal QMS Audit Report

LaSalle Water Distribution System

Owned & Operated by: The Town of LaSalle

Report Prepared By: Karen Burgess, Senior Operations Manager, OCWA
Terry Korman, Safety Process & Compliance Manager, OCWA

Report Issued: November 10, 2020

GENERAL INFORMATION

Audit Objectives:

- To evaluate the conformance of the Quality Management System (QMS) as implemented at the Drinking Water System(s) listed below to the requirements of the Drinking Water Quality Management Standard (DWQMS) version 2.0 (v.2.0).
- To identify non-conformities with the documented QMS.
- To assess the effectiveness of the QMS and assist in its continual improvement.

Audit Criteria:

- DWQMS v.2.0
- Current Operational Plan for the LaSalle Water Distribution System, Revision 18 – June 22, 2020
- QMS-related documents and records

Audit Scope:

Activities and processes related to QMS (as documented in the DWQMS Operational Plan) implemented at the following Drinking Water System(s) (DWS) owned by the Town of LaSalle:

1. LaSalle Water Distribution System

Auditor(s): Karen Burgess, Senior Operations Manager, OCWA
Terry Korman, Safety Process & Compliance Manager, OCWA

Participant(s): Lena Petros, Manager of Water & Wastewater and QMS Representative

Date(s): November 10, 2020

Audit Methods: Interview and review of documentation and records

1. SUMMARY OF FINDINGS

The overall effectiveness of the QMS is considered: ☒ Effective ☐ Not effective

| DWQMS Element | Finding |
|--|---|
| 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 | OFI |
| 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 and Renewal | C |
| 16. Sampling, Testing and Monitoring | C |
| 17. Measurement and Recording Equipment Calibration and Maintenance | C |
| 18. Emergency Management | C |
| 19. Internal Audits | C |
| 20. Management Review | C |
| 21. Continual Improvement | OFI |
| N/C | Non-Conformance – non-fulfillment of a requirement |
| OFI | Opportunity for Improvement – conforms to the requirement, but there is opportunity for improvement |
| C | Conforms to the requirement |

2. DETAILS OF FINDINGS

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| DWQMS Element/Reference Element 5 – Document and Records Control |
| Type <input type="checkbox"/> N/C <input checked="" type="checkbox"/> OFI <input type="checkbox"/> Auditor Comment |
| Description/Details <p>Table 1 identifies many of the QMS documents as being available as a hard copy (HC) or electronic copy (EC) however now that City Wide is being utilized some of the documents are only available as EC.</p> <p>OFI - The issued date on the header of CP-04 Loss of Service has two different dates (October 6, 2016 & October 26, 2016). All documents need to be reviewed to ensure they are consistent. Also must ensure that the designated location for all documents is reviewed and updated when changes are made.</p> |

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| DWQMS Element/Reference Element 6 – Drinking Water System |
| Type <input type="checkbox"/> N/C <input checked="" type="checkbox"/> OFI <input type="checkbox"/> Auditor Comment |
| Description/Details <p>There were no major changes to the drinking water system this year.</p> <p>OFI - The operational plan indicates that the system consists of approximately 211 km of watermain, 10,300 service connections to serve a population of approximately 30,000 residents. These numbers were last updated in 2017 and should be updated if applicable.</p> |

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| DWQMS Element/Reference Element 21 – Continual Improvement |
| Type <input type="checkbox"/> N/C <input checked="" type="checkbox"/> OFI <input type="checkbox"/> Auditor Comment |
| Description/Details <p>No BMP's were implemented during this audit period.</p> <p>OFI – Currently the OFI's are not being tracked in the Action Plan. If they are not going to be tracked, the following statement must be removed from the procedure:</p> <p>The implementation of preventative actions are tracked by the QMS Representative using Action Plan.</p> |

3. AUDIT CONCLUSIONS

The auditor conducted an internal audit of the Town of LaSalle's QMS focusing on key quality management processes necessary to consistently produce and distribute drinking water that meets applicable requirements.

Taking into consideration all the findings of this audit and the above noted three Opportunities for Improvement (OFI), the auditor has concluded that sufficient evidence has been provided to demonstrate that a QMS that meets the intent of the DWQMS v.2.0 has been established and actively implemented at this facility.