



The Corporation of the Town of LaSalle

<b>Date</b>	January 14, 2019	<b>Report No:</b>	PW-WWC-01-19
<b>Directed To:</b>	Water/Wastewater Committee	<b>Attachments:</b>	Internal QMS Audit Report
<b>Department:</b>	Public Works	<b>Policy References:</b>	
<b>Prepared By:</b>	Lena Petros C.E.T. – Manager of Water/Wastewater		
<b>Subject:</b>	DWQMS Internal Audit Report 2018		

**RECOMMENDATION:**

That the committee receives the information on the enclosed internal audit report of 2018

**REPORT:**

As required by the Safe Water Drinking Act, the Town of LaSalle conducts an annual internal audit of our Drinking Water Quality Management System (DWQMS). Enclosed is the findings of the internal audit report dated October 10, 2018.

Respectfully Submitted

Lena Petros, CET.  
Manager of Water and Wastewater

Reviewed by:							
CAO	Treasury	Clerks	Public Works	Planning	Parks & Rec	Building	Fire



**Ontario Clean Water Agency  
Agence Ontarienne Des Eaux**

## **Internal QMS Audit Report**

**For the: Town of LaSalle Water Distribution System**

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**Report Prepared By: Karen Burgess, Senior Operations Manager, OCWA**

**Report Issued: October 10, 2018**

The information contained in this Report reflects the Auditor's best judgment in light of the information made available to him/her at the time of preparation.

Nothing in this Report or the related Action Plans should be taken as legal advice. The Auditor makes no representations whatsoever concerning the legal significance of his/her findings, or as to legal matters touched on in this Report, including but not limited to the application of any law to the facts set out herein.

## 1. GENERAL INFORMATION

### Audit Objectives:

- To evaluate the conformance of the QMS (as implemented at the facility) to the requirements of the Drinking Water Quality Management Standard (DWQMS) version 2.0, April 6, 2017,
- To identify and correct nonconformities with the facility's documented QMS, and
- To assess the effectiveness of the QMS and ensure that it is continually improving with each cycle.

### Audit Criteria:

- Drinking Water Quality Management Standard, version 2.0 April 6, 2017
- Operational Plan for the Town of LaSalle Water Distribution System (Revision 12, September 20, 2018)
- Town of LaSalle Water Distribution Systems QMS-related documents and records
- Related documents and records referenced in the Operational Plan which were selected by the auditor on a spot check basis
- Previous Internal Audit Report issued October 18, 2017
- Previous External Audit Report issued November 7, 2017

### Audit Scope:

Activities related to QMS, as documented in the Operational Plan for the following drinking water system:

- Town of LaSalle Water Distribution System

**Leader Auditor:** Karen Burgess, Senior Operations Manager, OCWA

**Dates On-Site:** September 24, 2018

**Audit Methods:** Interviews, observation of activities and review of documentation and records

**SUMMARY OF FINDINGS**

DWQMS Element	Finding
1. Quality Management System	C
2. Quality Management System Policy	C
3. Commitment and Endorsement	OFI
4. Quality Management System Representative	C
5. Document and Records Control	C
6. Drinking Water System	OFI
7. Risk Assessment	C
8. Risk Assessment Outcomes	C
9. Organizational Structure, Roles, Responsibilities and Authorities	OFI
10. Competencies	C
11. Personnel Coverage	C
12. Communications	C
13. Essential Supplies and Services	OFI
14. Review and Provision of Infrastructure	C
15. Infrastructure Maintenance, Rehabilitation and Renewal	OFI
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	OFI
21. Continual Improvement	C
22. Director's Direction	OFI
N/C	Non-Conformity – non-fulfillment of a requirement
OFI	Opportunity for Improvement – conforms to the requirement, but there is opportunity for improvement
C	Conforms to the requirement
*	Additional comment added by auditor

## 2. DETAILS OF FINDINGS

DWQMS Element Element 3 – Organizational Structure, Roles, Responsibilities and Authorities		
Type <input type="checkbox"/> N/C <input checked="" type="checkbox"/> OFI <input type="checkbox"/> Comment		
Description: Page 2 of the Operational Plan was endorsed October 28, 2015 by the Director of Public Works and Manager of Water & Wastewater as the Operating Authority. It was also endorsed on November 10, 2015 by the Mayor and CAO as the Owner. Since then, the CAO Kevin Miller recently stepped down and has been replaced by Joe Milicia. Also with the upcoming municipal election, the current Mayor, Ken Ataya will be replaced.		
Top Management is responsible for ensuring personnel are aware of all applicable legislative and regulatory requirements. Staff is made aware of applicable legislative and regulatory requirements via the Ministry of the Environment and Climate Change (MOECC) web-site, mandatory training courses and through staff meetings.		
OFI - The Operational Plan should be re-endorsed after the upcoming municipal election since both Owner Representatives (Ken Ataya & Kevin Miller) will have been replaced.		

DWQMS Element Element 6 – Drinking Water System		
Type <input type="checkbox"/> N/C <input checked="" type="checkbox"/> OFI <input type="checkbox"/> Comment		
Description: A description of the LaSalle Distribution System is located on pages 3 to 5 of the Operational Plan. The Owner and Operating Authority are named in the first paragraph of the Description of the Distribution System and there have been no major changes to the drinking water system since the last revision date.		
A description of the drinking water system has been provided along with a map of the system (September 2016). This map should be updated to also clearly indicate the location of all the emergency interconnects with the Amherstburg Distribution System and the Tecumseh Distribution System along with any other additions over the last two years.		
There are also no procedures in place to maintain disinfection residuals however the description indicates several times that ENWIN supplies sufficient secondary disinfection to meet all regulatory requirements within the LaSalle Distribution System.		
OFI – The water distribution map on page 5 should be updated to clearly indicate the location of all the emergency interconnects with the Amherstburg Distribution System and the Tecumseh Distribution System along with any other additions over the past two years.		

DWQMS Element		
Element 9 – Organizational Structure, Roles, Responsibilities and Authorities		
Type		
<input type="checkbox"/> N/C	<input checked="" type="checkbox"/> OFI	<input type="checkbox"/> Comment
Description:		
<p>The Town of LaSalle’s explanation of their Organizational Structure including their Top Management is located on page 7 and 8 of the Operational Plan. An Organizational Chart for this water system has also been provided. It is noted that the Organizational Chart identifies both the Owner and QMS Representatives for the LaSalle Distribution System. The chart currently indicates the Water Superintendent title however the title is actually called Superintendent of Water &amp; Wastewater.</p> <p>OFI - Update the Water Superintendent title to accurately reflect the correct name of the title which is Superintendent of Water &amp; Wastewater.</p>		

DWQMS Element		
Element 13 – Essential Supplies and Services		
Type		
<input type="checkbox"/> N/C	<input checked="" type="checkbox"/> OFI	<input type="checkbox"/> Comment
Description:		
<p>The procedure for Essential Supplies and Services can be found in Appendix E of the Operational Plan.</p> <p>An Emergency/Essential Supplies &amp; Services List with revision #21 and dated 20-Sep-2018 was reviewed. The list includes names and telephone numbers for each of the suppliers and services that could be required. The procedure also identifies that this list is reviewed at least annually and updated as required. Prior to the September 29, 2017 update, this list was previously updated on January 23, 2017 and November 14, 2016.</p> <p>OFI - Under the ‘LaSalle Contacts’, the Superintendent of Water and Wastewater (Rob Mackie) should be included and the CAO, Kevin Miller needs to be updated with Joe Milicia’s contact information.</p>		

DWQMS Element		
Element 15 – Infrastructure Maintenance, Rehabilitation and Renewal		
Type		
<input type="checkbox"/> N/C	<input checked="" type="checkbox"/> OFI	<input type="checkbox"/> Comment
Description:		
<p>A description on addressing the subject of Infrastructure Maintenance, Rehabilitation and Renewal is located on page 10 and 11 of the Operational Plan.</p> <p>Maintenance, rehabilitation and renewal programs are summarized and communicated to council through the annual management review meeting minutes and the water &amp; wastewater committee meeting reports. Also, a new electronic work order system is currently being deployed. This program is called 'City Wide' and will have an effect on the maintenance, rehabilitations and renewal programs towards the infrastructure.</p> <p>OFI - It also indicates that long term capital planning is also reviewed at least once every calendar year however additional information is required. A description as to what activities are considered within this forecast and the number of years that will be forecast must be included.</p>		

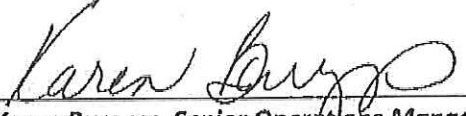
DWQMS Element		
Element 20 – Infrastructure Maintenance, Rehabilitation and Renewal		
Type		
<input type="checkbox"/> N/C	<input checked="" type="checkbox"/> OFI	<input type="checkbox"/> Comment
Description:		
<p>The Management Review procedure can be found in Appendix K of the Operational Plan.</p> <p>The Management Review must be conducted at least once every calendar year. The previous Management Review was conducted on March 20, 2017 and the most recent Management Review was conducted on September 17, 2018.</p> <p>OFI - Another Management Review meeting should be scheduled immediately so that the outcomes of this current internal audit can be reviewed and discussed so that any OFI's or N/C's can immediately be addressed instead of waiting for next year.</p>		

DWQMS Element Element 22 – Directors Direction		
Type <input type="checkbox"/> N/C <input checked="checked" type="checkbox"/> OFI <input type="checkbox"/> Comment		
Description:  The title page included the name of the municipal residential drinking water system however pages 7 to 13 were missing the revision date and page number.  A copy of Schedule "C" of the Director's Direction is located in Element 6 – Drinking Water Description of the Operational Plan.  OFI - Ensure the revision date and page numbers (page 7 to 13) are captured on all the pages of the Operational Plan and that the Table of Contents page numbers match the page the element is actually found on.		


**AUDIT CONCLUSIONS**

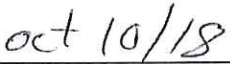
The auditor conducted an audit of the QMS of the LaSalle Water Distribution System focusing on key quality management processes necessary to consistently produce and distribute drinking water that meets applicable requirements.

Taking into consideration all the findings of this audit and the above noted OFI's, the auditor has concluded that sufficient evidence has been provided to demonstrate that the LaSalle's Water Distribution System has established and is actively implementing a QMS that meets the intent of the DWQMS.

  
Karen Burgess, Senior Operations Manager  
Ontario Clean Water Agency

  
Report Release Date

  
Acknowledgement Signature by:  
Lena Petros, Manager of Water & Wastewater  
Town of LaSalle

  
Date of Acknowledgement





The Corporation of the Town of LaSalle

<b>Date</b>	January 14, 2019	<b>Report No:</b>	PW-WWC-02-19
<b>Directed To:</b>	Water/Wastewater Committee	<b>Attachments:</b>	NSF QMS Audit Report
<b>Department:</b>	Public Works	<b>Policy References:</b>	
<b>Prepared By:</b>	Lena Petros C.E.T. – Manager of Water/Wastewater		
<b>Subject:</b>	DWQMS External Audit Report 2018		

**RECOMMENDATION:**

That the committee receives the information on the enclosed external audit report for 2018

**REPORT:**

As required by the Safe Water Drinking Act, the Town of LaSalle hires NSF International to conduct an external audit of our Drinking Water Quality Management System (DWQMS). Enclosed is the findings of the NSF External DWQMS system Audit dated for October 18, 2018.

Respectfully Submitted

Lena Petros, CET.  
Manager of Water and Wastewater

Reviewed by:							
CAO	Treasury	Clerks	Public Works	Planning	Parks & Rec	Building	Fire



## NSF International Strategic Registrations Audit Report

**The Corporation Of The Town Of LaSalle**  
Public Works Department 2170 Judy Recker Cres.  
LaSalle, Ontario N9J 0C3 CAN

**C0122075**

**Audit Type**

DWQMS System Audit

**Auditor**

Rose Johnson

**Standard**

Ontario's Drinking Water Quality Management Standard Version 2

**Audit Date(s):**

10/16/2018 - 10/16/2018

**Recommendation**

Ontario's Drinking Water Quality Management Standard Version 2 : DWQMS System Audit  
Complete No Change to Certificate



**Executive Summary**

<p>Ontario's Drinking Water Quality Management Standard Version 2</p>	<p>This was an annual off-site audit of the Town of LaSalle's Drinking Water Quality Management System (DWQMS).</p> <p>The audit results are summarized as follows:</p> <ul style="list-style-type: none"> <li>- zero major nonconformities</li> <li>- zero minor nonconformities</li> <li>- one opportunity for improvement (OFI)</li> </ul> <p>OFIs do not require a formal response, but are included in this report for consideration by the leadership team.</p> <p>The support and cooperation of all involved in the audit is acknowledged and appreciated. Thank you for selecting NSF-ISR for your DWQMS certification.</p>
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**Opportunities**

<p>Ontario's Drinking Water Quality Management Standard Version 2</p>	<p>See below.</p>
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**Corrective Action Requests**

There is NO Corrective Action Request in this audit.

**Site Information**

The audit was based on a sampling of the company's management system.

**Industry Codes**

NACE:E 41

**Scope of Registration**

Ontario's Drinking Water Quality Management Standard Version 2 : Town Of Lasalle Distribution System, 032-OA1, Entire Full Scope Accreditation



## Opportunities for Improvements

### Ontario's Drinking Water Quality Management Standard Version 2

Opportunity	Observations / Auditor Notes
Opportunities for Improvements (DWQMS)-01	<p><b>Location of OFI</b> Operational Plan, Rev. October 10, 2018;</p> <p><b>Discussed With</b> Lena Petros;</p> <p><b>Description</b> The Operational Plan was found to generally address DWQMS v.2 requirements for Continual Improvement (element 21). An opportunity exists to review the Action Plan spreadsheet to ensure that all requirements are addressed, e.g. identification of root cause, evaluation of effectiveness. ;</p>

## Processes

### Audit Summary Matrix





The Corporation of the Town of LaSalle

<b>Date</b>	January 14, 2018	<b>Report No:</b>	PW-WWC-03-19
<b>Directed To:</b>	Water/Wastewater Committee	<b>Attachments:</b>	Course overview
<b>Department:</b>	Public Works	<b>Policy References:</b>	
<b>Prepared By:</b>	Lena Petros C.E.T. – Manager of Water/Wastewater		
<b>Subject:</b>	Standard of Care Training		

**RECOMMENDATION:**

That the committee receive this report for information.

**REPORT:**

OCWA will be hosting Standard of Care training session for municipal councilors and officials through the Walkerton Clean Water Centre in February 2019. This is a joint session with the Town of Tecumseh and Amherstburg. Attached is course overview for more details.

Respectfully submitted,

Lena Petros, CET.  
Manager of Water and Wastewater

Reviewed by:							
CAO	Treasury	Clerks	Public Works	Planning	Cult. & Rec.	Building	Fire

# Responsibilities Under the Statutory Standard of Care - Safe Drinking Water Act

0.3

## CEU Value

### Course Overview

The Standard of Care course is designed to inform municipal councillors and officials of their oversight responsibilities under Section 19 of the Safe Drinking Water Act, which came into effect on December 31, 2012. Severe penalties are possible for municipal officials who fail to act in good faith and do not exercise honesty, competence and integrity to ensure the protection and safety of the users of municipal drinking water systems.

Several examples of waterborne disease outbreaks are examined which highlight the importance of competent oversight. The course describes some general information about drinking water systems, the multi-barrier approach to drinking water treatment and some of the risks associated with drinking water production and distribution.

The participant will also learn about additional specialized training that is available.

### Target Audience

This course is designed for mayors, councillors and municipal officials with oversight responsibility for drinking water treatment and/or distribution systems.

### Delivery Methods Possible

Classroom, On Site

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