



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 Verification Audit

Auditor

Rose Johnson

Standard

Ontario's Drinking Water Quality Management Standard Version 2
(Exp Date: 22-FEB-2020)

Audit Date(s):

11/07/2019 - 11/08/2019

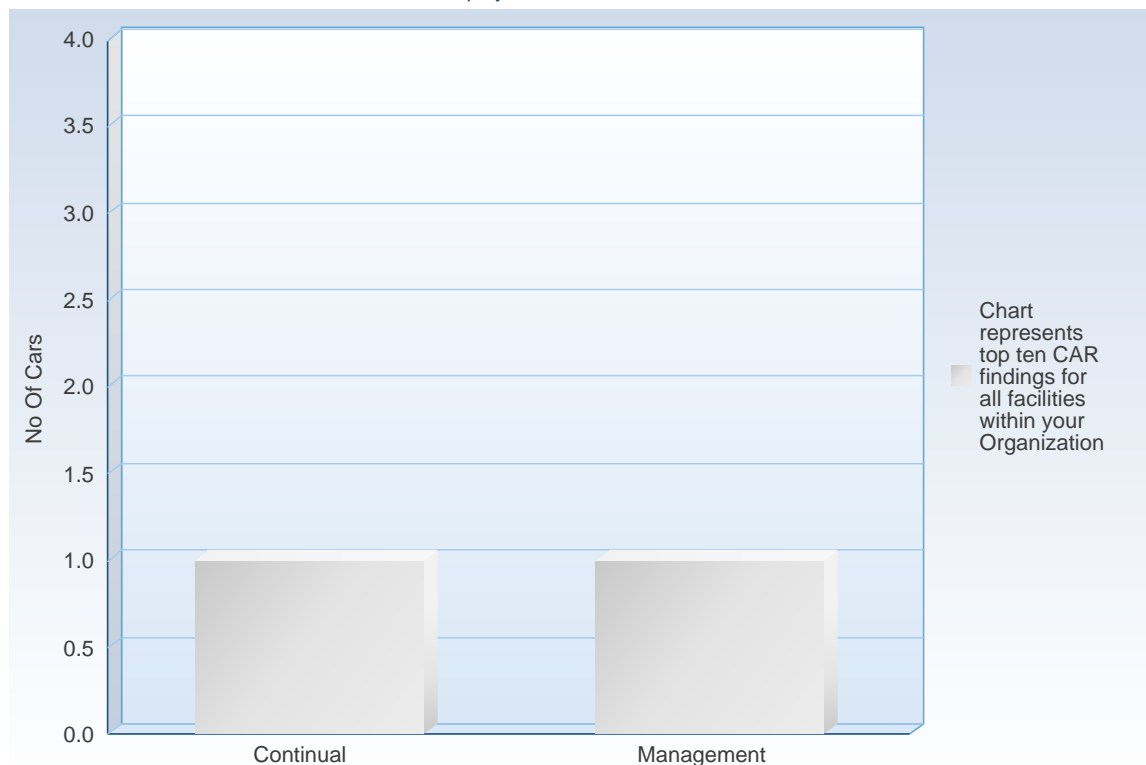
Recommendation

Ontario's Drinking Water Quality Management Standard Version 2 : Cont. Cert. Pending offsite
Verification of minors



Executive Summary	
Ontario's Drinking Water Quality Management Standard Version 2	<p>This was an onsite verification audit of the Town of LaSalle's Drinking Water Quality Management System (DWQMS).</p> <p>System strengths observed during the audit include:</p> <ul style="list-style-type: none"> - Overall commitment to the DWQMS - Water and Wastewater committee - expanded use of technology, i.e. CityWide Works & issuance of tablets for operators - new program for uni-directional flushing / valve exercising - Coordinated emergency exercise <p>The audit results are summarized as follows:</p> <ul style="list-style-type: none"> - zero major nonconformities - two minor nonconformities - three opportunities for improvement (OFIs) <p>Please respond to the minor nonconformities using NSF-Connect within 30 days of the closing meeting date. (Note: 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 accreditation.</p>

Top 10 Non Compliant Standard Clauses
CAR Chart Displays Current and Previous Years Data



The Corporation Of The Town Of Lasalle

Standard Clause Description	
Continual Improvement Management Review	
Opportunities	
Ontario's Drinking Water Quality Management Standard Version 2	See below



Corrective Action Request Summary By Type

Car Type	Car Count
MINOR	2

Corrective Action Request Summary By Standard Clause

Standard Clause	Car Count
Continual Improvement	1
Management Review	1

Corrective Action Requests

CAR No	J3806553-1	Type	MINOR
Standard & Clause	DWQMSV2, Management Review	Discussed with	Lena Petros
Auditor Name	Rose Johnson		
Statement of Requirement	<p>20. Management Review</p> <p>PLAN – The Operational Plan shall document a procedure for management review that evaluates the continuing suitability, adequacy and effectiveness of the Quality Management System and that includes consideration of:</p> <ul style="list-style-type: none"> a) incidents of regulatory non-compliance, b) incidents of adverse drinking water tests, c) deviations from Critical Control Point limits and response actions, d) the effectiveness of the risk assessment process, e) internal and third-party Audit results, f) results of emergency response testing, g) operational performance, h) raw water supply and drinking water quality trends, i) follow-up on action items from previous management reviews, j) the status of management action items identified between reviews, k) changes that could affect the Quality Management System, l) Consumer feedback, m) the resources needed to maintain the Quality Management System, n) the results of the infrastructure review, o) Operational Plan currency, content and updates, and p) staff suggestions. <p>DO – Top Management shall implement and conform to the procedure and shall:</p> <ul style="list-style-type: none"> a) ensure that a management review is conducted at least once every Calendar Year, b) consider the results of the management review and identify deficiencies and actions items to address the deficiencies, c) provide a record of any decisions and action items related to the management review including the personnel responsible for delivering the action items and the proposed timelines for their implementation, and d) report the results of the management review, the identified deficiencies, decisions and action items to the Owner. 		
Statement of Nonconformity	The management review process does not fully address DWQMS requirements		
Objective Evidence	There is no evidence available to demonstrate that the September 13, 2019 management review included follow-up on action items from previous management reviews (item 'i') - meeting minutes indicate 'N/A'; however there were multiple action items recorded at the previous management review (September 17, 2018) for which there is no record of follow-up		
Location of Finding	Management review records		

CAR No	J3806553-2	Type	MINOR
Standard & Clause	DWQMSV2, Continual Improvement	Discussed with	Lena Petros
Auditor Name	Rose Johnson		



Statement of Requirement	<p>21. Continual Improvement</p> <p>PLAN – The Operating Authority shall develop a procedure for tracking and measuring continual improvement of its Quality Management System by:</p> <p>a) reviewing and considering applicable best management practices, including any published by the Ministry of the Environment and Climate Change and available on www.ontario.ca/drinkingwater, at least once every thirty-six months;</p> <p>b) documenting a process for identification and management of Quality Management System Corrective Actions that includes:</p> <p>i. investigating the cause(s) of an identified non-conformity,</p> <p>ii. documenting the action(s) that will be taken to correct the non-conformity and prevent the non-conformity from re-occurring, and</p> <p>iii. reviewing the action(s) taken to correct the non-conformity, verifying that they are implemented and are effective in correcting and preventing the re-occurrence of the non-conformity.</p> <p>Also Town of Lasalle Operational Plan, Rev. 16, October 28, 2019</p> <p>21.3 Procedure</p> <p>The Town of LaSalle Public Works strives to continually improve the effectiveness of its QMS for this drinking water system through the identification and implementation of corrective/preventive actions and, as appropriate, through review and consideration of applicable Best Management Practices (BMPs).</p> <p>Corrective Actions</p> <p>Non-conformances may be identified through an internal or external QMS audit(s) conducted for this drinking water system. They may also be identified as a result of other events such as:</p> <ul style="list-style-type: none"> - an incident/emergency; - community complaint; - other reviews; and - operational checks, inspections or audits. <p>The QMS Representative(s) investigates the need for a corrective action to eliminate the root cause so as to prevent the non-conformance from recurring. The investigation may also include input from the operators and other stakeholders and the consideration of BMPs as appropriate.</p> <p>The QMS Representative(s) determines the corrective action needed, assigns responsibility and a target date for resolution.</p> <p>The QMS Representative(s) ensures corrective actions are documented using Action Plan to track action items. The QMS Representative monitors the progress of corrective action(s) and provides status updates to Top Management...</p>
Statement of Nonconformity	The corrective action process is not fully effective
Objective Evidence	<p>1. There have been no corrective actions recorded in the Action Plan spreadsheet since 2016, however the MECP Inspection in August 2019 identified a nonconformity for which corrective action was required.</p> <p>2. The Action Plan spreadsheet does not require root cause to be identified / recorded, nor does it reference corrective action effectiveness.</p>
Location of Finding	Action Plan spreadsheet

Corrective Action Information and Instructions

See NSF-ISR Policies for Accredited Registration Services for corrective action information and instructions. (Available in the "Standards and Policies" section of [NSFOnline](https://www.nsf-isr.org/NSFOnline))

Also, submit all corrective actions through [NSFOnline](https://www.nsf-isr.org/NSFOnline). For instructions on how to use [NSFOnline](https://www.nsf-isr.org/NSFOnline), please click "Help" in the upper right-hand corner. If you require any assistance in accessing your [NSFOnline](https://www.nsf-isr.org/NSFOnline) account, please contact your Registration Specialist (Elizabeth Haney email: ehaney@nsf.org).

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>Location of OFI Operational Plan - Section 19 Internal QMS Audits;</p> <p>Discussed With Lena Petros;</p> <p>Description The internal audit process was found to be overall effectively implemented. Consideration could be given to linking the Corrective Action procedure to the Internal Audit procedure.;</p>
Opportunities for Improvements (DWQMS)-02	<p>Location of OFI Emergency Exercise records;</p> <p>Discussed With Lena Petros;</p> <p>Description Emergency testing processes were found to be overall effectively implemented. An opportunity exists to expand output from emergency exercises to record lessons learned / follow-up actions as applicable.;</p>
Opportunities for Improvements (DWQMS)-03	<p>Location of OFI Operational Plan, Rev. 16, October 28, 2019;</p> <p>Discussed With Lena Petros;</p> <p>Description Document and record control processes were found to be effectively implemented. Consideration could be given to: 1. periodically reviewing SOPs and updating as necessary; 2. including record retention period requirements in the Operational Plan or associated procedure(s).;</p>

Processes

Audit Summary Matrix

