



## Town of Arnprior Staff Report

**Subject:** 2023 DWQMS Audits and Management Review Results / OnWARN Program

**Report Number:** 24-03-25-02

**Report Author and Position Title:** Amy Dean, Environmental Engineering Officer

**Department:** Operations - Engineering

**Meeting Date:** March 25, 2024

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### Recommendations:

That Council receive Report Number 24-03-25-02 authorizing the Chief Administrative Officer (CAO) and the General Manager, Operations on behalf of Top Management, and the Mayor, on behalf of Council, to endorse the QMS Commitment and Endorsement Policy, to meet the requirements of the Town of Arnprior Drinking Water Quality Management System Operational Plan.

That Council adopt a by-law to authorize the Mayor and Clerk to execute the Agreement to participate in the Ontario Water / Wastewater Agency Response Network (OnWARN) program.

That Council authorize the General Manager, Operations to act as "Authorized Official" under the Agreement and to carry out the responsibilities of the Authorized Official as described in the Agreement, including the following:

- a) Request assistance,
- b) Offer assistance,
- c) Decline to offer assistance; or
- d) Withdraw assistance.

### Background:

#### DWQMS

The Town of Arnprior has an established Quality Management System (QMS) for its drinking water system. DWQMS is mandated through the Safe Drinking Water Act, 2002 (SDWA) with

the specific requirements for the QMS coming from the document titled “Ontario’s Drinking Water Quality Management Standard – Ver 2.0”.

The intention of this staff report is to fulfill communication responsibilities listed between Top Management and the Owner (Council) as outlined in Element 12 of the QMS. Element 12 states:

“The status of the DWQMS and its effectiveness shall be communicated to the Owner by Top Management, or by the QMS Representative as directed by Top Management during scheduled Council meetings summary reports, e-mails, memos, etc.”

## Discussion:

### Internal Audit Results

The QMS rep undertook an internal audit of the Towns QMS system in October through December 2023. The results of the internal audit found four (4) opportunities for improvement (OFI’s) and one carried forward corrective action request (CAR) from 2020. The CAR’s and OFI’s are as follows:

<b>CAR/OFI #</b>	<b>Requirement</b>	<b>Description</b>	<b>Correction / Improvement Plan</b>	<b>Anticipated Date of Completion</b>
Carried over from 2022				
OFI-2022 -01	Element 6 of the DWQM requires:  The distribution System Plan shall be updated regularly to reflect any changes to the distribution system.	Appendix 6D – Distribution System Plan requires updating due to new residential developments.	Mostly updated in December 2022, some annual updates to be addressed by summer student in 2024.  Due to the recent move to GIS online, staff could benefit from training on new system.	Summer 2023  <b>Carried over to Summer 2024</b>
OFI-2022 -03	Element 16 of the DWQMS requires: A procedure that describes how sampling, testing and monitoring results are recorded and shared between the Operating Authority and the	Hydrant numbering stickers have been identified as an opportunity for improvement to ensure sampling locations (hydrants) are more accurately and consistently described during sampling events,	Unique numbering stickers have been tested during 2022 winter season to ensure quality, new flow tests completed in Fall 2023 and will now be rolled out across all hydrants in Spring 2024 during flushing	<b>Spring 2024</b>

CAR/OFI #	Requirement	Description	Correction / Improvement Plan	Anticipated Date of Completion
	Owner, where applicable.	such as during chlorine residual monitoring.	activities.	
CAR # 2020-02	<p>The DWQMS states the following: The Waterworks Supervisor maintains a schedule for when equipment requires maintenance such as calibration, as well as the service contractor that is responsible for completing the calibration.</p> <p>The frequency of calibration shall be at a minimum, the frequency of calibration that is required by O.Reg. 170/03, or suggested by the manufacturer, whichever is more often</p>	<p>There continues to be difficulty scheduling and completing mechanical maintenance activities at the WFP, due to two issues:</p> <ul style="list-style-type: none"> <li>• Older maintenance tracking software that is no longer supported by the developer; and</li> <li>• The availability of reliable contracted millwright services to complete both large repair projects but also regularly required mechanical maintenance.</li> </ul>	<p>The 2024 budget includes funding for the hiring of a Mechanical Technician for the WTP.</p> <p>The 2023 budget included funding for the completion of a Building Condition Assessment (BCA) of the WTP. The BCA will establish an inventory of the WTP's mechanical equipment and define their required maintenance schedules.</p> <p>The combination of the up to date BCA information and the new in-house Mechanical Technician, staff are confident that an effective WTP maintenance system will be developed to better manage the WTP's mechanical maintenance requirements.</p>	<p><b>Spring 2024</b></p> <p>BCA progressing, a draft inventory has been received. Hiring for an in-house Mechanical Technician is in progress, job description has been created, interviews to commence in Spring 2024.</p>
OFI – 2023- 01	<p>Element 10 of the DWQMS requires:</p> <p>The Operating Authority shall meet and maintain competencies for</p>	<p>QMS Rep working with Roads and Services Supervisor to ensure training plan in place to ensure continuity of</p>	<p>QMS to create a tracking document for hours and training specific to Operators used to assist with both Treatment and</p>	<p><b>Spring 2024</b></p>

CAR/OFI #	Requirement	Description	Correction / Improvement Plan	Anticipated Date of Completion
	<p>personnel directly affecting drinking water quality and shall maintain records of these activities.</p>	<p>all licenses.</p>	<p>Distribution licenses.</p> <p>OWWCO – tracks CEUs and courses submitted to Ministry</p>	
<p>OFI – 2023 -02</p>	<p>Element 17 of the DWQMS requires:</p> <p>The Waterworks Supervisor and Public Works Supervisor shall ensure that all calibration and maintenance for bench-top equipment is performed at the required frequency, and that equipment that must be calibrated by an external party is scheduled as needed.</p>	<p>Calibration records to be improved.</p> <p>Monthly calibrating to be completed on the Distribution Chlorine colorimeter.</p> <p>Treatment staff to ensure consistency in calibration frequency and proper recording.</p> <p>The frequency of calibration shall be at a minimum, the frequency of calibration that is required by O.Reg. 170/03, or suggested by the manufacturer, whichever is more often.</p>	<p>Both Supervisors are aware/reminded to ensure calibration is being completed and recorded.</p>	<p>On-going</p>

As a reminder, items identified during the internal audit or management review processes should be looked upon positively, as they demonstrate to the external auditors that the Town reviews its processes critically and continually works to improve its QMS. Improvements made to the QMS help to proactively name issues with the Town's Drinking Water System, helping to ensure the continued delivery of safe drinking water in Arnprior.

For complete internal audit results, the internal audit checklist for 2023 is attached as Appendix 1.

### **External Audit Results**

On October 31, 2023, SAI Global, the Town's external auditor, completed a systems audit (an off-site desktop audit) of the Town's QMS for 2023.

The 2023 audit was completed as Year 2 of the 3-year audit cycle. Next year's audit (for the year 2024) will be a Year 3 surveillance audit.

The audit reports provided by SAI Global found that there were no non-conformities identified. The auditor identified four (4) opportunities for improvement (OFI's) in the Systems audit.

For complete external audit results, the external audit for 2023 is attached as Appendix 2.

### **OFI's from External Desktop Audit**

Each OFI identified by the external auditor is shown in italics below.

***Element 5** - While generally described in PW-DWQMS-05, consider creating a table listing drinking water system records, confirming their locations and retention times (e.g. operator training, logbooks, NSF certifications, project-related disinfection records (prior to placing into service), maintenance records, sample chains of custody, lab test results, calibration records, Form 1's, 2's, 3's, Director Notifications, QMS-related, MDWL-related, DWWP-related, PTTW-related, etc.)*

- The QMS Rep and WW Supervisor to create table to confirm records locations and retention times, this table will be added to Element 5 and incorporated into the Operating Plan.

***Element 6:** Consider describing how disinfectant residuals are maintained in the distribution system (supporting DWQMS El. 6 PLAN a) iii. B.)*

- El 6 Plan a) iii) is for a system that does not include equipment that provides Primary or Secondary Disinfection. Our system falls within Plan a) ii) a system that does include equipment that provides Primary or Secondary Disinfection. Therefore, the Plan and Do requirements are satisfied for Element 6.

***Element 18:** Consider tracking opportunities for improvement identified in emergency test exercises (such as underground storage tanks to be reviewed for condition, from the latest emergency training & test exercise).*

- QMS Rep to create table to track any potential action items developed from Emergency Training exercises, this table will be added to Element 5 and incorporated into the Operating Plan.

**Element 20:** Consideration should be given to hosting a high-level Management Review meeting (e.g. “preview”, including all items a) to p)) before end of the 2023 calendar year and again with a full meeting (e.g. full discussion / updates on items a) to p)) as planned in January 2024 (for “calendar year” requirement in the DWQMS and reset the timeframe)

- Top Management meeting to be held in December of 2024 to reset timeframe and keep all meetings within the “calendar year”.

### Top Management Review

The Top Management review meeting was completed on January 22, 2024. This meeting covered DWQMS activities of 2023.

Action items discussed during the Top Management Review that require follow up by Staff in 2024 include:

<b>ACTION PLAN:</b>	<b>ASSIGNED TO:</b>	<b>COMPLETION DATE</b>
2022 Items Carried over		
Chlorinator servicing reminder	ScM	QMS Review fall 2023
Monthly use of secondary standards for chlorine colorimeter	ScM & StM	On-going
Distribution System Plan updating – Requires printing to meet requirements. Future map to include hydrant numbering.	JS/QMS Rep/ Summer Student	To be completed Immediate & summer 2024 with student
Hydrant sticker numbering – to be completed during spring 2024 flushing	StM	To be completed Spring 2024
2023 Items		
CAR # 2020-02 – GM Operations to arrange interviews for mechanical technician position in 2024.	JS	To be completed Spring 2024
OnWARN – Ontario Water/Wastewater Agency Response Network – QMS to look into membership / bring to council	AD	Spring 2024

## **Commitment and Endorsement by the Owner**

Element 3 of the Standard states that the Owner and Top Management are responsible for ensuring that the Quality Management System is implemented through their commitment and endorsement of the DWQMS.

A copy of the Commitment and Endorsement Policy is attached for your review (Appendix 3). The policy must be endorsed by the CAO and the General Manager, Operations (Top Management) and by the Mayor on behalf of Council as the Owner.

The Operational Plan for the Town of Arnprior, titled "Town of Arnprior Walter E. Prentice Water Filtration Plant and Distribution System, Drinking Water Quality Management Standard Operational Plan" is available for your review in hard copy or digital from the Environmental Engineering Officer (QMS Rep).

### **Options:**

Recognizing the benefits of joining the Ontario Water / Wastewater Agency Response Network (OnWARN) and improving emergency preparedness for the Town's Water and Wastewater Services; staff are seeking Council's authorization to execute the Agreement with OnWARN.

OnWARN is a province wide voluntary water/wastewater agency response network of "utilities helping utilities" to respond to and recover from natural or human-made emergencies.

OnWARN establishes an agreement and protocols in advance to access resources and knowledgeable personnel in water and wastewater systems through its mutual aid and assistance agreement; and does not require the declaration of an emergency to access these. Some of the benefits of becoming a member include:

- Significant economic benefit and no cost to participate,
- Increased emergency preparedness,
- A single agreement to access resources across the province,
- Expedited deployment of assistance and resources,
- Assistance with response to events which impact large areas when response from adjacent utilities is not possible,
- Responder indemnification and reimbursement
- A forum for developing and maintaining emergency contacts and relationships.

The requesting members are required to reimburse the responding members in-kind or at cost for equipment, food, shelter and responding employees. Responding member has the right to withdraw any and all resources at any time and for any reason.

The OnWARN Mutual Aid and Assistance Agreement is attached to a by-law on tonight's agenda for Council consideration.

## **Policy Considerations:**

This report is in keeping with the Strategic Plan's Vision of Improved infrastructure and Guiding Principle of Accountability, Dependability and Reliability.

Ontario's Drinking Water Quality Management Standard (Ver 2)

Safe Drinking Water Act (SDWA), 2002.

- O. Reg. 170/03
- O. Reg. 128/04

## **Financial Considerations:**

There is no cost to OnWARN membership. If the Town responds to a request for assistance from another participating member, the Agreement provides that the member requesting assistance shall reimburse the Town for costs associated with providing the assistance to the responding member.

The responding member may assume any such loss, damage, expense, or other cost incurred, or may loan such equipment or donate services to the Requesting Member without charge or cost.

In the event the Town receives assistance from another municipality or entity, cost estimates and rates will be reviewed and agreed upon by both parties before assistance is accepted.

Any expenditures by the Operations Department in connection with responding to or requesting emergency aid and assistance pursuant to the Agreement would also be required to adhere to the Town's Procurement Policy By-law Number 6942-19, as amended.

## **Meeting Dates:**

N/A

## **Consultation:**

John Steckly - General Manager, Operations  
Scott Matthews - Waterworks Supervisor  
Steve McLean - Supervisor, Roads and Services

## **Documents:**

### **Attached**

Appendix 1 – Internal Audit Checklist – 2023

Appendix 2 – SAI Global System Audit – October 31, 2023

Appendix 3 – DWQMS Commitment and Endorsement Policy

Appendix 4 - [Mutual Aid and Assistance Agreement for an Ontario Water/Wastewater Agency Response Network \(OnWARN\)](#)

## **Referenced Documents/By-laws:**



Town of Arnprior Walter E. Prentice Water Filtration Plant and Distribution System, Drinking Water Quality Management Standard Operational Plan

**Signatures**

**Reviewed by Department Head:** John Steckly

**Reviewed by General Manager, Client Services/Treasurer:** Jennifer Morawiec

**CAO Concurrence:** Robin Paquette

**Workflow Certified by Town Clerk:** Kaila Zamojski



<b>Policy No.</b>	<b>PW-DWQMS-FR7</b>
<b>Policy/Procedure/Document:</b>	Appendix 19A - Internal Audit Checklist
<b>Author:</b>	QMS Representative
<b>Approval Authority:</b>	Owner and Top Management
<b>Date of Original Procedure:</b>	October 1, 2009
<b>Date of Last Review:</b>	October 12, 2023
<b>Date of Last Update:</b>	December 5, 2017

Date	Auditor	Elements Reviewed
October & November 2023	Amy Dean	Element 1 - 21

<b>Opening Meeting</b>	<b>Date:</b>	<b>Staff:</b>
Comments: Agenda:		

<b>Closing Meeting</b>	<b>Date:</b>	<b>Staff:</b>
Comments:		

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
<p><b>1. Quality Management System</b>  PLAN – the Operating Authority shall document a Quality Management System that meets the requirements of this Standard</p> <p>DO – The Operating Authority shall establish and maintain the Quality Management System in accordance with the requirements of this Standard and the policies and procedures documented in the Operational Plan.</p>	No comments	X		
<p><b>2. Quality Management System Policy</b>  PLAN – The Operational Plan shall document a Quality Management System Policy that provides the foundation for the Quality Management System, and:</p> <ul style="list-style-type: none"> <li>a.) includes a commitment to the maintenance and continual improvement of the Quality Management System,</li> <li>b.) includes a commitment to the consumer to provide safe drinking water,</li> <li>c.) includes a commitment to comply with all legislation and regulations, and</li> <li>d.) is in a form that provides for ready communication to all Operating Authority personnel, the Owner and the public.</li> </ul>	No comments	X		

DWQMS Requirement	Findings	Degree of Conformance		
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DO – The Operating Authority shall establish and maintain a Quality Management System that is consistent with the Policy.				
<p><b>3. Commitment and Endorsement</b></p> <p>PLAN – The Operational Plan shall contain a written endorsement of its contents by top Management and the Owner</p> <p>DO – Top Management shall provide evidence of its commitment to an effective Quality Management System by:</p> <ul style="list-style-type: none"> <li>a.) ensuring that a Quality Management System is in place that meets the requirements of this Standard,</li> <li>b.) ensuring that the Operating Authority is aware of all applicable legislative and regulatory requirements,</li> <li>c.) communicating the Quality Management System according to the procedure for communications, and</li> <li>d.) determining, obtaining or providing the resources needed to maintain and continually improve the Quality management System</li> </ul>	Recent & signed endorsement page available (last date (March 3, 2023)	X		
<b>4. Quality Management System Representative</b>	QMS Rep Identified in Element 4 & 9	X		

DWQMS Requirement	Findings	Degree of Conformance		
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<p>PLAN – The Operational Plan shall identify a Quality Management System representative.</p> <p>DO – Top Management shall appoint and authorise a Quality Management System representative who, irrespective of other responsibilities, shall:</p> <ul style="list-style-type: none"> <li>a.) administer the Quality Management System by ensuring that processes needed for the Quality Management System are established and maintained,</li> <li>b.) report to Top Management on the performance of the Quality Management System and any need for improvement,</li> <li>c.) ensure that the current version of documents required by the Quality Management System are being used at all times,</li> <li>d.) ensure that personnel are aware of all applicable legislative and regulatory requirements that pertain to their duties for the operation of the subject system, and</li> <li>e.) promote awareness of the Quality Management System throughout the Operating Authority</li> </ul>	<ul style="list-style-type: none"> <li>• Resolution No. 457-13 Appointment of QMS Representative and Implementation Lead (December 9, 2013)</li> <li>• Resolution No. 513-09 appointment of QMS Representative and Implementation Lead Alternate.</li> <li>• Printed No. 513-09 and added to binder.</li> </ul>			
<b>5. Document and Records Control</b>	All documents making up the OP have been reviewed or updated to Oct 2023.	X		

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
<p>PLAN – The Operational Plan shall document a procedure for document and records control that describes how:</p> <ul style="list-style-type: none"> <li>a.) documents required by the Quality Management System are: <ul style="list-style-type: none"> <li>i. kept current, legible and readily identifiable</li> <li>ii. retrievable</li> <li>iii. stored, protected, retained and disposed of.</li> </ul> </li> <li>b.) Records required by the Quality Management System are: <ul style="list-style-type: none"> <li>i. kept legible and readily identifiable</li> <li>ii. retrievable</li> <li>iii. stored, protected, retained and disposed of.</li> </ul> </li> </ul> <p>DO – The Operating Authority shall implement and conform to the procedure for document and records control and shall ensure that the Quality Management System documentation for the subject system includes:</p> <ul style="list-style-type: none"> <li>a.) the Operational Plan and its associated policies and procedures,</li> <li>b.) documents and records determined by the Operating Authority as being needed to ensure the effective planning, operation and</li> </ul>	SOP 12 was not locked			

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
control of its operations, and the results of internal and external audits and management reviews				
<p><b>6. Drinking –Water System</b></p> <p><b>PLAN – The Operational Plan shall document, as applicable:</b></p> <p>a) for the Subject System:</p> <p>i) the name of the Owner and Operating Authority,</p> <p>ii) if the system includes equipment that provides Primary Disinfection and/or Secondary Disinfection:</p> <p>A. a description of the system including all applicable Treatment System processes and Distribution System components,</p> <p>B. a Treatment System process flow chart,</p> <p>C. a description of the water source, including:</p> <p>I. general characteristics of the raw water supply,</p> <p>II. common event-driven fluctuations, and</p> <p>III. any resulting operational</p>	<p>Key information has been updated in Element 6, including population (census), hydrant / valve/ watermain numbers.</p> <p>Appendix 6C – Distribution System Plan reviewed with General Managers, drawing required minor updates to include new lines.</p>	X		
		OFI-2022-01		

DWQMS Requirement	Findings	Degree of Conformance		
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<p>challenges and threats.</p> <p>iii) if the system does not include equipment that provides Primary Disinfection or Secondary Disinfection:</p> <p>A. a description of the system including all Distribution System components, and</p> <p>B. a description of any procedures that are in place to maintain disinfection residuals.</p> <p>b) if the Subject System is an Operational Subsystem, a summary description of the Municipal Residential Drinking Water System it is a part of including the name of the Operating Authority(ies) for the other Operational Subsystems.</p> <p>c) if the Subject System is connected to one or more other Drinking Water Systems owned by different Owners, a summary description of those systems which:</p> <p>i) indicates whether the Subject System obtains water from or supplies water to those systems,</p> <p>ii) names the Owner and Operating Authority(ies) of those systems, and</p>				



DWQMS Requirement	Findings	Degree of Conformance		
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<p>iii) identifies which, if any, of those systems that the Subject System obtains water from are relied upon to ensure the provision of safe drinking water.</p> <p><b>DO</b> – The Operating Authority shall ensure that the description of the Drinking Water System is kept current.</p>				
<p>7. Risk Assessment</p> <p><b>PLAN</b> – The Operational Plan shall document a risk assessment process that:</p> <p>a) Considers potential hazardous events and associated hazards, as identified in the Ministry of the Environment and Climate Change document titled Potential Hazardous Events for Municipal Residential Drinking Water Systems, dated February 2017 as it may be amended. A copy of this document is available at <a href="http://www.ontario.ca/drinkingwater">www.ontario.ca/drinkingwater</a>.</p> <p>b) identifies potential hazardous events and associated hazards,</p> <p>c) assesses the risks associated with the occurrence of hazardous events,</p>	<p>Risk Assessment scheduled for Nov.15, 2023 following the QMS Risk Assessment Training by WCWC and will update table ranking.</p> <p>Previous years have gone over and above the standard by completing a full risk assessment annually vs every 36 months.</p> <p>Scheduled for November 15<sup>th</sup> 2023 following QMS Training for Risk Assessment and Emergency Response</p> <p>2022 Risk Assessment was sent to Auditor</p>	X		

DWQMS Requirement	Findings	Degree of Conformance		
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<p>d) ranks the hazardous events according to the associated risk,</p> <p>e) identifies control measures to address the potential hazards and hazardous events,</p> <p>f) identifies critical control points,</p> <p>g) identifies a method to verify, at least once every calendar year, the currency of the information and the validity of the assumptions used in the risk assessment,</p> <p>h) ensures that a risk assessment is conducted at least once every thirty-six months, and</p> <p>i) considers the reliability and redundancy of equipment.</p> <p><b>DO</b> – The Operating Authority shall perform a risk assessment consistent with the documented process.</p>				
<p><b>8. Risk Assessment Outcomes</b></p> <p><b>PLAN</b> – The Operational Plan shall document:</p> <p>a.) the identified potential hazardous events and associated hazards</p> <p>b.) the assessed risks associated with the occurrence of hazardous events,</p> <p>c.) the ranked hazardous events,</p> <p>d.) the identified control measures to address the potential hazards and hazardous events,</p>	<p>As above</p> <p>SOP 5: Appendix 8E – Secondary Disinfection Critical Control Limit Response Procedure, limits were revised by SM</p>			

DWQMS Requirement	Findings	Degree of Conformance		
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<p>e.) the identified critical control points and their respective critical control limits,  f.) procedures and/or processes to monitor the critical control limits,  g.) procedures to respond to deviations from the critical control limits, and  h.) procedures for reporting and recording deviations from the critical control limits.</p> <p><b>DO</b> – The Operating Authority shall implement and conform to the procedures.</p>				
<p><b>9. Organisational Structure, Roles, Responsibilities and Authorities</b></p> <p><b>PLAN – The Operational Plan shall:</b></p> <p>a) describe the organizational structure of the Operating Authority including respective roles, responsibilities and authorities,  b) delineate corporate oversight roles, responsibilities and authorities in the case where the Operating Authority operates</p>	No comments	X		

DWQMS Requirement	Findings	Degree of Conformance		
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<p>multiple subject systems,</p> <p>c) identify the person, persons or group of people within the management structure of the organization responsible for undertaking the Management Review described in Element 20,</p> <p>d) identify the person, persons or group of people, having Top Management responsibilities required by this Standard, along with their responsibilities, and</p> <p>e) identify the Owner of the subject system.</p> <p><b>DO</b> – The Operating Authority shall keep current the description of the organizational structure including respective roles, responsibilities and authorities, and shall communicate this information to Operating Authority personnel and the Owner.</p>				
<p><b>10. Competencies</b></p> <p>PLAN – The Operational Plan shall document:</p> <p>a.) competencies required for personnel performing duties affecting drinking water quality.</p> <p>b.) activities to develop and maintain competencies for personnel performing</p>	<p>Reviewed Operator Licences for renewal dates:</p> <p><u>Treatment</u></p> <p>2 WFP operators have licences expiring in early 2024. - Confirmed both operators have plans in place to ensure continuity of licence.</p> <p>1 WFP operator recently upgrades from</p>	X		

DWQMS Requirement	Findings	Degree of Conformance		
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<p>duties directly affecting drinking water quality, and</p> <p>c.) activities to ensure that personnel are aware of the relevance of their duties and how they affect safe drinking water.</p> <p>DO – the Operating Authority shall undertake activities to:</p> <p>a.) meet and maintain competencies for personnel directly affecting drinking-water quality and shall maintain records of these activities, and</p> <p>d.) ensure that personnel are aware of the relevance of their duties and how they affect safe drinking water, and shall maintain records of these activities.</p>	<p>Class 3 to 4.</p> <p>1 WFP Operator (currently on extended leave) has expired in March 2023. Top Management is aware.</p> <p><u>Distribution</u> 1 OIT licences has expired, plans are in place to renew.</p> <p>1 Existing operator licences expiring in late 2023. - Confirmed operator has plans in place to ensure continuity of licence.</p> <p>QMS Rep working with Roads and Services Supervisor to ensure training plan in place to ensure continuity of all licences. QMS to create a tracking document for hours and training specific to Operators used for assist with both Treatment and Distribution licences.</p> <p>Confined Space Training/ Lockout/ Tagout training was completed.</p>	OFI-2023-01		

DWQMS Requirement	Findings	Degree of Conformance		
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<p><b>11. Personnel Coverage</b></p> <p>PLAN – The Operational Plan shall document a procedure to ensure that sufficient personnel meeting the identified competencies are available for duties that directly affect drinking water quality,</p> <p>DO – The Operating Authority shall implement and conform to the procedure.</p>	<p>Carried Forward CAR # 2020-02</p> <p>The audit noted that there continues to be difficulty completing scheduled mechanical maintenance activities at the WFP. Larger mechanical maintenance and repairs are currently being completed by an external mechanical contractor; however many regular preventative mechanical maintenance tasks were not completed as scheduled. The QMS rep understands that the Town made efforts in 2017 to recruit a Mechanical Technician, but were unsuccessful in finding a qualified candidate. The decision was made at the time to recruit an additional operator and to complete maintenance tasks through a combination of internal operators and external contractors when necessary. Due to a lack of capacity and mechanical abilities of internal operators along with a lack of capacity of sub-contracted mechanics, this approach is not proving to be effective.</p>			<p>CAR # 2020-02</p>

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	<p>This matter was discussed during the most recent round of Collective Bargaining Agreement (CBA) negotiations with the Union and it was agreed that the two parties would meet during the term of the agreement to develop an entry level Mechanical Technician position without water/wastewater treatment accreditation. The purpose is to allow for the position to be filled by an employee without water/wastewater treatment accreditation but to establish a process by which the employee will acquire the accreditations.</p> <p>1234– on-going</p> <p>1 Treatment operator was hired.</p> <p>New “Who’s Responding” App in use for emergency after-hours call. Sends alert to on-call worker, Road and Services Supervisor and General Managers of Operations, allows for chat function and logs who has responded and how/when issue was resolved.</p>	X		

DWQMS Requirement	Findings	Degree of Conformance		
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		X		
<p><b>12. Communications</b></p> <p>PLAN – The Operational Plan shall document a procedure for communications that describes how the relevant aspects of the Quality Management System are communicated between Top Management and:</p> <ul style="list-style-type: none"> <li>a.) the Owner,</li> <li>b.) Operating Authority personnel,</li> <li>c.) Suppliers, and</li> <li>d.) The public.</li> </ul> <p>DO – The Operating Authority shall implement and conform to the procedure.</p>	<p>A) The WW Supervisor provided the annual DWQMS council update on February 27, 2023</p> <p>B) 2023 DWQMS staff report posted in WFP and Garage</p> <p>C) No new suppliers identified.</p> <p>D) Abridged DWQMS Operational Plan updated and posted to Arnprior.ca (personal, system sensitive and emergency planning information not provided in public version). Previous version posted was out of date.</p>	<p>X</p> <p>X</p> <p>X</p> <p>X</p>		
<p><b>13. Essential Supplies and Services</b></p> <p>PLAN – The Operational Plan shall:</p> <ul style="list-style-type: none"> <li>a.) identify all supplies and services essential for the delivery of safe drinking water and shall state, for each supply or service, the means to ensure its procurement, and</li> </ul>	<p>Essential suppliers list reviewed and contact information updated throughout.</p> <p>Caduceon Lab Accreditation Confirmed</p>	<p>X</p> <p>X</p>		



DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
<p>b.) include a procedure by which the Operating Authority ensures the quality of the essential supplies and services, in as much as they may affect the drinking water quality.</p> <p>DO – The Operating Authority shall implement and conform to the procedure.</p>				
<p><b>14. Review and Provision of Infrastructure</b></p> <p><b>PLAN</b> – The Operational Plan shall document a procedure for reviewing the adequacy of the infrastructure necessary to operate and maintain the Subject System that:</p> <p>a) Considers the outcomes of the risk assessment documented under Element 8, and</p> <p>b) Ensures that the adequacy of the infrastructure necessary to operate and maintain the Subject System is reviewed at least once every calendar year.</p> <p><b>DO</b> – The Operating Authority shall implement and conform to the procedure and communicate the findings of the review to the Owner.</p>	<p>Review and Provision of Infrastructure meeting held Oct 03, 2023. Outcomes:</p> <ul style="list-style-type: none"> <li>• Lead line removed on Edey St</li> <li>• No service replacements completed this year.</li> <li>• Valve exercising to be done pro-actively. <ul style="list-style-type: none"> <li>- To be scheduled to ensure its completed</li> </ul> </li> <li>• 2024 <ul style="list-style-type: none"> <li>– multiple projects to upsize water main and sewer</li> <li>- River Crossing watermain replacement – 16” drilling into bedrock</li> </ul> </li> <li>• 2025 – multiple projects to upsize water main and sewer <ul style="list-style-type: none"> <li>– Clearwell #1 to be</li> </ul> </li> </ul>	X		

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
	<p>replaced/upgraded</p> <ul style="list-style-type: none"> <li>- Filter Media in WFP to be replaced.</li> <li>• MECP inspection report – no concerns</li> <li>• Water Quality trends - no concerns.</li> </ul>			
<p><b>15. Infrastructure Maintenance, Rehabilitation and Renewal</b></p> <p><b>PLAN</b> – The Operational Plan shall document:  a) a summary of the Operating Authority’s infrastructure maintenance, rehabilitation and renewal programs for the Subject System, and  b) a long term forecast of major infrastructure maintenance, rehabilitation and renewal activities.</p> <p><b>DO</b> – The Operating Authority shall:  a) keep the summary of the infrastructure maintenance, rehabilitation and renewal programs current,  b) ensure that the long term forecast is reviewed at least once every Calendar Year,  c) communicate the programs to the Owner, and  d) monitor the effectiveness of the maintenance</p>	<p>Form 1’s - Record of Watermains Authorized as Future Alterations, for all new watermains constructed in 2022/2023 were available and saved to filehold prior to auditors request.</p> <p>Forms 2’s - Record of Minor Modifications or Replacements to the Drinking Water System - 1 - Form 2 were completed and saved to filehold. All Form 2’s should be completed prior to placing equipment into service. (2023 Coagulant Pump Replacement)</p> <p>No Schedule C’s required/created during audit period.</p> <p>10 Year Capital Forecast provided by GM</p>	X	X	



DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
<p>system</p> <p>b.) a description of any relevant sampling, testing or monitoring activities that take place upstream of the subject system, and</p> <p>c.) a procedure that describes how sampling, testing and monitoring results are recorded and shared between the Operating Authority and the Owner, where applicable.</p> <p>d.) DO – The Operating Authority shall implement and conform to the procedures.</p>	<p>by MECP, we have set to weekly obtain a monthly average, record keeping of residuals could be improved.</p> <p>OIC described lab data review process. Conforms with OP procedure.</p> <p>Distribution chlorine residuals sampling records reviewed – monthly calibrations to be improved.</p> <p>Superchlorination – WM commissioning records reviewed – available during audit and saved in filehold.</p> <p>All lab results (from 2022) were summarized in the 2023 Annual report and presented to Council.</p>			
<p><b>17. Measurement and Recording Equipment Calibration and Maintenance</b></p> <p>PLAN – The Operational Plan shall document a procedure for the calibration and maintenance of measurement and recording equipment.</p> <p>DO – The Operating Authority shall implement and</p>	<p>All equipment was audited for calibration as per manufacturer’s guidelines or at least within the previous 12 months. In house calibration records were available for audit period. External calibration records were provided for other meters (such as flow meters) and were saved to filehold – conforms.</p>	X		

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
conform to the procedure.	<ul style="list-style-type: none"> <li>• Portable colorimeters (chlorine test kits) (2 - Treatment, 1 – Distribution)</li> <li>• Portable turbidimeters (Treatment: 1 Benchtop)</li> <li>• pH meters (Treatment: 1 Benchtop, 1 Treated, 2 Actiflo)</li> <li>• Pressure gauges</li> <li>• Continuous chlorine residual analyzers (Treatment: 1 Free, 1 Total)</li> <li>• Continuous turbidimeters (Treatment: 2 Actiflo, 1 Benchtop, 3 Filters)</li> <li>• Flow meters: calibration report provided</li> </ul> <p>DPD-Chlorine-LR Secondary Standards for ongoing verification of colorimeters- Refer to the manufactures kits for instructions – Monthly sampling to be completed at both Treatment and Distribution</p> <ul style="list-style-type: none"> <li>• Distribution to improve on calibrating frequency</li> </ul>	OFI#2023-03		

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
<p><b>18. Emergency Management</b></p> <p>PLAN – The Operational Plan shall document a procedure to maintain a state of emergency preparedness that includes:</p> <ul style="list-style-type: none"> <li>a.) a list of potential emergency situations or service interruptions,</li> <li>b.) processes for emergency response and recovery,</li> <li>c.) emergency response training and testing requirements,</li> <li>d.) Owner and Operating Authority responsibilities during emergency situations,</li> <li>e.) References to municipal emergency planning measures as appropriate, and</li> <li>f.) An emergency communication protocol and an up-to-date list of emergency contacts.</li> </ul>	<p>Emergency Response Testing completed September 26<sup>th</sup>, 2023 (Earthquake/Fluoride scenario)</p> <ul style="list-style-type: none"> <li>• New fluoride analyzer proactively purchased to eliminate hazard.</li> <li>• Underground tanks to be reviewed for condition.</li> </ul> <p>Emergency contact lists reviewed to ensure contact information is up to date.</p>	X		

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
DO – The Operating Authority shall implement and conform to the procedure.				
<p><b>19. Internal Audits</b></p> <p>PLAN – The Operational Plan shall document a procedure for internal audits that:</p> <ul style="list-style-type: none"> <li>a.) evaluates the conformity of the QMS with the requirements of this Standard,</li> <li>b.) identifies internal audit criteria, frequency, scope, methodology and record-keeping requirements,</li> <li>c.) considers previous internal and external audit results, and</li> <li>d.) describes how the Quality Management System corrective actions are identified and initiated.</li> </ul> <p>DO – The Operating Authority shall implement and conform to the procedure and shall ensure that internal audits are conducted at least once every twelve months.</p>	<p>Audit completed in 2023 - Conforms</p> <p>Previous (2022) internal audit –</p> <ul style="list-style-type: none"> <li>• OFI#2022-01 – Appendix 6D Distribution System Plan required updating due to new residential development – New GIS system some training required to update drawing (carried over)</li> <li>• OFI#2022-02 – Element 7&amp;8 to include “cybersecurity threats” – OP was updated December 2022, IT training on-going</li> <li>• OFI#2022-03 – Element 16 – Hydrant Numbering – In progress, stickers were tested against the elements, product was selected, to be issued this fall 2023</li> <li>• OFI#2022-04 – Element 17 – Confirming calibration through secondary standards – standards have been purchased and put into use. Procedure is to refer to</li> </ul>	X		

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
	<p>manufacture kits instructions.</p> <ul style="list-style-type: none"> <li>CAR#2020-02 – Mechanical Technician to be hired for WTO due to older equipment and availability of reliable contracted millwright – Building Condition Assessment (BCA) has been progressing with a drafted inventory of equipment and condition.</li> </ul> <p>Previous (2022) external audit – DESKTOP AUDIT: OFI - Element 1 - Consider including a copy of the Subject System Description Form in the OP and confirming that the OP version audited by the accreditation body is retained for 10 years</p> <ul style="list-style-type: none"> <li>Mistakenly not included in auditor package last year, link now added to OP so will not be missed in future.</li> </ul> <p>OFI - Element 7 &amp; 8 – include “cybersecurity threats”</p> <ul style="list-style-type: none"> <li>Cybersecurity threats was added to OP and assessed</li> </ul>	X		
		X		



DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
	<p>during the 2022 Risk Assessment exercise Dec 12, 2022. Key priority on IT's 2023 workplan.</p> <p>OFI – Element 8 &amp; 15 - Consideration should be given to setting the Critical Control Limit (CCL) for chlorine residuals in line with the “acceptable disinfectant concentration” definition included in the Ministry’s 2020 Watermain Disinfection Procedure.</p> <ul style="list-style-type: none"> <li>- The auditors’ suggestion was thoroughly discussed both internally and with the auditor. Waterworks staff have established that an appropriate CCL for Arnpriors’ distribution system is 0.75 mg/L. Various policies and forms in the DWQMS OP have been updated to reflect this adjustment.</li> </ul> <p>OFI – Element 11 - Consider describing in OP s.8.11 Personnel Coverage and/or PW-DWQMS-11 Personnel Coverage procedure the latest provisions and</p>	X		
		X		

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
	<p>Ministry requirements in the use of “emergency substitute operators” as now more fully described in O. Reg. 128/04 and O. Reg. 129/04 (the links provided are to the Environmental Registry decision notices).</p> <ul style="list-style-type: none"> <li>- The OP has been updated to provide a statement that O Reg 128/04 now provides for several allowances related to staffing and operator licencing during emergency and lock-out and strike situations. Management has confirmed that O. Reg. 128/04 allowances do not appear to conflict with the current collective bargaining agreement.</li> </ul> <p>OFI – Element 17 - Consider updating s.8.2 of PW-DWQMS-17 to also reflect the calibration requirements specified in the MDWL’s Schedule C s.4.0 Calibration of CT Monitoring System.</p> <ul style="list-style-type: none"> <li>- The QMS / OP has been updated with the addition of</li> </ul>	X		

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
	<p>section 8.1 of element 17 to reflect the MDWL calibration requirements.</p> <ul style="list-style-type: none"> <li>- Operators have identified issues with respect to calibrating the elevation of a transducer in Clearwell #2. This sensor is not used in normal plant flow and therefore not expected to impact CT calculations. Establishing a known elevation to accurately calibrate the sensor is a work in progress. The QMS rep was able to confirm that the transducer in Clearwell #1 (that is normally used for CT calculations) can be properly calibrated.</li> </ul> <p>ONSIT AUDIT: OFI – Element 5 - Consider using SharePoint to improve availability of documented information to operators</p> <ul style="list-style-type: none"> <li>- No Action will be taken with respect to El. 5. SharePoint</li> </ul>	X		

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
	<p>does not work with Filehold the Towns digital filing system.</p> <p>OFI – Element 15 - Consider including the chlorinators’ annual service on a maintenance reminder schedule.</p> <ul style="list-style-type: none"> <li>- The Waterworks supervisor has set a digital reminder to schedule the chlorinators maintenance in 2023/24 and for the Chlorinator to be serviced annually.</li> <li>- The BCA being undertaken in 2023/24 will capture this equipment. The BCA outcomes and Mechanical Technician position will specifically address this and other similar maintenance issues from re-occurring.</li> </ul> <p>OFI – Element 17 - Consider using DPD-Chlorine-LR Secondary Standards for ongoing verification of colorimeters (and note the certificate of analysis included inside that confirms acceptable ranges specific to the lot #).</p> <ul style="list-style-type: none"> <li>- DPD Chlorine secondary</li> </ul>	X		
		X		

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
	<p>standards were ordered &amp; received in November 2022 and have been in use since. The waterworks department goal, both for the treatment and distribution chlorine analyzers is to undertake secondary standard calibration confirmation monthly.</p> <ul style="list-style-type: none"> <li>- QMS confirmed Treatment has completed monthly.</li> <li>- QMS has reminded Distribution to complete monthly.</li> </ul> <p>OFI – Element 17 - Consider adding the level transducer for Clearwell #1 and #2 (as back-up) to the list of calibrated equipment that forms part of the monitoring system for CT (as required by MDWL Schedule C s.4.0 Calibration of CT Monitoring System).</p> <ul style="list-style-type: none"> <li>- The QMS OP has been updated to include the clearwell level transducers in section 8.0 of element 17 to reflect the MDWL calibration</li> </ul>			

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
	requirements.			
<p><b>20. Management Review</b></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"> <li>a.) incidents of regulatory non-compliance,</li> <li>b.) incidents of adverse drinking-water tests,</li> <li>c.) deviations from critical control point limits and response actions,</li> <li>d.) the effectiveness of the risk assessment process,</li> <li>e.) internal and third party audit results,</li> <li>f.) results of emergency response testing,</li> <li>g.) operational performance,</li> <li>h.) raw water supply and drinking water quality trends,</li> <li>i.) follow-up action items from previous management reviews,</li> <li>j.) the status of management action items identified between reviews,</li> <li>k.) changes that could affect the Quality Management System,</li> </ul>	<p>OP states that Top Management review shall occur once per calendar year. Typically, the review is completed in January for the previous calendar year. To be completed January 2024 following receipt of external audit.</p> <p>Checklist to be developed to track key DWQMS activities to be undertaken annually, to help avoid tasks being missed by new/fill in staff during leaves of absences.</p>	X		

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
l.) consumer feedback, m.) the resources needed to maintain the Quality Management System, n.) the results of infrastructure review, o.) Operational Plan currency, content and updates, and p.) Staff suggestions  Do - Top Management shall implement and conform to the procedure and shall: 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 action items to address the deficiencies, c.) provide a record of any decisions and action items related to the management review including personnel responsible for delivering the action items and the proposed timelines for their implementation, and d.) report the results of management review, the identified deficiencies, decisions and action items to the Owner.				
<b>21. Continual Improvement</b>	QMS Rep reviewed the			

DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
<p>PLAN – The Operating Authority shall develop a procedure for tracking and measuring continual improvement of its Quality Management System by:</p> <ul style="list-style-type: none"> <li>a.) reviewing and considering applicable best management practices, including any published by the Ministry of the Environment and Climate Change and available on <a href="http://www.ontario.ca/drinkingwater">www.ontario.ca/drinkingwater</a>, at least once every thirty-six months;</li> <li>b.) documenting a process for identification and management of Quality Management System Corrective Actions that includes: <ul style="list-style-type: none"> <li>i) investigating the cause(s) of an identified non-conformity,</li> <li>ii) documenting the action(s) that will be taken to correct the non-conformity and prevent the non-conformity from re-occurring, and</li> <li>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.</li> </ul> </li> <li>c.) documenting a process for identifying and</li> </ul>	<p><a href="http://www.ontario.ca/drinkingwater">www.ontario.ca/drinkingwater</a> on Oct 20, 2023 for updates to regulations ect.... No new guides were listed (dated 2022 - 2023);</p> <p>Rep reviewed guidelines: Residential water testing, and Laboratory update bulletin: Drinking water testing, Issue 1</p> <p>Check list to be developed to identify key DWQMS tasks to be completed annually.</p>			



DWQMS Requirement	Findings	Degree of Conformance		
		Conformance	Partial Conforms	Non-conforming
<p>implementing Preventive Actions to eliminate the occurrence of potential non-conformities in the Quality Management System that includes:</p> <ul style="list-style-type: none"> <li>i) reviewing potential non-conformities that are identified to determine if preventive actions may be necessary,</li> <li>ii) documenting the outcome of the review, including the action(s), if any, that will be taken to prevent a non-conformity from occurring, and</li> <li>iii) reviewing the action(s) taken to prevent a non-conformity, verifying that they are implemented and are effective in preventing the occurrence of the non-conformity.</li> </ul> <p>DO – The Operating Authority shall strive to continually improve the effectiveness of its Quality Management System by implementing and conforming to the procedure.</p>				

**NON-CONFORMANCES**

**CAR # 2020-02** - Carried Forward CAR # 2020-02

The audit noted that there continues to be difficulty completing scheduled mechanical maintenance activities at the WFP. Upon the

completion of the hiring of a new licenced operator (Fall 2022), discussions should begin with respect to the creation of a Mechanical Technician position for the WFP in order improve the manner in which preventative maintenance work orders are completed.

- 2023 UPDATE: A Building Condition Assessment (BCA) has been in progress. A draft of all equipment inventories and current condition has been reviewed. This BCA will be used to prioritize repairs and efforts.
- Maintenance Tech position is progressing well. The job description has been updated and the evaluation process has been completed with the union. Position will now be posted with intention to hire in spring 2024.

<b>ACTION PLAN:</b>	<b>ASSIGNED TO:</b>	<b>COMPLETION DATE</b>
OFI-2022 -01 Appendix 6C – Distribution System Plan requires some updating. Recent move to GIS online requires staff training on new system.	<b>GIS Summer Student</b>	<b>Summer 2024</b> Carried over
OFI-2022 -03 - Hydrant numbering sticker.	<b>Ryan Wall / Steve/ Deanna N / Distribution Operators</b>	<b>During Fall 2023 Flushing</b> Carried over
OFI-2022-04 - Chlorine meter standards (use procedure to be developed) Removed as best practice is to refer to the instructions within the manufactures kit, instructions saved to Filehold: E-01 – 2023 – WFP General	<b>QMS Rep / WFP Operators</b>	<b>Fall 2023</b> Completed
OFI -2023-01 - QMS Rep working with Roads and Services Supervisor to ensure training plan in place to ensure continuity of all licences. QMS to create a tracking document for hours and training specific to Operators used to assist with both Treatment and Distribution licences.	<b>QMS Rep/ Steve / Distribution Operators</b>	<b>2024</b>
OFI – 2023 -02 – Element 16 – Calibration records to be improved. Some weekly/ monthly equipment calibration were not recorded. Weekly is not required by MECP however written within our municipal policy to complete weekly residual testing to obtain a monthly average. Month calibrating to be completed Distribution Chlorine meter. Treatment staff to ensure month calibration is being recorded.	<b>Distribution and Treatment Operators</b>	<b>2024</b>

### Revision Control Sheet

Review Date	Revisions Issued	Effective Date	Reviewed By	Revised By
Dec 5, 2013	Template Updates	Dec 5, 2013	GB	DS
Dec 8, 2014	Addition of action items table to template	Dec 8, 2014	GB	DS
Dec 5, 2017	Template Elements updated to include new DWQMS 2.0 standards	Dec 5, 2017	JS	DN

# Audit Report

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Surveillance Audit for

The Corporation of the Town of Arnprior

**ACTY-2023-641343**

Audited Address: 71 James Street, Arnprior, ON K7S 1C9

Start Date: October 31, 2023 End Date: October 31, 2023

Type of audit:  
Surveillance System Audit

Issue Date: October 31, 2023

Revision Level: Final



## Audit Report

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### BACKGROUND INFORMATION

Intertek - SAI Global conducted an audit of The Corporation of the Town of Arnprior beginning on October 31, 2023 and ending on October 31, 2023 to the DRINKING WATER QUALITY MANAGEMENT STANDARD (DWQMS 2.0).

The purpose of this audit report is to summarise the degree of conformity with relevant criteria, as defined on the cover page of this report, based on the evidence obtained during the audit of your organization. This audit report considers your organization's policies, objectives, and continual improvement processes. Comments may include how suitable the objectives selected by your organization appear to be in regard to maintaining customer satisfaction levels and providing other benefits with respect to policy and other external and internal needs. We may also comment regarding the measurable progress you have made in reaching these targets for improvement.

Intertek - SAI Global audits are carried out within the requirements of Intertek - SAI Global procedures that also reflect the requirements and guidance provided in the international standards relating to audit practice such as ISO/IEC 17021-1, ISO 19011 and other normative criteria. Intertek - SAI Global Auditors are assigned to audits according to industry, standard or technical competencies appropriate to the organization being audited. Details of such experience and competency are maintained in our records.

In addition to the information contained in this audit report, Intertek - SAI Global maintains files for each client. These files contain details of organization size and personnel as well as evidence collected during preliminary and subsequent audit activities (Documentation Review and Scope) relevant to the application for initial and continuing certification of your organization.

Please take care to advise us of any change that may affect the application/certification or may assist us to keep your contact information up to date, as required by Intertek - SAI Global Terms and Conditions.

This report has been prepared by Intertek - SAI Global Limited (Intertek - SAI Global) in respect of a Client's application for assessment by Intertek - SAI Global. The purpose of the report is to comment upon evidence of the Client's conformity with the standards or other criteria specified. The content of this report applies only to matters, which were evident to Intertek - SAI Global at the time of the audit, based on sampling of evidence provided and within the audit scope. Intertek - SAI Global does not warrant or otherwise comment upon the suitability of the contents of the report or the certificate for any particular purpose or use. Intertek - SAI Global accepts no liability whatsoever for consequences to, or actions taken by, third parties as a result of or in reliance upon information contained in this report or certificate.

Please note that this report is subject to independent review and approval. Should changes to the outcomes of this report be necessary as a result of the review, a revised report will be issued and will supersede this report.

<b>Standard:</b>	DRINKING WATER QUALITY MANAGEMENT STANDARD VERSION 2 - 2017
<b>Applicable codes:</b>	Drinking Water
<b>Scope of Certification:</b>	Treatment and Distribution
<b>Drinking Water System Owner:</b>	Town of Arnprior
<b>Operating Authority:</b>	Town of Arnprior Waterworks
<b>Population Services:</b>	8,114
<b>Activities:</b>	<b>Treatment &amp; Distribution</b>
<b>Drinking Water Systems</b>	Walter E. Prentice Water Filtration Plant and Distribution System

<b>Total audit duration:</b>	<b>Person(s):</b> 1	<b>Day(s):</b> 0.50
<b>Audit Team Member(s):</b>	Team Leader Brigitte Roth	

**Other Participants:** No other participants.

## Audit Report

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### Definitions and action required with respect to audit findings

#### Major Non-conformance:

Based on objective evidence, the absence of, or a significant failure to implement and/or maintain conformance to requirements of the applicable standard. Such issues may raise significant doubt as to the capability of the management system to achieve its intended outputs (i.e. the absence of or failure to implement a complete Management System clause of the standard); or

A situation which would on the basis of available objective evidence, raise significant doubt as to the capability of the Management System to achieve the stated policy and objectives of the customer.

NOTE: The "applicable Standard" is the Standard which Intertek - SAI Global are issuing certification against, and may be a Product Standard, a management system Standard, a food safety Standard or another set of documented criteria.

Action required: This category of findings requires Intertek - SAI Global to issue a formal NCR; to receive and approve client's proposed correction and corrective action plans; and formally verify the effective implementation of planned activities. Correction and corrective action plan should be submitted to Intertek - SAI Global prior to commencement of follow-up activities as required. Follow-up action by Intertek - SAI Global must 'close out' the NCR or reduce it to a lesser category **within 90 days for initial certification and within 60 days for surveillance or re-certification audits, from the last day of the audit.**

If significant risk issues (e.g. safety, environmental, food safety, product legality/quality, etc.) are detected during an audit these shall be reported immediately to the Client and more immediate or instant correction shall be requested. If this is not agreed and cannot be resolved to the satisfaction of Intertek - SAI Global, immediate suspension shall be recommended.

In the case of initial certification, failure to close out NCR within the time limits means that the Certification Audit may be repeated.

If significant risk issues (e.g. safety, environmental, food safety, product legality/quality, etc.) are detected during an audit these shall be reported immediately to the Client and more immediate or instant correction shall be requested. If this is not agreed and cannot be resolved to the satisfaction of Intertek - SAI Global, immediate suspension shall be recommended.

In the case of an already certified client, failure to close out NCR within the time limits means that suspension proceedings may be instituted by Intertek - SAI Global.

Follow-up activities incur additional charges.

#### Minor Non-conformance:

Represents either a management system weakness or minor issue that could lead to a major nonconformance if not addressed. Each minor NC should be considered for potential improvement and to further investigate any system weaknesses for possible inclusion in the corrective action program

Action required: This category of findings requires Intertek - SAI Global to issue a formal NCR; to receive and approve client's proposed correction and corrective action plans; and formally verify the effective implementation of planned activities at the next scheduled audit.

#### Opportunity for Improvement:

A documented statement, which may identify areas for improvement however shall not make specific recommendation(s).

Action required: Client may develop and implement solutions in order to add value to operations and management systems. Intertek - SAI Global is not required to follow-up on this category of audit finding.

### Audit Type and Purpose

#### Surveillance Audit:

A systems desktop audit in accordance with the systems audit procedure as it applies to Full Scope accreditation. The audit also included consideration of the results of the most recent audit undertaken in accordance with this Accreditation Protocol and any of the following that have occurred subsequent to that audit including but limited to;

- (a) the results of any audits undertaken in accordance with element 19 of the DWQMS V2,
- (b) historical responses taken to address corrective action requests made by an Accreditation Body,
- (c) the results of any management reviews undertaken in accordance with element 20 of the DWQMS V2, and,
- (d) any changes to the documentation and implementation of the QMS.

#### 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, Conservation & Parks (MECP) Drinking Water Quality Management Standard (DWQMS V2).

The audit was also intended to gather the information necessary for Intertek - SAI Global to assess whether accreditation can continue to be offered to the operating authority.

#### Audit Scope:

The documented information 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 V2 requirements, and b) if they have been effectively implemented and/or maintained.

#### Audit Criteria:

- The Drinking Water Quality Management Standard Version 2
- Current QMS manuals, procedures and records implemented by the Operating Authority
- Intertek - SAI Global Accreditation Program Handbook

#### Confidentiality and Documentation Requirements:

The Intertek - SAI Global stores their records and reports to ensure their preservation and confidentiality. Unless required by law, the Intertek - 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 Intertek - SAI Global will provide audit and corrective action reports to the Ontario Ministry of the Environment, Conservation & Parks (MECP). For more information, please refer to the Intertek - SAI Global Accreditation Program Handbook.

As part of the Intertek - SAI Global Terms, it is necessary for you to notify Intertek - SAI Global of any changes to your Quality Management System that you believe are significant enough to risk non-conformity with DWQMS V2: For more information, please refer to the Intertek - SAI Global Accreditation Program Handbook.

**Review of any changes:** There have been no changes to the operating authority since last audit.

## **EXECUTIVE OVERVIEW**

Based on the results of this surveillance system audit, the management system remains effectively implemented and meets the requirements of the standard relative to the scope of accreditation; therefore, a recommendation for continued accreditation will be submitted.

### **Opportunities for Improvement:**

The following opportunities for improvement have been identified.

- **EI. 5:** While generally described in PW-DWQMS-05, consider creating a table listing drinking water system records, confirming their locations and retention times (e.g. operator training, logbooks, NSF certifications, project-related disinfection records (prior to placing into service), maintenance records, sample chains of custody, lab test results, calibration records, Form 1's, 2's, 3's, Director Notifications, QMS-related, MDWL-related, DWWP-related, PTTW-related, etc.)
- **EI. 6:** Consider describing how disinfectant residuals are maintained in the distribution system (supporting DWQMS EI. 6 PLAN a) iii. B.)
- **EI. 18:** Consider tracking opportunities for improvement identified in emergency test exercises (such as underground storage tanks to be reviewed for condition, from the latest emergency training & test exercise).
- **EI. 20:** Consideration should be given to hosting a high-level Management Review meeting (e.g. "preview", including all items a) to p)) before end of the 2023 calendar year and again with a full meeting (e.g. full discussion / updates on items a) to p)) as planned in January 2024 (for "calendar year" requirement in the DWQMS and reset the timeframe)

It is suggested that the opportunities for improvement be considered by management to further enhance the company's Quality Management System and performance.

### **Management System Documentation:**

The management system's operational plan was reviewed and found to be in conformity with the requirements of the standard.

### **Management Review:**

Record of the most recent management review meeting was reviewed and found to meet the requirements of the standard. All inputs were reflected in the records and appear suitably managed as reflected by resulting actions and decisions.

### **Internal Audits:**

Internal audits are being conducted at planned intervals to ensure conformity to planned arrangements, the requirements of the standard and the established management system.

### **Corrective, Preventive Action & Continual Improvement Processes:**

The organization is implementing an effective process for the continual improvement of the management system through the use of the quality policy, quality objectives, audit results, data analysis, the appropriate management of corrective and preventive actions and management review.



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### Summary of Findings

1. Quality Management System	Conforms
2. Quality Management System Policy	Conforms
3. Commitment and Endorsement	Conforms****
4. Quality Management System Representative	Conforms
5. Document and Records Control	OFI
6. Drinking Water System	OFI
7. Risk Assessment	Conforms
8. Risk Assessment Outcomes	Conforms
9. Organizational Structure, Roles, Responsibilities and Authorities	Conforms
10. Competencies	Conforms
11. Personnel Coverage	Conforms
12. Communications	Conforms
13. Essential Supplies and Services	Conforms
14. Review and Provision of Infrastructure	Conforms
15. Infrastructure Maintenance, Rehabilitation & Renewal	Conforms
16. Sampling, Testing and Monitoring	Conforms
17. Measurement & Recording Equipment Calibration and Maintenance	Conforms
18. Emergency Management	OFI
19. Internal Audits	Conforms
20. Management Review	OFI
21. Continual Improvement	Conforms
<b>Major NCR #</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>Minor NCR #</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>Conforms</b>	Conforms to requirement.
<b>NANC</b>	Not applicable/Not Covered during this audit.
<b>****</b>	Additional comment added by auditor in the body of the report.

**PART D. Audit Observations, Findings and Comments**

DWQMS Reference:	1 Quality Management System
Client Reference:	Operational Plan for the Walter E. Prentice Water Filtration Plant and Distribution System (OP), dated 2023-10-20 <a href="#">Town-of-Arnrior-DWQMS-Operational-Plan---Version-21---Web-Version--November-3,-2021.pdf</a> , accessed on 2023-10-31
<p><b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client reference and found it to be in conformity with the requirements of the DWQMS reference.</p> <p>The online version of the abbreviated OP is dated November 3, 2021 (confirmed no major revisions have been made since the Nov. 2021 version).</p> <p>Any <b>non-conformities</b> or <b>opportunities for improvement</b> are recorded in their designated sections of this checklist.</p>	

DWQMS Reference:	2 Quality Management System Policy
Client Reference:	OP s.8.2 QMS Policy PW-DWQMS-02 QMS Policy, revised 2023-10-18 (policy v. 2022-10-05) <a href="#">Microsoft Word - Element 2 - PWDWQMS-02 - Quality Management System Policy (arnprior.ca)</a> , accessed on 2023-10-31 (policy 2022-10-05)
<p><b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference.</p>	

DWQMS Reference:	3 Commitment and Endorsement
Client Reference:	OP s.8.3 Commitment and Endorsement PW-DWQMS-03 Commitment and Endorsement Policy, 2023-10-18 QMS Commitment and Endorsement Policy, signed 2023-03-03 <a href="#">March-29-2022-QMS-Commitment-and-Endorsement-Policy-(signed).pdf (arnprior.ca)</a> , accessed on 2023-10-31 (signed 2022-03/04) <a href="#">Council - The Town of Arnrior</a> , accessed on 2023-10-31
<p><b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference.</p> <p>The written endorsement is signed by the Operating Authority's current members of Top Management (General Manager of Operations, John Steckley) and DWS Owner (Mayor Lisa McGee and CAO, Robin Paquette).</p> <p><b>Note:</b> the online version of the Commitment and Endorsement was signed in Mar/April, 2022.</p>	

DWQMS Reference:	4 Quality Management System Representative
Client Reference:	OP s.8.4 QMS Representative PW-DWQMS-04 Appointment of QMS Representative Policy, 2019-11-01
<p><b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference. Environmental Engineering Officer is the QMS Rep and Engineering Officer</p>	

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is alternate QMS Rep.

DWQMS Reference:	5 Document and Record Control
Client Reference:	OP s.8.5 Document and Records Control PW-DWQMS-05 Document and Record Control Procedure, 2020-10-09
<p><b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference.</p> <p><b>OFI:</b> While generally described in PW-DWQMS-05, consider creating a table listing drinking water system records, confirming their locations and retention times (e.g. operator training, logbooks, NSF certifications, project-related disinfection records (prior to placing into service), maintenance records, sample chains of custody, lab test results, calibration records, Form 1's, 2's, 3's, Director Notifications, QMS-related, MDWL-related, DWWP-related, PTTW-related, etc.)</p>	

DWQMS Reference:	6 Drinking Water System
Client Reference:	OP s.8.6 Drinking Water System PW-DWQMS-06 Drinking Water System, 2023-10-18
<p><b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference.</p> <p>The DWS description describes a surface water source from the Madawaska River with raw water characteristics that are relatively stable throughout the year and raw water pH varying seasonally (highest in fall and lowest in winter).</p> <p>Significant rain events contribute to largest changes, when pH decreases and colour &amp; turbidity increase. Upstream is OPG hydro generating station and dam located within 900m upstream of the intake. The confluence of Madawaska and Ottawa rivers are located approx. 2 kms downstream of the raw water intake as is Arnprior's WWPC.</p> <p>THM's in the distribution system may be formed – chloramination upgrades undertaken in 2005 consistently reduced THM levels to below current criterion. Elevated Lead concentrations are from older homes' services, predominantly due to leaching from private plumbing. Corrosion Control Plan upgrades were completed in 2016-2017.</p> <p>Treatment is provided with chemically assisted filtration to pipe network through high lift pumps. An elevated storage tank is also located within the distribution system. WTP process is described from raw water, treatment (incl. chemical dosages, Actiflo steps, filtration steps) to primary and secondary disinfection steps, water storage and transmission.</p> <p>Components of the distribution system are described: 56 kms watermain (+8 kms unassumed mains), 401 hydrants (+32 private hydrants), 690 valves, 2.727 ML capacity of water tower.</p> <p><b>OFI:</b> Consider describing how disinfectant residuals are maintained in the distribution system (supporting DWQMS El. 6 PLAN a) iii. B.).</p>	

DWQMS Reference	7 Risk Assessment
Client Reference:	OP s.8.7 Risk Assessment PW-DWQMS-07 Risk Assessment Procedure, dated 2023-10-19 PW-DWQMS-FR6 Risk Assessment Checklist, dated 2023-10-19 PW-DWQMS-FR10 Risk Assessment Validity Form, dated 2023-10-20
<p><b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i></p>	

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Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference.

DWQMS Reference:	8 Risk Assessment Outcomes
Client Reference:	OP s.8.8 Risk Assessment Outcomes PW-DWQMS-08 Risk Assessment Outcomes Procedure, 2022-12-12 2023 Internal audit report (completed October 2023)
<p><i>Details: (personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference. Noted in the 2023 internal audit report that the next risk assessment is planned on November 15, 2023 (following WCWC training).</p> <p>Noted MECP's latest "Potential Hazardous Events for Municipal Residential Drinking Water Systems" have been considered and incorporated into the risk assessment outcomes.</p> <p>CCP's and CCL's relate to primary, secondary disinfection, distribution system pressures, backflow and cybersecurity measures.</p>	

DWQMS Reference:	9 Organizational Structure, Roles, Responsibility and Authorities
Client Reference:	OP s.8.9 Organizational Structure, Roles, Responsibilities and Authorities PW-DWQMS-09 Organizational Structures, Roles, Responsibilities, and Authorities, dated 2022-10-19
<p><i>Details: (personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference.</p>	

DWQMS Reference:	10 Competencies
Client Reference:	OP s.8.10 Competencies PW-DWQMS-10 Competencies Procedure, dated 2023-10-18
<p><i>Details: (personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference.</p> <p>Minimum competencies required by position are described in s.8.1 and the tracking of training is achieved by the supervisors (Waterworks Supervisor and Roads &amp; Services Supervisor).</p>	

DWQMS Reference:	11 Personnel Coverage
Client Reference:	OP s.8.11 Personnel Coverage PW-DWQMS-11 Personnel Coverage Procedure, dated 2023-10-18
<p><i>Details: (personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference. Noted reference to regular hours and on-call process for after hours. Description of ORO, OIC and ESO's in accordance with O. Reg. 128/04.</p>	

DWQMS Reference:	12 Communications
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Client Reference:	OP s.8.12 Communications PW-DWQMS-12 Communications Procedure, dated 2023-10-18
<b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i> Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference.	

DWQMS Reference:	13 Essential Supplies and Services
Client Reference:	OP s.8.13 Essential Supplies and Services PW-DWQMS-13 Essential Supplies and Services Procedures, dated 2023-10-18 PW-DWQMS-FR12 DW Treatment Chemical Receiving Checklist, dated 2023-10-20 DWQMS FR22 Essential Supplier Letter DWQMS FR25 Developer Owner Letter
<b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i> Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference. PW-DWQMS-13 s.8.0 describes each essential supply / service, the company name for each, if any alternate supplier has been identified, how procurement is ensured and quality verified. The corresponding forms are ways in which Arnprior communicates about the specifications required (FR22 and FR25) and verifies (FR12) the quality of purchased materials that come into contact with water.	

DWQMS Reference:	14 Review and Provision of Infrastructure
Client Reference:	OP s.8.14 Review and Provision of Infrastructure PW-DWQMS-14 Review and Provision of Infrastructure Procedure, dated 2021-10-21 PW-DWQMS-FR23 Review and Provision of Infrastructure Annual Meeting
<b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i> Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference. Annually, the General Manager of Operations schedules a meeting with Waterworks and Roads & Services Supervisors to conduct a review of the condition of infrastructure. Recommendations are based on: outcomes of the risk assessment, past maintenance activities, planned maintenance on roads and sewer systems, MECP inspections, staff suggestions, water quality trends, consumer complaints, planned population growth. This process links to the 10-year replacement forecast and annual budget processes.	

DWQMS Reference:	15 Infrastructure Maintenance, Rehabilitation and Renewal
Client Reference:	OP s.8.15 Infrastructure Maintenance, Rehabilitation and Renewal PW-DWQMS-15 Infrastructure Maint., Rehab. and Renewal Procedure, dated 2023-10-18 2023 Internal Audit Report, checklist completed in October 2023
<b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i> Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference.	

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References the town’s DWWP and the various conditions under which a Schedule C amendment is required, along with the completion of Director Notifications, and Forms 1, 2, 3. The verification of completed forms for infrastructure changes are reviewed and confirmed by the QMS Rep.

Planned infrastructure maintenance activities are presented to council for authorization of major maintenance activities. Once authorized, work orders / schedules are distributed to certified operators who complete the maintenance work. Ongoing maintenance records are reviewed by supervisors to evaluate the ongoing needs of the maintenance programs.

Unplanned maintenance activities are authorized and approved by the GM in accordance with the Town’s procurement policy. Unplanned maintenance activities are reviewed during annual infrastructure reviews.

The 2023 internal audit completed reviewed all authorized changes requiring the completion of Form 1’s (for all new watermains constructed in 2022/2023) and Form 2’s (e.g. coagulant pump replacement) as required.

Preventive maintenance activities were noted as delayed as noted under s.11 the IA report re: mechanical maintenance competencies shortage; confirmed distribution system PM activities completed / ongoing as per schedule.

DWQMS Reference:	16 Sampling, Testing and Monitoring
Client Reference:	OP s.8.16 Sampling, Testing and Monitoring PW-DWQMS-16 Sampling and Testing Procedure, dated 2022-10-19 PW-DWQMS-22 Monitoring Procedure, dated 2023-10-19 DWQMS-SOP7 Sampling & Testing Program Procedure, 2022-10-19
<p><b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference.</p> <p>PW-DWQMS-16 references routine sampling conducted by certified operators, tested by accredited laboratories (with exception of chlorine residuals carried-out in-house), legislative requirements are reviewed annually (based on current population, new locations), sampling following maintenance and new watermains, AWQI’s are responded-to and reported as required under provincial regulations.</p> <p>PW-DWQMS-SOP7 describes the parameters, sample types, frequency and test sources for each of the tables. Table 1 summarizes raw water sampling, Table 2 summarizes treated water sampling, Table 3 – summarizes treated water from selected points in the distribution system, and Tables 4-5 summarizes WFP residuals sampling program sample points.</p> <p>PW-DWQMS-22 describes the WTP’s continuous monitoring equipment and Table 1 lists equipment / rooms and related monitoring instructions.</p>	

DWQMS Reference:	17 Measurement and Recording Equipment Calibration and Maintenance
Client Reference:	OP s.8.17 Measurement & Recording Equipment Calibration and Maintenance PW-DWQMS-17 Measurement and Recording Equipment Calibration and Maintenance Procedure, dated 2023-10-18 2023 Internal Audit Report, checklist completed in October 2023
<p><b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference.</p> <p>A list of equipment requiring calibrations and/or verifications is listed (now including level</p>	



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transducers for Clearwell #1, 2) and the Waterworks Supervisor maintains the calibration schedule and an external schedule contractor is contacted who carries out the maintenance and calibration activities.

Noted the internal audit completed in October 2023 confirmed all equipment was calibrated at least within the previous 12 months (incl. colorimeters, turbidimeters, pH meters, pressure gauges, continuous chlorine analyzers, continuous turbidimeters, flow meters).

DWQMS Reference:	18 Emergency Management
Client Reference:	OP s.8.18 Emergency Management Emergency Response Testing record, dated September 26, 2023 2023 Internal Audit Report, checklist completed in October 2023
<p><b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference. References the risk assessment outcomes for the list of the potential hazardous situations and service interruptions that could potentially affect the safety of drinking water. Emergency situations are listed in the emergency procedure along with up-to-date internal and external contact lists.</p> <p>As per Emergency Response Testing record, dated September 26, 2023, training was completed on September 26, 2023 (re: earthquake and fluoride scenario with a series of timeline injects and recorded notes from participants' feedback).</p> <p>As per 2023 Internal audit report, OFI's identified from emergency response training &amp; test: a new fluoride analyzer proactively purchased to eliminate hazard, UST's to be reviewed for condition. <b>OFI:</b> Consider tracking opportunities for improvement identified in emergency test exercises (such as underground storage tanks to be reviewed for condition, from the latest emergency training &amp; test exercise).</p> <p>During the internal audit, emergency contact lists were reviewed to ensure up-to-date.</p>	

DWQMS Reference:	19 Internal Audits
Client Reference:	OP s.8.19 Internal Audits PW-DWQMS-19 Internal Audits Procedure, dated 2023-10-18 2023 Internal Audit Report, checklist completed in October 2023
<p><b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference.</p> <p>Reviewed the previous internal audit report and noted updates on outstanding audit findings:</p> <ul style="list-style-type: none"> <li>- OFI-2020-02: carried forward re: difficulty to complete maintenance activities (staff coverage with required mechanical maintenance competencies) – <u>per IA, Building Condition Assessment is ongoing with equipment inventories and their current conditions – a prioritization of repairs will follow (due to ongoing shortage in mech. maintenance).</u></li> <li>- OFI-2022-01: Distribution system plan update (to include new lines) – <u>New GIS system training required to update drawing.</u></li> <li>- OFI-2022-03: hydrant numbering stickers to be completed Fall 2023 during flushing – <u>in progress, stickers were verified against elements, product selected, to be issued Fall '23</u></li> <li>- OFI-2023-01: ensuring continuity of all operator certifications – creating a tracking document for hours and training specific to operators. <u>No progress updates yet.</u></li> <li>- OFI-2023-03: Distribution to improve on calibration frequency. <u>No progress updates yet.</u></li> </ul>	

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DWQMS Reference:	20 Management Review
Client Reference:	<p>OP s.8.20 Management Review            PW-DWQMS-20 Management Review Procedure, dated 2023-10-18            Management Review meeting, dated 2022-12-13  <a href="#">2023-02-27-Report-to-Council---2022-DWQMS-Update.pdf (arnprior.ca)</a>,            accessed on 2023-10-31            2023 Internal Audit Report, checklist completed in October 2023</p>
<p><b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference.</p> <p>Noted detailed review and discussion of each of the previous Systems Audit and Re-accreditation Audit reports OFI's. Also confirmed, topics a) to p) were discussed and reported-on as required by El. 20 of the standard. Confirmed via Town of Arnprior Staff report that the 2022 DWQMS Audits and Management Review Results were reported to the owner via Report No. 23-02-27-02, dated February 27, 2023 (available at the hyperlink included in reference list).</p> <p>As per the 2023 IA report, the next Management Review is planned January 2024 for the previous calendar year (2023).</p> <p><b>OFI:</b> Consideration should be given to hosting a high-level Management Review meeting (e.g. "preview", including all items a) to p)) before end of the 2023 calendar year and again with a full meeting (e.g. full discussion / updates on items a) to p)) as planned in January 2024 (for "calendar year" requirement in the DWQMS and reset the timeframe).</p>	

DWQMS Reference:	21 Continual Improvement
Client Reference:	<p>OP s.8.21 Continual Improvement            PW-DWQMS-21 Continual Improvement Procedure, dated 2023-10-19            CAR Tracking Spreadsheet            Systems Audit Report by SAI Global, dated 2022-10-22            Re-Accreditation Audit Report by SAI Global, dated 2022-11-06            2023 Internal Audit Report, checklist completed in October 2023</p>
<p><b>Details:</b> <i>(personnel interviewed, procedures, activities and records observed)</i></p> <p>Reviewed the client references and found them to be in conformity with the requirements of the DWQMS reference.</p> <p>Reviewed the 2022 Systems Audit Report by SAI Global and noted the following opportunities for improvement (<u>status updates are underlined</u>):</p> <ul style="list-style-type: none"> <li>• <b>Element 1:</b> To improve meeting the requirements of the Ministry's <a href="#">latest Director's Directions</a>, consider including a copy of the <a href="#">Subject System Description Form</a> in the OP and confirming that the OP version audited by the accreditation body is retained for 10 years. (<u>Per IA report, was available – not previously included in audit package – will be added to OP so not missed</u>)</li> <li>• <b>Element 7 &amp; 8:</b> Section 8.5 of the PW-DWQMS-07 procedure and PW-DWQMS-FR6 checklist should now include "cybersecurity threats" as this hazardous event was added in spring 2022 as part of the <a href="#">MECP's "Potential Hazardous Events..." document</a>. (<u>Logged as OFI2022-02 in the CAR Tracking Spreadsheet – completed October 30, 2022 – OP was updated, IT training is ongoing. Noted updated PW-DWQMS-07 Risk Assessment re: adding cybersecurity threats</u>) The next risk assessment review should consider "cybersecurity threats" as this hazardous event was added in spring 2022 as part of the <a href="#">MECP's "Potential Hazardous Events..." document</a>. (<u>PW-DWQMS-08 RA Outcomes, dated December 12, 2022 now includes cybersecurity threats in "system-wide threats" section. As per IA report (Oct. 2023): IT's workplan includes as key priority</u>)</li> </ul>	



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- **Element 8 & 15:** In PW-DWQMS-SOP5, consideration should be given to setting the CCL in line with the “acceptable disinfectant concentration” definition included in the Ministry’s [2020 Watermain Disinfection Procedure](#).
- Also, consideration could be given to updating the form in Appendix 15D Chlorine Residuals Monitoring so that the reference to Combined Chlorine levels is in line with the “acceptable disinfectant concentration” definition included in the Ministry’s [2020 Watermain Disinfection Procedure](#). (per IA report (Oct. 2023), thoroughly discussed and confirmed CCL to be set at 0.75 mg/L – various policies and forms have been updated)
- **Element 11:** Consider describing in OP s.8.11 Personnel Coverage and/or PW-DWQMS-11 Personnel Coverage procedure the latest provisions and Ministry requirements in the use of “emergency substitute operators” as now more fully described in [O. Reg. 128/04](#) and [O. Reg. 129/04](#) (the links provided are to the Environmental Registry decision notices). (Confirmed PW-DWQMS-11 updated in s.8.17, linking to O. Reg. 128/04 provisions for ESO’s)
- **Element 17:** Consider updating s.8.2 of PW-DWQMS-17 to also reflect the calibration requirements specified in the MDWL’s Schedule C s.4.0 Calibration of CT Monitoring System. (PW-DWQMS-17 s.8.2 updated to reflect CT monitoring system calibration requirements for monitoring and measurement equipment used in CT calculations)

Reviewed the 2022 Re-Accreditation Audit Report by SAI Global and noted the following opportunities for improvement (status updates are underlined):

- **EI. 5:** Consider using SharePoint to improve availability of documented information to operators (noted Microsoft products are used – SharePoint may be an available option through corporate Microsoft account). (Filehold is the Town’s digital filing system. OFI declined.)
- **EI. 15:** Consider including the chlorinators’ annual service on a maintenance reminder schedule. (Digital reminder for chlorinators’ maintenance in 2023/24 and annual service)
- **EI. 17:** Consider using DPD-Chlorine-LR Secondary Standards for ongoing verification of colorimeters (and note the certificate of analysis included inside that confirms acceptable ranges specific to the lot #). (Logged as OFI2022-04 in the CAR Tracking Spreadsheet – completed October 30, 2022 –2023 IA report standards are in use for monthly verifications since November 2022)
- **EI. 17:** Consider adding the level transducer for Clearwell #1 and #2 (as back-up) to the list of calibrated equipment that forms part of the monitoring system for CT (as required by MDWL Schedule C s.4.0 Calibration of CT Monitoring System). (OP updated to include these in EI. 17 s.8.0 to reflect MDWL calibration requirements)

Details regarding the personnel interviewed and objective evidence reviewed are maintained on file at Intertek - SAI Global.

This report was prepared by:  
Brigitte Roth


Intertek - SAI Global Management Systems Auditor

The audit report is distributed as follows:

- Intertek - SAI Global
- Operating Authority
- Owner
- MECP

## Notes

Copies of this report distributed outside the organization must include all pages.

	<b>TOWN OF ARNPRIOR</b>	Policy No.	PW-DWQMS-03
	<b>Policy/Procedure/Document:</b>	Commitment and Endorsement Policy	
	<b>Originating/Responsible Department:</b>	Public Works Department	
	<b>Author:</b>	QMS Representative	
	<b>Approval Authority:</b>	Owner and Top Management	
	<b>Date of Original Procedure:</b>	October 1, 2009	
	<b>Date of Last Review/Edit:</b>	October 6, 2022	

## 1.0 POLICY

The Corporation of the Town of Arnprior has established a commitment and endorsement policy to fulfill the requirements of *The Drinking Water Quality Management Standard (DWQMS)*.

## 2.0 PURPOSE

The Commitment and Endorsement policy was developed following the DWQMS Element 3 *Plan* and *Do* requirements.

## DWQMS Element 3 – Commitment and Endorsement Policy

**Plan** – The Operational Plan shall contain a written endorsement of its contents by Top Management and the Owner.

**Do** – Top Management shall provide evidence of its commitment to an effective Quality Management System by:

- a) ensuring that a Quality Management System is in place that meets the requirement of this Standard,
- b) ensuring that the Operating Authority is aware of all applicable legislative and regulatory requirements,
- c) communicating the Quality Management System according to the procedure for communications, and
- d) determining, obtaining or providing resources needed to maintain and continually improve the Quality Management System.

## 3.0 SCOPE

This policy applies to the Owner and Top Management of the Operating Authority.

## 4.0 RESPONSIBILITY

The Owner and Top Management of the Operating Authority shall be responsible for ensuring that the Quality Management System is implemented through their commitment and endorsement of the DWQMS.

## 5.0 DEFINITIONS

**DWQMS** – Drinking Water Quality Management System (DWQMS)

**Operating Authority** – person(s) or entity given responsibility by the owner for the operation, management, maintenance or alteration of the subject system.

**Operational Plan (OP)** – Document containing DWQMS policies and procedures

**Owner** – person(s) who is legal or beneficial owner of all or part of the system

**QMS** – Quality Management System

**Top Management** – person(s) at the highest management level within an operating authority

## 6.0 REFERENCES

DWQMS Element 5 – Ontario’s Drinking Water Quality Management Standard Ver. 2.0  
Implementing Quality Management: A Guide for Ontario’s Drinking Water Systems

## 7.0 CIRCULATION

The Owner and Top Management of the Operating Authority.

## 8.0 PROCEDURE

A draft copy of the written Commitment and Endorsement Policy shall be circulated to the Owner and Top Management of the Operating Authority. Upon comments and final revisions (if any), the Owner and Top Management of the Operating Authority shall approve and sign.

A hyperlink to the location in filehold with most recent signed version of the Commitment and Endorsement policy shall be maintained in section 9.0 below.

## 9.0 ATTACHMENTS

Appendix A – Commitment and Endorsement Policy

[Link to Signed Commitment and Endorsement Policy](#)

## 10.0 REVISION CONTROL

### Revision Control Sheet

Review Date	Revisions Issued	Effective Date	Reviewed By	Revised By
Dec 5, 2013	Edits to template. Addition of "is implemented through" to section 4.0 Edits to Policy Template Policy Re-Endorsed by current Top Management and Mayor (on behalf of Council)	Dec 5, 2013	GB	DS
Dec 2, 2015	Hyperlink to the location in filehold with the signed version of the endorsement policy added to the soft copy of the procedure (Section 9.0)	Dec 2, 2015	GB	DS
April 27, 2017	Updated hyperlink to most recent signed endorsement policy	April 27, 2017	JS	DS
Dec 8, 2017	Changed Dir of PW to GM of Operations	Dec 8, 2017	JS	DN
Apr 10, 2018	Added "Ver 2.0" to section 6.0 and updated link to April 4, 2018 signed version of Policy.	Apr 10, 2018	JS	DN
Oct 10, 2020	Updated link to signed version of endorsement policy	Oct 10, 2020	JS	DN
Oct 8, 2021	Updated hyperlink to the signed endorsement policy	Oct 12, 2021		RF
Oct 6, 2022	Updated hyperlink to the signed endorsement policy	Oct 6, 2022		DN

# APPENDIX A



## QMS Commitment and Endorsement Policy

The Owner and Top Management of the Operating Authority for the Corporation of the Town of Arnprior have reviewed the contents of this Operational Plan and endorse the Quality Management System.

The Operating Authority has:

- Ensured that the QMS meets the requirements of the standard
- Followed and is aware of the applicable legislative and regulatory requirements
- Communicated the QMS
- Determined, obtained and provided the necessary resources needed to maintain and continually improve the QMS

The Owner and Top Management acknowledge the need for and supports the provision of sufficient resources to implement, maintain and continually improve the QMS.

Top Management of the Operating Authority has reviewed the contents of the Operational Plan and has ensured that the QMS meets the requirements of the Drinking Water Quality Management Standard.

Top Management has ensured that the relevant members of the Operating Authority, such as the Waterworks Staff are aware of all applicable legislative and regulatory requirements surrounding the operation of a drinking water system and communicate the QMS according to the procedures outlined within the Operational Plan.

\_\_\_\_\_  
Mayor

\_\_\_\_\_  
Date

\_\_\_\_\_  
Chief Administrative Officer

\_\_\_\_\_  
Date

\_\_\_\_\_  
General Manager of Operations

\_\_\_\_\_  
Date