



NSF-ISR Canada Audit Agenda – Ontario Drinking Water Quality Management Standard (DWQMS)

Customer Name:

FRS Number(s): C0123432

Customer Contact: Lisa Wilson

Audit Criteria/Standard(s): Ontario's Drinking Water Quality Management Standard

Scope of Registration: Entire Full Scope Accreditation

Audit Objectives: Determine if certification should be maintained

Type of Audit:

- ☐ Off-site Limited Scope Systems Transitional Audit ☐ Initial Full Scope Systems Audit
☐ Initial On-site Full Scope Verification Audit
☒ Off-site Full Scope Systems Annual Surveillance Audit ☐ On-site Full Scope Verification Audit

Audit Date(s): August 26, 2021

Number of Shifts: 1

Audit Duration: 8 (in hours)

Audit Team:

Lead Auditor: James Pang **Email:** jpang@nsf.org **Phone Number:** 647 979 2153

Team Auditor(s), if applicable: NA

Technical Experts, if applicable: NA

Observers, if applicable: NA

Revision of the audit plan: 0

Audit Working Language: English

Audit Reporting Language: English

Resource Requirements: None

Additional Agenda Items:

List of Sampling Plan Locations to be audited: See FRS

☒ Yes ☐ No, the Customer Relations Manager (CRM) has been contacted.

Note 1: The audit plan is a guideline and the scope of the audit is defined by the 21 elements in operational plan and current certificate. Adjustments can be made as needed during the course of the audit to accommodate audit trails and customer availability as much as possible.

Note 2: Auditors assume all information included on this audit plan is correct, unless notified otherwise by the operating authority.



Date	Time	Applicable Document Required	Activity	Lead Auditor /Applicable Team Auditor(s)
Aug 26, 2021	0830 - 1300		Opening Meeting - through phone	James Pang
		Records of management reviews	Management review records	
		Records of internal audits	Internal audit results	
		Records of external audits	External audit results	
		Operational Plan, procedures and relevant documents	V2.0 requirements	
	1300 - 1500	Operational Plan, procedures and relevant documents	Working through lunch	
			Review QMS documentation	
			1. Quality Management System	
			2. Quality Management System Policy	
			3. Commitment and Endorsement	
			4. Quality Management System Representative	
			5. Document and Records Control	
			6. Drinking-Water System	
			7. Risk Assessment	
			8. Risk Assessment Outcomes	
			9. Organizational Structure, Roles, Responsibilities and Authorities	
			10. Competencies	
			11. Personnel Coverage	
			12. Communications	
			13. Essential Supplies and Services	
			14. Review and Provision of Infrastructure	
			15. Infrastructure Maintenance, Rehabilitation & Renewal	
			16. Sampling, Testing and Monitoring	
			17. Measurement & Recording Equipment Calibration and Maintenance	
			18. Emergency Management	
19. Internal Audits				
20. Management Review				
21. Continual Improvement				
1500		Report writing		
1530		Closing Meeting - through phone		
1630		End of audit		

Please list the total number of hours audited by each auditor (by name) below:

Name	Hours
James Pang	8



NSF International Strategic Registrations Audit Report

The Corporation Of The Township Of Southgate

185667 Grey Rd. #9

Dundalk, Ontario N0C 1B0 CAN

C0123432

Audit Type

Surveillance Audit

Auditor

James Pang

Standard

Ontario's Drinking Water Quality Management Standard Version 2

(Exp Date: 28-NOV-2022)

Audit Date(s):

08/26/2021 - 08/26/2021

Recommendation

Ontario's Drinking Water Quality Management Standard Version 2 : Continue Certification, NO CARs



Executive Summary	
Ontario's Drinking Water Quality Management Standard Version 2	Involvement of a team of people in their DWQMS.

Opportunities	
Ontario's Drinking Water Quality Management Standard Version 2	See the six OFIs.

Corrective Action Requests	
There is NO Corrective Action Request in this audit.	

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

Industry Codes

NACE:E 41

Scope of Registration

Ontario's Drinking Water Quality Management Standard Version 2 : Dundalk Drinking Water System, 110-OA1, Entire Full Scope Accreditation



Opportunities for Improvements

Ontario's Drinking Water Quality Management Standard Version 2

Opportunity	Observations / Auditor Notes
Opportunities for Improvements (DWQMS)-01	<p>Location of OFI Commitment and Endorsement;</p> <p>Discussed With Jim, Cory and Lisa;</p> <p>Description Although the current description in section 3.2 of the OP is generally conforming, it may be improved with regards to the representatives of the Owner of the DWS. The Owner as the Township of Southgate is vague.</p> <p>This a repeated OFI from the 2020 audit.;</p>
Opportunities for Improvements (DWQMS)-02	<p>Location of OFI Document and Record Control;</p> <p>Discussed With Jim, Cory and Lisa;</p> <p>Description Although generally conforming, the management may consider to extend the same document control applied to SOP to all other controlled documents such as the Operational Plan. In this case, the practice of updating the revision date. ;</p>
Opportunities for Improvements (DWQMS)-03	<p>Location of OFI Drinking Water System;</p> <p>Discussed With Jim, Cory and Lisa;</p> <p>Description The current description of the DWS in section 6 of the OP is generally conforming. However, there exists an opportunity for improvement by simplifying Figures 6-1, 6-2 and 6-3 to show the treatment process flow.</p> <p>This is a repeated OFI from the 2020 external audit. ;</p>
Opportunities for Improvements (DWQMS)-04	<p>Location of OFI Emergency Management;</p> <p>Discussed With Jim, Cory and Lisa;</p> <p>Description An opportunity exists to clearly define the list of contacts in the event of a spill which can include the following: a. 1. "appropriate people" to be contacted b. 2. the "Ministry" c. 3. the Spill Action Centre</p> <p>This is a repeated OFI from the 2020 external audit.</p> <p>Otherwise, the Oct 14, 2020 table top exercise for low residual chlorine in the new sub divisions is acceptable. ;</p>
Opportunities for Improvements (DWQMS)-05	<p>Location of OFI Management review;</p> <p>Discussed With Jim, Cory and Lisa. ;</p> <p>Description 1 - It was noted that actions for the OFIs from the external audit from Oct 2020 were scheduled to be carried out by Dec 31, 2021. The management concerned should avoid such long delays of more than a year to take action. Therefore, this OFI is for the management to improve their response time to the audit OFIs. 2 - It was noted that the record of management review consistently recorded No Decision for No Decision Required. For future management reviews, the choice of words would need to be more accurate.</p>



Opportunity	Observations / Auditor Notes
	Other than the above, every else is in general conformance. ;
Opportunities for Improvements (DWQMS)-06	<p>Location of OFI Continual Improvement;</p> <p>Discussed With Jim, Cory and Lisa;</p> <p>Description A review of the CAPA tracking log showed that the QMS improvement is well tracked. It was noted that all 13 CAPA were submitted by Cory Henry and all 13 were assigned to him too. The management should consider assigning some of the required action items to other members of the team so that everyone may share responsibility for the QMS improvement.</p> <p>This is a repeated OFI from the 2020 external audit. ;</p>

General Information	
Operating Authority: Legal Name & Address	The Corporation of the Township of Southgate 185667 Grey Rd. #9, Dundalk ON Canada
Language Preference: Correspondence	English
Language Preference: Audit	English
Owner: Legal Name and Address	The Corporation of the Township of Southgate 185667 Grey Rd. #9, Dundalk ON Canada
Owner Language Preference: Correspondence	English
Owner Language Preference: Audit	English
Applicant Representative Information; Include Name, Title, Phone, Fax, Email & Website	Jim Ellis Public Works Manager 519-923-2110 X 224 jellis@town.southgate.on.ca
Accreditation Option	Full Scope - Entire DWQMS
Date of Previous Systems Audit:	Oct 20, 2020
Date of Previous On-Site Verification Audit:	Oct 23&24, 2019

Processes	
Ontario's Drinking Water Quality Management Standard Version 2	
Process Name	Observations / Auditor Notes
Processes or Activities (DWQMS)-01	<p>Describe whether the process is effective or not (effectiveness should be supported with specific data/records/results). Include strengths & weaknesses of process:</p> <p>Elements that were conforming are listed with evidence below:</p> <p>Element 1 - All 21 elements were addressed in the Dundalk Drinking Water System Operational Plan (OP), Version 2018-1, dated January 18, 2018.</p> <p>Element 2 - As described in section 2 of the OP.</p> <p>Element 4 - The Lead Hand in Dundalk will be the QMS Representative.</p> <p>Element 7 - Reviewed record of reviewing the risk assessment outcome table on Nov 23, 2020 as well as the resultant Risk Assessment Outcome table.</p> <p>Element 8 - The last 36-monthly risk assessment was carried out on December 10, 2018, and the next one is only due in Dec 2021.</p> <p>Element 9 - As described in section 9 of the OP.</p> <p>Element 10 - All five personnel licensed to operate the DWS have valid competency</p>



Process Name	Observations / Auditor Notes
	<p>licenses.</p> <p>Element 11 - As described in section 11 of the OP.</p> <p>Element 12 - As described in section 12 of the OP.</p> <p>Element 13 - As described in section 13 of the OP.</p> <p>Element 14 - Reviewed record of review dated August 23, 2021 to be generally conforming. ; Element 15 - Reviewed the 2021 10-year capital budget plan for water infrastructure to be conforming.</p> <p>Element 16 - The water sampling locations were noted to adequately cover the whole service area.</p> <p>Element 17 - Verified calibration of two colorimeters bearing serial numbers 14060E248781 and 18090E368633 used by the water operators. Also, verified the calibration of all 6 online chlorine analysers and 3 online turbidity meters.</p> <p>Caduceon Environmental Lab, used by the QA carried valid CALA accreditation until Jan 2022.</p> <p>Element 19 - The last internal audit was on Oct 14, 2020 of SOP12. The next one isn't due yet.</p>



Summary of Findings

Requirement	Finding
1. Quality Management System	C
2. Quality Management System Policy	C
3. Commitment and Endorsement	OFI
4. Quality Management System Representative	C
5. Document and Record Control	OFI
6. Drinking-Water System	OFI
7. Risk Assessment	C
8. Risk Assessment Outcomes	C
9. Organizational Structure, Roles, Responsibilities, and Authorities	C
10. Competencies	C
11. Personnel Coverage	C
12. Communications	C
13. Essential Supplies and Services	C
14. Review and Provision of Infrastructure	C
15. Infrastructure Maintenance, Rehabilitation & Renewal	C
16. Sampling, Testing & Monitoring	C
17. Measurement & Recording Equipment, Calibration & Maintenance	C
18. Emergency Management	OFI
19. Internal Audits	C
20. Management Review	OFI
21. Continual Improvement	OFI
Mj	Major Non-Conformity. The auditor has determined one of the following: (a) a required element of the DWQMS has not been incorporated into a QMS; (b) a systemic problem with a QMS is evidenced by two or more minor conformities; or (c) a minor non-conformity identified in a corrective action request has not been remedied.
Mn	Minor Non-Conformity. In the opinion of the auditor, part of a required element of the DWQMS has not been incorporated satisfactorily into a QMS.
OFI	Opportunity for Improvement. Conforms to requirement, but there is opportunity for improvement.
C	Conforms to requirement.
	Not Applicable to this audit
*	Additional Comment added by auditor in the body of the report.



Verification of CARs For Ontario's Drinking Water Quality Management Standard Version 2

Have you verified the effectiveness of all previous CARs? (List all new CAR's that you initiated in this report because you did not verify effective implementation of a previous CAR)

N/A.

Discuss your evaluation in detail.

No CAR from the previous audit.