

Drinking Water Quality Management Standard (DWQMS 2.0)

# Internal Audit Report

For the period of:

November 14, 2024 to November 18, 2025

For:

City of Owen Sound

Water & Wastewater Department

Owen Sound Drinking Water

System

Conducted by:



Audit dates: November 16-18, 2025

Report date: November 19, 2025

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# 1.0 AUDIT DETAILS

## 1.1 Organization information

<b>Owner name</b>	City of Owen Sound		
<b>Owner mailing address</b>	808 2 <sup>nd</sup> Avenue East, Owen Sound, ON N4K 2H4		
<b>DWS class(es) and name(s)</b> e.g. Class I “x” Water Distribution System or Class II “x” Drinking Water System  <input type="checkbox"/> Completed <a href="#">Subject System Description Form</a> included	Owen Sound Drinking Water System – Class III WT and Class III WD		
<b>Population served</b>	24,000		
<b>Operating authority (OA)</b>	Water & Wastewater Department	<b>## of staff:</b>	13
<b>OA mailing address</b>	Same as owner.		
<b>OA physical site address</b>	Public Works: 1900 20th Street East + WTP: 2600 3rd Avenue East, Owen Sound		
<b>Primary contact name</b>	Bryce McDonald	<b>Phone no.</b>	519-376-4274 ext. 3224
<b>Primary contact e-mail</b>	bmcdonald@owensound.ca		
<b>Secondary contact name</b>	Lara Widdifield	<b>Phone no.</b>	519-376-4274 ext. 1201
<b>Secondary contact e-mail</b>	lwiddifield@owensound.ca		

## 1.2 Audit information

<b>Standards / criteria used</b>	Drinking Water Quality Management Standard (DWQMS 2.0) ISO 19011:2018 – Guidelines for auditing management systems
<b>Dates of previous audit</b>	November 6, 13 and 14, 2024
<b>Dates of this year’s audit</b>	November 16-18, 2025
<b>Lead auditor</b>	Janine deBoer
<b>Audit team member(s)</b>	NA
<b>Time period covered in scope</b>	November 15, 2024 – November 18, 2025

<b>DWS's in audit scope</b>	As noted above and in the completed <a href="#">Subject System Description Form</a> .
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## 1.3 Audit objectives, constraints and confidentiality

*To confirm that the organization's quality management system (QMS) is effectively implemented, achieving its intended outcomes, conforming to requirements of the DWQMS 2.0, and meeting QMS policy commitments throughout.*

In order to conduct audits within scope, time and budgetary constraints, audit evidence is based on a sampling of processes, programs, and information available. The size of the sample selected is appropriate to the size and scale of the operation and information available. Objective evidence collected is based upon the sampling. The conclusions presented in the audit report are based on information presented during the internal audit.

Information gathered by the audit team is the property of the client only and will not be transmitted to any third party without the prior written consent of an authorized representative. All documents provided by the organization prior to and during the assessment are kept only for the purpose of audit review and audit report preparation.

## 1.4 Audit plan

Based on the drinking water system information provided in section 1.0, the following activities form part of the audit:

1. **Desktop review** (reviewing conformity of documented information (see s.1.5) against the DWQMS 2.0 requirements)
2. **QMS audit interviews** for processes and programs listed below:

MM-DD	Time	Auditee	Process / Program (DWQMS elements covered in brackets)
11-16	8:00 – 4:00	Doc. info.	<b>Drinking Water Quality Management Standard</b> (El. 1-21)
11-17	8:00	ALL	<b>Opening meeting</b> (El. 1, 19, 21)
11-17	8:15	Joel	<b>QMS Representative's responsibilities</b> (El. 2, 4-10, 12-13, 18-21)
11-17	10:15	Lara	<b>Top Management's responsibilities</b> (El. 2-3, 7-9, 12-14, 18, 20-21)
11-17	12:30	Rob	<b>Water supply/treatment operations &amp; maintenance</b> (El. 2, 5-13, 15-18, 21)
11-17	2:00	Ryan	<b>Distribution operations &amp; maintenance</b> (El. 2, 5-13, 15-18, 21)
11-18	1:00	Mark	<b>Sampling, testing and monitoring</b> (El. 2, 5, 7-13, 16-18, 21)
11-18	2:00	Bryce	<b>Management</b> (El. 2, 5, 9-10, 12, 18, 21)
11-18	2:30	ALL	<b>Closing meeting</b> (El. 1, 19, 21)

**Legend for QMS Elements:** 1-Quality Management System, 2-Quality Management System Policy, 3-Commitment and Endorsement, 4-QMS 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 and Renewal, 16-Sampling, Testing and Monitoring, 17-Measurement and Recording Equipment Calibration and Maintenance, 18-Emergency Management, 19-Internal Audits, 20-Management Review, 21-Continual Improvement

**Process audits** examine the resources (equipment, materials and people) used to transform the inputs into outputs, the methods (procedures and instructions) followed, and the measures collected to determine process performance. Process audits check the adequacy and effectiveness of the controls established by procedures, work instructions, training and specifications.

## 1.5 Documented information included in scope

Documented information	Reference (Doc. name, section, date and/or version)
1. Operational Plan (OP)	City of Owen Sound QMS Operational Plan, dated January 23, 2025
1.1. Website location re: OP available to public:	Available at the Public Works Building
2. QMS Policy statement	OP s.2.0 Quality Management System Policy
2.1. Website location where QMS Policy is available:	<a href="https://www.owensound.ca/media/puuljy40/dwqms-the-quality-policy.pdf">https://www.owensound.ca/media/puuljy40/dwqms-the-quality-policy.pdf</a>
3. Endorsement records	OP s.3.0 Commitment and Endorsement
3.1. Top Management OP endorsement record	DWQMS 03-01 Signed Commitment and Endorsement - March 2025.
3.2. Owner OP endorsement record	DWQMS 03-01 Signed Commitment and Endorsement - March 2025.
4. QMS Representative identified	OP s.4.0 QMS Representative
5. Document & Records Control procedure	OP s.5.0 Document and Records Control Appendix "A" Documents and Records listing
6. Drinking Water System description	OP s.6.0 Owen Sound Drinking Water System Appendix "B" Treatment system process flow charts Appendix "B.1" Owen Sound Water Treatment Plant Appendix "B.2" Owen Sound Water Distribution System DWWP Owen Sound DWS, Issue 6, June 25, 2025
7. Risk Assessment procedure	OP s.7.0 Risk Assessment DWQMS 08-01 Risk Assessment Outcomes, rev. 2, 2025-04-02
8. Risk Assessment Outcomes records	OP s.8.0 Risk Assessment Outcomes OP s.8.1 Critical Control Points and Critical Control Limits
9. Org. Structure, Roles, Responsibilities, Authorities	OP s.9.0 Organizational Structure, Roles, Responsibilities, and Authorities Appendix "C" Roles, Responsibilities, Authorities and Competencies
10. Competencies procedure	OP s.10.0 Competencies Appendix "C" Roles, Responsibilities, Authorities and Competencies
10.1 List of current certified operators	DWQMS 10-02 List of Current Certified Operators,
11. Personnel Coverage procedure	OP s.11.0 Personnel Coverage
12. Communications procedure	OP s.12.0 Communications
12.1 Sample of comms: Owner, Suppliers, Public, Staff	2024 Annual Summary Report, Management Reviews, Ongoing supplier communications regarding purchases, S&O meetings.
13. Essential Supplies & Services procedure + list	OP s.13.0 Essential Supplies and Services Water System Emergency Response Plan Appendix "A" Emergency Contact List – Table 3 Supplies and Services
14. Review & Provision of Infrastructure procedure	OP s.14.0 Review & Provision of Infrastructure DWQMS 14-01 infrastructure Review Meeting (2025)

14.1 Infrastructure Review reported to Owner	DWQMS 14-01 infrastructure Review Meeting (2025)
15. Infrastructure Maintenance, Rehabilitation & Renewal	OP s.15.0 Infrastructure Maintenance, Rehabilitation & Renewal
15.1 Infra. Maintenance programs reported to Owner	DWQMS 15-01 Water Distribution System Annual Maintenance Activities
16. Sampling, Testing and Monitoring procedure	OP s.16.0 Sampling, Testing and Monitoring MDWL Owen Sound DWS, Issue 6, June 25, 2025
16.1 Sampling program plan / schedule	OP s.16.0 table describing frequency and sample program
17. Meas. & Recording Equip. Calibration & Maintenance	OP s.17.0 Measurement & Recording Equipment Calibration and Maintenance QMS-17-01 Equipment Calibration & Maintenance
17.1 List of measurement equipment & records	WTP Calibration Records
18. Emergency Management procedure	OP s.18.0 Emergency Management Water System Emergency Response Plan
18.1 Emergency records: training, test, debrief, OFI link	Nov. 26, 2024 - S&O - ERP Practice 6.7 Diesel Generator Failure & Risk Assessment Review
19. Internal Audits procedure	OP s.19.0 Internal Audits
19.1 External audits: MECP Inspection + Accreditation	MECP Inspection report External Audit report by NSF-ISR for audit January 16-17, 2025
19.2 Previous internal audit report	Internal audit by Acclaims, dated November 17, 2024
20 Management Review procedure	OP s.20.0 Management Review Procedure
20.1 Latest Management Review minutes	DWQMS Management Review Meeting, January 2025
20.2 Last Management Review report to owner	Post-Meeting Minutes - CM_Mar10_2025 – English Post-Meeting Minutes - OP_Feb20_2025 - English
21 Continual Improvement procedure	OP s.21.0 Continual Improvement
21.1 Continual improvement tracking / status updates	DWQMS 21-01 Continual Improvement Tracking Spreadsheet, rev.3, 2025-04-02

## 1.6 Previous audit findings

<b>Previous audit type</b>	Details (e.g. dates of last inspection or audit, report date, audit organization name)
<b>MECP Inspection</b>	MECP Inspection report, February 10, 2025 – March 21, 2025
<b>External Audit (EA)</b>	External Audit report by NSF-ISR for audit completed January 16-17, 2025
<b>Internal Audit (IA)</b>	Internal audit report by Acclains Environmental, dated November 17, 2024

Source (MECP, EA, IA)	NC* or OFI?	High-level summary of finding	Status Update
<i>*NC stands for “non-compliance” for MECP inspections; and “non-conformity” for external and internal audits.</i>			
EA	NC	Document control issues	Documents were removed and updated as required.
EA	OFI	Clarify CCP's for primary/secondary disinfection	Updated risk assessment during the annual review.
IA	OFI	Identify an alternate QMS Rep	Added alternate to the OP
IA	OFI	O&M manual list of hyperlinked documents	To be implemented
IA	OFI	Information required as part of the commissioning process	To be implemented
IA	OFI	Procedure to describe inter-departmental roles, responsibilities and authorities related to infrastructure modifications	To be implemented
IA	OFI	Training on Approval requirement	Meeting held on January 9 <sup>th</sup> to review requirements.
IA	OFI	Staff awareness training on contract specs	To be implemented
IA	OFI	Level transducers to the calibration list	No update available
IA	OFI	Management Review meeting incidents of non-compliance and reporting period	Would be implemented in next management review but no non-compliances were noted.

## 2.0 AUDIT SUMMARY

### 2.1 Positive audit findings

The following positive audit findings were noted during the audit:

Category	Description of positive finding
Commitment	Staff interviewed were knowledgeable about their processes and programs and their roles' impacts on achieving the commitments included in the QMS Policy.
	All staff interviewed felt they had the support from management and resources they needed to carry out their jobs well.
Culture of continual improvement	Debrief sessions are held following the occurrence of failures, emergencies and other issues encountered with the goal of continual improvement.
	Staff have been proactively working to implement items from the Best Management Practices document that was recently published by the MECP.

### 2.2 Non-conformities

The following non-conformity was noted during the audit:

Category	Description of non-conformity
Element 5 – Document Control	<p><i>The OP documents a procedure for document and records control that describes how documents required by the QMS are kept current, legible and readily identifiable,</i></p> <ul style="list-style-type: none"><li>– Numerous documents were identified that were not the current version or were not updated with current information including the hyperlinks in Appendix A (Financial Plan, Regulations), Organization Chart, DWQMS 10-02 List of Current Certified Operators, Water Operator training records, Emergency Contact list (in trucks and posted in Water Shop). In addition, some documents templates are available but not being used (DWQMS 16-01, DWQMS 16-02 and DWQMS 20-01).</li></ul>

### 2.3 Opportunities for improvement

The following is a list of opportunities for improvement noted in conducting this audit:

Category	Description of opportunity for improvement
Element 2 – QMS Policy	Consider reviewing the signature requirements for the Quality Policy as the current QMS Representative did not sign the document.
Element 5 – Documents	Consider reviewing the file structure for SharePoint to ensure that documents are easily accessible and retrievable.
Element 6 – System Description	Consider adding Georgian Bluffs distribution system description to Element 6.
Element 10 - Competencies	Consider providing TDG training for staff accepting chemical shipments.
Element 11 – Personnel Coverage	Consider reviewing the staff complement as it is apparent that the loss of the Water/Wastewater Admin Assistant has led to some of the requirements of maintaining the QMS being inadequately addressed. While the system is currently in conformance with most of the standard this may not be the case if the trend continues.

Category	Description of opportunity for improvement
<b>Element 13 – Essential Supplies</b>	Consider reviewing the quality requirements in the Water System Emergency Response Plan – Table 3 for Supplies and Services listed as Professional with > 5 years' experience.
<b>Element 15 - Infrastructure</b>	Consider creating a process to ensure that owners of the system (new developments) are aware of the MDWL/DWWP and CLI-ECA.
<b>Element 16 - Sampling</b>	Consider reviewing the requirements for Lead/pH/Alkalinity sampling as the pH is required to be completed onsite when the samples are taken.
<b>Element 17 - Monitoring</b>	Consider reviewing the requirements for failure of the continuous chlorine monitor at the pumping stations. The requirement in Reg. 170/03 is that the analyzer must be verified every hour if there is a failure.
<b>Element 18 – Emergency Response</b>	Consider reviewing signage for chemical rooms and chemical receiving locations. The entrance to the fluoride storage does not indicate the chemical inside and the fill lines for the chemicals are improperly labelled. Also have TDG signage at the fill lines and the door to the chlorine room.
<b>Element 21 – Continual Improvement</b>	Consider using the CIR log to track action items from Management Review, Infrastructure Review and Emergency Testing/Training.
<b>Regulatory Relief</b>	Consider applying for regulatory relief for instantaneous coagulant failures.
<b>Staff Suggestion</b>	Improve technology in the vehicles, to have access to GIS, locate program, DWQMS Documents

## 2.4 Conclusions

The results of this audit confirm that the quality management system (QMS) established is:

- effectively implemented,
- achieving its intended outcomes,
- conforming to the requirements of the DWQMS 2.0, and
- meeting QMS policy commitments throughout.

Brigitte Roth, BES, EP(EMSLA)

Janine deBoer

## 3.1 DWQMS CHECKLIST

Summary of DWQMS 2.0 Requirement ( <i>Condition Expected</i> )	Evaluation: Y/NA/NC/OFI
<b>1. PLAN</b> The OP documents a QMS that meets the requirements of the DWQMS.	Y
<b>DO</b> The OA has established and maintains the QMS in accordance with the DWQMS requirements and the OP's policies and procedures.	Y
<u>Director's Directions for OP's</u> are met, including:	Y
– single OP for DWS(s) with same owner / operating authority	Y
– version numbers and/or revision date(s)	Y
– OP title describes municipal DWS(s)	Y
– completed <u>Subject System Description form</u>	Y
– audited OP's retained for a minimum of 10 years	Y
– OP available to public (hard copy or on website)	Y
<b>2. PLAN</b> The OP documents a QMS Policy that provides the foundation for the QMS and includes the required commitments, to:	Y
a) maintain & continually improve the QMS,	Y
b) provide safe drinking water to the consumer, and	Y
c) comply with applicable legislation and regulations.	Y
QMS Policy is communicated to all OA personnel, the owner, and the public.	Y
<b>DO</b> The QMS established and maintained consistently meets QMS Policy commitments.	Y
<b>3. PLAN</b> The OP contains a written endorsement of its contents by top management – <u>and</u> – the owner.	Y
Confirmed current member(s) of top management and current owner have endorsed the OP.	Y
<b>DO</b> There is evidence of top management commitment to an effective QMS by:	Y
a) ensuring that a QMS is in place that meets the requirements of the DWQMS,	Y
b) ensuring the OA is aware of all applicable legislative and regulatory requirements,	Y
c) communicating the QMS according to the procedure for communications, and	Y
d) determining, obtaining and providing the resources needed to maintain and continually improve the QMS.	Y
<b>4. PLAN</b> The OP identifies a QMS Representative.	OFI
<b>DO</b> Top management has appointed and authorized a QMS Representative who, irrespective of other responsibilities:	Y

Summary of DWQMS 2.0 Requirement ( <i>Condition Expected</i> )	Evaluation: Y/NA/NC/OFI
a) administers the QMS by ensuring processes and procedures needed for the QMS are established and maintained,	Y
b) reports to top management on the performance of the QMS and any need for improvement,	Y
c) ensures that current versions of documents required by the QMS are being used at all times,	Y
d) ensures that personnel are aware of all applicable legislative and regulatory requirements that pertain to their duties for the operation of the Subject System, and	Y
e) promotes awareness of the QMS throughout the OA.	Y
<b>5. PLAN</b> The OP documents a procedure for document and records control that describes how:	Y
a) Documents required by the QMS are: i. kept current, legible and readily identifiable,	Y
ii. retrievable,	NC
iii. stored, protected, retained and disposed of, and	Y
b) Records required by the QMS are: i. kept legible and readily identifiable,	Y
ii. retrievable,	Y
iii. stored, protected, retained and disposed of	Y
<b>DO</b> The OA has implemented and conforms to the procedure for document and records control and ensures QMS documentation includes:	Y
a) the OP and its associated policies and procedures,	Y
b) documents and records determined by the OA as being needed to ensure the effective planning, operation and control of its ops, and	OFI
c) the results of internal and external audits and management reviews.	Y
<b>Audit notes, findings and recommendations (Elements 1-5)</b>	
<p>E1 – All the required elements are listed and described in the Operational Plan. The Schedule C had current information recorded on it.</p> <p>E2 – The Quality Policy is available online at <a href="#">Operational Plan Rev 1</a> which was accessed on November 5, 2025. It is available to staff through QMS Awareness training. The policy was signed by the Manager, Superintendents and QMS Rep on February 6, 2025.</p> <p><b>OFI</b> – consider reviewing the signature requirements for the Quality Policy as the current QMS Representative did not sign the document.</p> <p>E3 – The Commitment and Endorsement document was signed by the Mayor, City Manager and Director of Public Works &amp; Engineering on March 10, 2025.</p>	

Summary of DWQMS 2.0 Requirement ( <i>Condition Expected</i> )	Evaluation: Y/NA/NC/OFI
<p>E4 – The QMS representative is listed as the Water &amp; Wastewater Administrative Assistant with a water distribution operator being designated in the event of an absence. The position is currently being filled by Water Distribution Operator, Joel Atherton.</p> <p>E5 – Document master list contains all the required documents along with reference to and standards and legislation. Most documents are available in hard copy and electronically.</p> <p><b>NC</b> – Numerous documents were identified that were not the current version or were not updated with current information including the hyperlinks in Appendix A (Financial Plan, Regulations), Organization Chart, DWQMS 10-02 List of Current Certified Operators, Water Operator training records, Emergency Contact list (in trucks and posted in Water Shop). In addition, some documents templates are available but not being used (DWQMS 16-01, DWQMS 16-02 and DWQMS 20-01).</p> <p><b>OFI</b> - Consider reviewing the file structure for SharePoint to ensure that documents are easily accessible and retrievable.</p>	
<p><b>6. PLAN</b> The OP documents a DWS description, as applicable: a) for the subject system:</p>	Y
<p>i. the name of the owner and operating authority,</p>	Y
<p>ii. if the system incl. equip. that provides primary disinfection and/or secondary disinfection:</p>	Y
<p>A. a description of the system including all applicable treatment system processes and distribution system components,</p>	Y
<p>B. a treatment system process flow chart,</p>	Y
<p>C. a description of the water source, including:</p>	Y
<p>I. general characteristics of the raw water supply,</p>	Y
<p>II. common event-driven fluctuations, and</p>	Y
<p>III. any resulting operational challenges and threats.</p>	Y
<p>iii. If the syst. does not incl. equip that provides primary disinfection or secondary disinfection:</p>	Y
<p>A. a description of the system including all distribution system components, and</p>	Y
<p>B. a description of any procedures that are in place to maintain disinfection residuals.</p>	Y
<p>b) if the subject system is an operational subsystem, a summary description of the municipal residential DWS is a part of incl. the name of the OA's for the other operational subsystems</p>	NA
<p>c) if the subject system is connected to one or more other DWS's owned by different owners, a summary description of those systems which:</p>	<b>OFI</b>
<p>i. indicates whether the subject system obtains water from or supplies water to those syst's,</p>	Y
<p>ii. names the owner and operating authority(ies) of those systems, and</p>	Y
<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>	Y
<p><b>DO</b> The OA ensures that the DWS description is kept current.</p>	Y

Summary of DWQMS 2.0 Requirement ( <i>Condition Expected</i> )	Evaluation: Y/NA/NC/OFI
<b>7. PLAN</b> The OP documents a risk assessment process that:	Y
a) considers potential hazardous events / assoc. hazards as ID'd in MECP's <a href="#">Potential Hazardous Events for Municipal Residential DWS's</a> ,	Y
b) identifies additional potential hazardous events and associated hazards,	Y
c) assesses the risks associated with the occurrence of hazardous events,	Y
d) ranks the hazardous events according to the associated risk,	Y
e) identifies control measures to address the potential hazards and hazardous events,	Y
f) identifies critical control points,	Y
g) ID's a method to verify, at least once every calendar year, the currency of the info + validity of the assumptions used in the risk assessment,	Y
h) ensures that the risks are assessed at least once every thirty-six months, and	Y
i) considers the reliability and redundancy of equipment.	Y
<b>DO</b> The OA performs a risk assessment consistent with the documented process	Y
<b>8. PLAN</b> The OP documents risk assessment outcomes that includes:	Y
a) the identified potential hazardous events and associated hazards,	Y
b) the assessed risks associated with the occurrence of hazardous events,	Y
c) the ranked hazardous events,	Y
d) the identified control measures to address the potential hazards and hazardous events,	Y
e) the identified critical control points and their respective critical control limits,	Y
f) procedures and/or processes to monitor the critical control limits,	Y
g) procedures to respond to deviations from the critical control limits, and	Y
h) procedures for reporting and recording deviations from the critical control limits.	Y
<b>DO</b> The OA has implemented and conforms to the procedures.	Y
<b>Audit notes, findings and recommendations (Elements 6-8)</b>	
<p><b>E6</b> - The Owen Sound Drinking Water System includes a Class III WT facility and a Class III WD system. The Leith Water Distribution System is owned and operated by the Municipality of Meaford which the City of Owen Sound distribution system provides water to.</p> <p><b>OFI</b> - Consider adding Georgian Bluffs distribution system description to Element 6.</p>	

**Summary of DWQMS 2.0 Requirement (Condition Expected)**

**Evaluation:**  
Y/NA/NC/OFI

**NOTE:** A comparison of the DWWP and Element 6 showed a couple of inconsistencies:

Source	DWWP/MDWL	Element 6
Rated Capacity	27,300	27,276
High Lift Pumps	4 industrial, 6 municipal	3 industrial, 4 municipal
Backup Power	Listed	Not listed

**E7** - OP s.7 describes that the risk assessment process is conducted with the MECP's "Potential Hazardous Events..." document at least once every calendar year, fulfilling the requirements of both EI. 7 g) and h) on an annual basis (rather than differentiating between the calendar year reviews and 36-month requirements).

Risk Assessment and CCP Tables, dated April 2, 2025 summarizes the hazardous events and consequences by process step, identifies control and monitoring measures and rates the likelihood, severity, detectability and ranks by risk score. Identifies the CCP's, which relate to disinfection processes.

**E8** - The CCP and CCL's relate to disinfection: filter effluent turbidity, UV disinfection, Distribution system chlorine residual and distribution system pressure. The related CCL's set are in line with best practices (i.e. better than regulatory minimums / maximums). CCL monitoring procedures are listed relating to the CCP's and CCL's.

<b>9. PLAN</b> OP documents the OA's organizational structure and roles, responsibilities, authorities and:	Y
a) describes the org. structure of the OA incl. respective roles, responsibilities and authorities,	Y
b) delineates corporate oversight roles, responsibilities and authorities in the case where the OA operates multiple subject systems,	Y
c) identifies the person, persons or group of people w/in the mgmt. structure of the organization responsible for undertaking the management review described in EI. 20,	Y
d) identifies the person, persons or group of people, having top management responsibilities required by the DWQMS, along with their responsibilities, and	Y
e) identifies the owner of the subject system.	Y
<b>DO</b> The OA keeps the above current and communicates this information to OA personnel and owner.	Y
<b>10. PLAN</b> The OP documents competencies, including	Y
a) competencies required for personnel performing duties directly affecting drinking water quality,	Y
b) activities to develop and/or maintain competencies for personnel performing duties directly affecting drinking water quality, and	Y
c) activities to ensure that personnel are aware of the relevance of their duties and how they affect safe drinking water.	Y
<b>DO</b> The OA undertakes activities to	--
a) meet and maintain competencies for personnel directly affecting drinking water quality and maintain records of these activities, and	Y
b) ensure that personnel are aware of the relevance of their duties and how they affect safe drinking water and maintain records of these activities.	Y

Summary of DWQMS 2.0 Requirement ( <i>Condition Expected</i> )	Evaluation: Y/NA/NC/OFI
<b>11. PLAN</b> The OP documents a procedure to ensure that sufficient personnel meeting identified competencies are available for duties that directly affect drinking water quality.	Y
<b>DO</b> The OA has implemented and conforms to the procedure.	Y
<b>12. PLAN</b> The OP documents a procedure for communications that describes how the relevant aspects of the QMS are communicated between top management and	Y
a) the owner,	Y
b) OA personnel,	Y
c) suppliers that have been identified as “essential” under DWQMS El. 13, and	Y
d) the public.	Y
<b>DO</b> The OA has implemented and conforms to the procedure.	Y
<b>Audit notes, findings and recommendations (Elements 9-12)</b>	
<p><b>E9</b> - Figure 9.0 – Organizational Chart identifies the Owner (City of Owen Sound Mayor &amp; Council), Top Management (City Manager and Director of Public Works &amp; Engineering), and the QMS Rep (W/WW Administrative Assistant). The ORO’s are the Water Treatment Plant Superintendent and Water Distribution Superintendent.</p> <p>Responsibilities and authorities are listed for all positions.</p> <p><b>E10</b> - Competency records are retained by the respective Superintendent of WT or of WD and used for operator certification renewals or upgrades. The Water/Wastewater Administrative Assistant tracks summaries of training on an ongoing basis in a shared spreadsheet (DWQMS 10-01 master Water and Wastewater Training Log)</p> <p>Viewed Operator Listing and noted the Operators with next expiring certificates are:</p> <ul style="list-style-type: none"> <li>• Joel Atherton (Op. # 900919147), WT1 (Certificate # 121252), expiry March 31, 2026 – confirmed that required training will be completed prior to renewal date</li> <li>• Robyn Martin (Op.# 90001232), WT3 (Certificate #11722), expiry March 31, 2026 - confirmed training requirements will be completed prior to the renewal date</li> <li>• Owen Scott (Op. #90087174), WT1 (Certificate 121138), expiry February 28, 2026, WD2 (Certificate 121136), expiry February 28, 2026 – confirmed training requirements will be completed prior to the renewal date</li> </ul> <p><b>E11</b> - OP s.11 describes how sufficient personnel meeting above competencies are available. Noted references to regular operating hours, ORO coverage, how on call coverage is achieved. The WTP is monitored by SCADA. The on-call operator is designated OIC and the ORO is available by phone. The water treatment plant is monitored by the SCADA system and has an auto-dialer that has been programmed to page the on-call operator whenever conditions warrant. In addition, there is also an after-hours answering service, which calls the operator on-call.</p> <p><b>E12</b> - Describes how internal communication among staff and changes to the QMS are effectively communicated (training, doc review, recorded on the training form). QMS Rep facilitates communication between operators and top management and organizes information for Management Review. <b>The owner</b> receives results of Mgmt. Review, reports via Operations Committee and council – and commits to the QMS through the statement of commitment and endorsement. External communications re: <b>essential supplies and services</b> are communicated via tender process. SOP’s C11 and C12 related to reporting AWQI’s.</p>	

Summary of DWQMS 2.0 Requirement ( <i>Condition Expected</i> )	Evaluation: Y/NA/NC/OFI
<b>13. PLAN</b> OP identifies all supplies and services essential for the delivery of safe drinking water, and:	Y
a) ...states for each supply or service, the means to ensure its procurement, and	Y
b) includes a procedure by which the OA ensures the quality of essential supplies and services, in as much as they may affect drinking water quality.	Y
<b>DO</b> The OA has implemented and conforms to the procedure.	Y
<b>14. PLAN</b> The OP documents a procedure for reviewing the adequacy of the infrastructure necessary to operate and maintain the subject system that	Y
a) considers the outcomes of the risk assessment documented under El. 8, and	Y
b) ensures that the adequacy of the infrastructure necessary to operate and maintain the subject system is reviewed at least once every calendar year.	Y
<b>DO</b> The OA has implemented and conforms to the procedure and communicates findings to the owner.	Y
<b>15. PLAN</b> The OP documents:	--
a) a summary of the OA's infrastructure maintenance, rehabilitation and renewal programs for the subject system, and	Y
b) a long-term forecast of major infrastructure maintenance, rehabilitation and renewal activities.	Y
<b>DO</b> The OA	
a) keeps the summary of infrastructure maintenance, rehabilitation + renewal programs current,	Y
b) ensures that the long-term forecast is reviewed at least once every calendar year,	Y
c) communicates the programs to the owner, and	Y
d) monitors the effectiveness of the maintenance program.	Y
<b>Audit notes, findings and recommendations (Elements 13-15)</b>	
<p><b>E13</b> - OP s.13.0 links to the City's Water System Emergency Response Plan for the up-to-date list of emergency contacts. The ERP Appendix "A" Emergency Contact List – Table 3 Supplies and Services – lists by supply or service: the procurement process, quality requirements and SOP references (as applicable). Red text indicates essential supplies and services with green indicating back-ups where applicable.</p> <p><b>OFI</b> – consider reviewing the quality requirements in the Water System Emergency Response Plan – Table 3 for Supplies and Services listed as Professional with &gt; 5 years' experience.</p> <p><b>E14</b> - OP s.14.0 describes that at least once per calendar year, the W/WW Dept. prepares capital and operational budgets and presents these to the City of Owen Sound. Capital budget items are selected through risk-based decisions made by reviewing: the latest risk assessment outcomes; any issues related to the drinking water system's reliability and redundancy; infrastructure conditions (e.g. age, failure, material, sizing, etc.); and any long- term infrastructure and asset management plans available. DWS issues may be identified through: various meetings (risk assessment, staff, departmental, W/WW &amp; Engineering, monthly Superintendent, etc.), Ministry inspections or consumer complaints. The 2025 meeting was held on June 18, 2025. There were some action items identified in the meeting.</p> <p>The prioritization of capital budget items is documented through the 5-year capital plan and presented through the budget process or other project management process that is further discussed at Management Review.</p>	

Summary of DWQMS 2.0 Requirement ( <i>Condition Expected</i> )	Evaluation: Y/NA/NC/OFI
<p>The capital program is reviewed with operating authority staff and presented to the City of Owen Sound by the Water and Wastewater Manager during budget deliberations.</p> <p><b>E15</b> - OP s.15.0 describes the W&amp;WW Dept's infra. maintenance, rehab and renewal programs are available through scheduling and record books, logbooks and the AMP. PM activities identified in scheduling and record books remind WT and WD Superintendents of PM timelines, following industry best practices, compliance obligations and OEM Manufacturer recommendations.</p> <p>Larger and longer-term maintenance activities that are carried out less frequently (e.g. pump rehabilitation or replacements, filter media replacement, watermain rehabilitation or watermain reconstruction, reservoir cleaning) are tracked through asset management plans, capital budget processes and administered by the Engineering dept.</p> <p>Indicators of maintenance effectiveness for WT include: daily comparisons of online analyzers against bench lab equipment readings; filter effluent turbidity is indicator of filter media effectiveness; reservoir inspections indicators of effectiveness of cleaning activities and distribution residuals indicators of improved disinfection processes in WT.</p> <p>Indicators of maintenance effectiveness for WD include: improved turbidity and chlorine residual readings post flushing; number of leaks found and repaired; identification of hydrant issues and their repair before end of year; and water meter accuracy checks confirm effectiveness of water meter maintenance program.</p>	
<p><b>16. PLAN</b> The OP documents a sampling, testing and monitoring procedure for process control and finished drinking water quality</p>	Y
<p>a) including requirements for the sampling, testing and monitoring at the conditions most challenging to the subject system</p>	Y
<p>b) a description of relevant sampling, testing or monitoring activities, if any, that take place upstream of the subject system, and</p>	Y
<p>c) a procedure that describes how sampling, testing and monitoring results are recorded and shared between the OA and the owner, where applicable.</p>	Y
<p><b>DO</b> The OA has implemented and conforms to the procedure.</p>	Y
<p><b>17. PLAN</b> The OP documents a procedure for the calibration and maintenance of measurement and recording equipment.</p>	Y
<p><b>DO</b> The OA has implemented and conforms to the procedure.</p>	Y
<p><b>18. PLAN</b> The OP documents a procedure to maintain a state of emergency preparedness, including:</p>	Y
<p>a) a list of potential emergency situations or service interruptions,</p>	Y
<p>b) processes for emergency response and recovery,</p>	Y
<p>c) emergency response training and testing requirements,</p>	Y
<p>d) owner and OA responsibilities during emergency situations,</p>	Y
<p>e) references to municipal emergency planning measures as appropriate, and</p>	Y
<p>f) an emergency communication protocol and an up-to-date list of emergency contacts.</p>	Y
<p><b>DO</b> The OA has implemented and conforms to the procedure.</p>	Y

Summary of DWQMS 2.0 Requirement ( <i>Condition Expected</i> )	Evaluation: Y/NA/NC/OFI
<b>19. PLAN</b> The OP documents a procedure for internal audits that:	Y
a) evaluates conformity of the QMS with the requirements of the DWQMS,	Y
b) identifies internal audit criteria, frequency, scope, methodology and record-keeping req'ts,	Y
c) considers previous internal and external audit results, and	Y
d) describes how QMS corrective actions are identified and initiated.	Y
<b>DO</b> The OA has implemented and conforms to the procedure and ensures internal audits are conducted at least once every calendar year.	Y
<b>Audit notes, findings and recommendations (Elements 16-19)</b>	
<p><b>E16</b> - The sampling frequency chart located in OP s.16.0 describes sampling on a weekly, monthly, quarterly semi-annually, annually, 36-month and 60-month frequency. Additional sampling may be conducted for challenging conditions in addition to the regular schedule to account for out-of-ordinary conditions (e.g. sudden changes to raw water characteristics due to extreme weather); or may be requested related to projects. There are no relevant sampling, testing and monitoring activities that take place upstream of the City's water system. The sampling and testing results are summarized in DWQMS 16-01 Annual Report and DWQMS 16-02 Summary Report.</p> <p><b>E17</b> - Measuring and recording equipment is provided and maintained by a qualified third-party service provider. Flow measuring devices and measuring instrumentation that form part of the CT monitoring system (e.g. on-line chlorine analysers, turbidimeters) are calibrated and/or verified at least once every 12 months (or more frequently, if specified) using the method specified by the manufacturer. The ORO or designate is responsible for coordinating appropriately trained and qualified personnel or a qualified third-party for the required calibration and / or verification of the measurement and recording equipment.</p> <p>Viewed for 2025 calibrations for online and portable equipment for both in-house and external. All were completed as per listed requirements. The external calibrations for the online and portable equipment were completed on July 29, 2025.</p> <p><b>E18</b> - OP s.18.0 describes how the state of emergency preparedness is maintained – linking to risk assessment outcomes, the Water System Emergency Response Plan (which include processes for emergency response scenarios), and a yearly training and test activity with staff (which can be in the form of a mock / desktop exercise or an actual emergency). The last emergency training and test exercises and debriefing discussions was completed on November 26, 2024.</p> <p>E19 - OP s.19.0 Internal audits describe that internal audits are conducted at least once every calendar year to confirm the QMS conforms to own Owen Sound requirements, the DWQMS, and the QMS is effectively implemented and maintained. For each internal audit, the following is conducted:</p> <ul style="list-style-type: none"> <li>• define what processes and programs form part of that audit's criteria and scope;</li> <li>• select auditors and conduct audits so that we ensure objectivity and impartiality of the audit process (for example, no one is auditing their own work);</li> </ul> <p>The previous internal audit was conducted by Acclaims Environmental in November 2024</p>	
<b>20. PLAN</b> The OP documents a procedure for management review that evaluates the continuing suitability, adequacy and effectiveness of the QMS and that includes consideration of items a) to p)	Y

The following is a briefing from the **last Management Review Meeting** summarizing high-level notes recorded:

a) incidents of regulatory non-compliance,	There was no inspection completed prior to the meeting. In 2023 there was one non-compliance.
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b) incidents of adverse drinking water tests,	There were 3 AWQI's reported. One was for TC and two were for low chlorine residuals.
c) deviations from CCL's and response actions,	There were two known deviations during the reporting period.
d) the effectiveness of the risk assessment process,	Risk assessments are completed annually by both water treatment and water distribution staff.
e) internal and third-party audit results,	The last internal audit was completed in November 2024 and identified 8 OFI's. The last external audit was completed in January 2025 and found one minor non-conformance and one OFI.
f) results of emergency response testing,	Water staff practiced ERP 6.7 Diesel Generator Failure. The 2025 was to be completed prior to the internal audit.
g) operational performance,	Reviewed information from the annual report. Reviewed previous leak detection results from 2023. It is recommended that leak detection be completed every 3 years (next date in 2026).
h) raw water supply and DW quality trends,	A capital project is underway to install an air scour system, underdrain improvements, filter media replacement and other upgrades to improve backwash and filter performance.  There was an unusual number of taste and odour complaints in 2024. This will be monitored.
i) follow-up action items from prev. mgmt. reviews	Reviewed five action items from the previous meetings.
j) status of mgmt action items ID'd between reviews,	Included items from internal and external audits.
k) changes that could affect the QMS,	Successfully accredited to DWQMS 2.0.  IT successfully implemented protection from cybersecurity threats.
l) consumer feedback,	Most often complaints are related to aesthetic issues. In process of streamlining customer complaint process where some calls are fielded directly by water staff.
m) the resources needed to maintain the QMS,	Currently sufficient resources.
n) the results of the infrastructure review,	System remained the same as in the 2023 Management Review.
o) OP currency, content and updates, and	The OP is current.

p) staff suggestions.	Various discussion points were listed and reviewed.
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Summary of DWQMS 2.0 Requirement ( <i>Condition Expected</i> )	Evaluation: Y/NA/NC/OFI
<b>DO</b> Top management has implemented and conforms to the procedure and:	Y
a) ensured that a management review is conducted at least once every calendar year,	Y
b) considers the results of the management review and identified deficiencies and action items to address the deficiencies,	Y
c) provided a record of any decisions and action items related to the management review including the personnel responsible for delivering the action items and the proposed timelines for their implementation, and	Y
d) reported the results of the management review, the identified deficiencies, decisions and action items to the owner.	Y

Summary of DWQMS 2.0 Requirement ( <i>Condition Expected</i> )	Evaluation: Y/NA/NC/OFI
<b>21. PLAN</b> The OA has developed a procedure for tracking and measuring continual improvement of its QMS by	Y
a) reviewing and considering applicable BMP's, incl. any published by the Ministry at least once every thirty-six months,	Y
b) documenting a process for identification + mgmt. of QMS corrective actions that includes:	Y
i. investigating the cause(s) of an identified non-conformity (NC),	Y
ii. documenting actions that will be taken to correct the NC + prevent it from recurring	Y
iii. reviewing actions taken to correct the NC, verifying that they are implemented and are effective in correcting and preventing the re-occurrence of the NC.	Y
c) documenting a process for identifying and implementing preventive actions to eliminate the occurrence of potential non-conformities in the QMS that includes:	Y
i. reviewing potential NC's that are identified to determine if preventive actions may be necessary,	Y
ii. documenting the outcome of the review, incl. actions if any that will be taken to prevent a non-conformity from occurring, and	OFI
iii. reviewing the actions taken to prevent a non-conformity, verifying that they are implemented and are effective in preventing the occurrence of the non-conformity.	Y
<b>DO</b> The OA has continually improved the effectiveness of its QMS by implementing and conforming to the procedure.	Y

## Audit notes, findings and recommendations (Elements 20-21)

**E20** - Confirmed designated members of top management were in attendance. Attended City Manager, Director of Public Works and Engineering, Manager of Water and Wastewater, Water Distribution Superintendent, Water Treatment Superintendent and Water/Wastewater Administrative Assistant. Management Review was completed on January 28, 2025 and noted they identify deficiencies and related action items. Provided to owner via the March 21, 2024 Operations Committee.

**E21** - OP s.21.0 Continual Improvement describes that the City is committed to tracking and measuring continual improvement by reviewing / considering BMP's, documenting its process for identification and management of QMS corrective actions and QMS preventive actions. The Continual Improvement tracking sheet helps to track all opportunities for improvement. The CIR log listed items from audits and MECF inspections. The MECF has recently published a Best Management Practice document. Staff have created a checklist to track the review of these BMP's.

**OFI** – consider using the CIR log to track action items from Management Review, Infrastructure Review and Emergency Testing/Training.

<b>Process:</b> Top Management	<b>Auditee(s):</b> Lara Widdifield, Director, Public Works & Engineering	<b>Audit Date:</b> November 17, 2025
<p><b>1.0 Who?</b> (s. 2, 10)</p> <ul style="list-style-type: none"> <li>-3-year diploma or degree, in engineering or related field</li> <li>-member</li> <li>-Civil engineering</li> <li>-started in consulting, infrastructure planner in Welland, condition assessments, asset management. Worked in conservation authority. Development Review.</li> <li>-3 years in January here</li> <li>-Quality Policy – training, review of documents, council affirming the endorsement, SOP, safe drinking water and protection of environment</li> </ul>	<p><b>4.0 Process Under Control?</b> (s. 5, 17)</p> <p><b>Infrastructure Planning</b></p> <ul style="list-style-type: none"> <li>- long range planning just finishing storm water master plan which will lead into the wastewater master plan.</li> <li>-there is a water model and an East Side Servicing Plan (includes development lands).</li> <li>-Construction projects will feed from these. Sometimes projects are based on grants or development.</li> <li>-4<sup>th</sup> Avenue West to be refurbished in the next year as a lot of the infrastructure is required to be updated.</li> </ul>	<p><b>6.0 Adequate Resources?</b> (s. 3, 11, 13-15)</p> <ul style="list-style-type: none"> <li>-currently the QMS rep for water is an operator</li> <li>-department has been recently re-organized</li> <li>-have asked for a QMS/Compliance position in the budget but has not been approved.</li> <li>-equipment wise, resources aren't bad. In a transition period between city owned fleet to leased vehicles.</li> <li>-Unionized staff</li> <li>-</li> </ul>
<p><b>2.0 Process Input?</b> (s. 3, 4, 14, 15)</p> <ul style="list-style-type: none"> <li>-make sure that the group has the resources to do the job properly (resources and equipment) for both water and wastewater.</li> <li>-information flows between all the groups.</li> <li>-CLI-ECA – has been a challenge to get all the engineering group on board with the updated requirements. Pressure testing sewers has not been completed yet. Paperwork has been going okay. Storm water is been run by the Public Works Department.</li> </ul>	<ul style="list-style-type: none"> <li>-10-year capital budget is presented to council twice a year, June and December. June is typically when large projects are presented.</li> <li>-water plant – filter upgrade, currently in progress but is behind schedule. Could cause some issues in the spring.</li> <li>-wastewater plant – intermediate bar screens to reduce the frequency of digester clean-outs.</li> <li>-transformer project at water plant to be completed soon.</li> </ul> <p><b>Risk Assessment</b></p> <ul style="list-style-type: none"> <li>-chlorination or UV failure</li> <li>-inadequate flushing/consumption could cause poor water quality</li> <li>-cross connections/back flows</li> <li>-Backflow prevention program in place but the contract for service is expiring</li> </ul> <p><b>Management Review</b></p> <ul style="list-style-type: none"> <li>-participates in the meeting and discusses the items that have occurred during the year.</li> <li>-would review this with the City Manager after the meeting</li> </ul>	<p><b>7.0 Output?</b> (s. 5)</p> <ul style="list-style-type: none"> <li>-Reports to Council for Annual and Summary Reports</li> <li>-will sit in on S&amp;O meetings if possible</li> </ul>
<p><b>3.0 Measured?</b> (s. 8, 12, 16)</p> <p>-</p>	<p><b>5.0 What If Out-of-Control?</b> (s. 7-8, 12, 18)</p> <ul style="list-style-type: none"> <li>-part of the municipal EOC</li> <li>-contact Manager and discuss what the needs are</li> <li>-ensure Council and City Manager are aware of the situation</li> <li>-could pull from other municipalities</li> <li>-Wastewater – would call the MECF for overflows</li> </ul>	<p><b>8.0 Interested parties?</b> (s. 12, 20)</p> <ul style="list-style-type: none"> <li>-everyone, all water users</li> <li>-‘if I am doing my job right no one will notice’</li> <li>-</li> </ul>

<b>Process:</b> Top Management	<b>Auditee(s):</b> Lara Widdifield, Director, Public Works & Engineering	<b>Audit Date:</b> November 17, 2025
		<p><b>9.0 Evidence of Continual Improvement?</b> (s. 21)</p> <ul style="list-style-type: none"> <li>-day to day, things just get done</li> <li>-Superintendent at the water plant is doing a great job</li> <li>-Superintendents are taking on more contract responsibility</li> <li>-Contract negotiations were settled</li> <li>-new staff hired in the distribution group</li> </ul>

<b>Process:</b> Management	<b>Auditee(s):</b> Bryce McDonald, Manager of Water and Wastewater	<b>Audit Date:</b> November 17, 2025
<p><b>1.0 Who?</b> (s. 2, 10)</p> <ul style="list-style-type: none"> <li>-thorough knowledge of processes for both water and wastewater</li> <li>-WDS4, WT2, WWC1</li> <li>-just over a year experience</li> <li>-project management certificate</li> <li>-industry related training</li> <li>-progressive experience from operational to technical to management</li> </ul>	<p><b>4.0 Process Under Control?</b> (s. 5, 17)</p> <p><b>Capital Projects</b></p> <ul style="list-style-type: none"> <li>-10-year capital plan identifies requirements</li> <li>-capital budget sheets prepared for 5 years (approved at council).</li> <li>-would put up an RFP for a consultant to detail capital budget requirements. Give priority scoring</li> <li>-submitted in December for the following year, updated in June each year</li> <li>-capital progress spreadsheet is updated on a monthly basis.</li> <li>-Form 1's/SS1's – site plan and site servicing agreement through Engineering Services. Development Application is received which would ensure that the appropriate forms are completed. Meet with the water/wastewater team for contact information. Watermain commissioning form is completed, if no Form 1 then final commissioning is not allowed. For SS1, confirmation of construction would be based on CCTV video and review by Engineering Technician.</li> <li>-for projects would give a copy of the CLI-ECA.</li> </ul> <p><b>OFI</b> – consider creating a process to ensure that owners of the system (new developments) are aware of the MDWL/DWWP and CLI-ECA.</p> <p><b>Infrastructure Maintenance</b></p> <ul style="list-style-type: none"> <li>-preventive maintenance programs. Program charter and SOP templates. Currently working on different programs in each area to meet the requirements of the BMP's. Water Distribution – distribution system maintenance, Water Treatment – instrumentation calibration/verification, Wastewater – acoustic inspection of sanitary laterals.</li> </ul>	<p><b>6.0 Adequate Resources?</b> (s. 3, 11, 13-15)</p> <ul style="list-style-type: none"> <li>-financial based decisions</li> <li>-Support for DWQMS, Compliance, water plant operators (only 2 operators, no succession plan), backflow prevention program, support for CLI-ECA requirements</li> <li>-Council identified that there was a belief that there were too many fleet vehicles, changed to lease program. Have had some issues related to this change.</li> </ul> <p><b>OFI</b> - consider reviewing the staff complement as it is apparent that the loss of the Water/Wastewater Admin Assistant has led to some of the requirements of maintaining the QMS being inadequately addressed. While the system is currently in conformance with most of the standard this may not be the case if the trend continues.</p>
<p><b>2.0 Process Input?</b> (s. 3, 4, 14, 15)</p> <ul style="list-style-type: none"> <li>-creating structure and meeting legislative requirements</li> <li>-focused on job requirements and legislative requirements. Levels of service review</li> <li>-executing core functions, process improvements</li> </ul>	<p><b>5.0 What If Out-of-Control?</b> (s. 7-8, 12, 18)</p> <ul style="list-style-type: none"> <li>-will fill in as ORO for Distribution and could be if required for Treatment if necessary</li> <li>-conduit for providing information to senior management, provide resources for staff (sole source memo).</li> <li>-Management rep for emergency exercises.</li> </ul>	<p><b>7.0 Output?</b> (s. 5)</p> <ul style="list-style-type: none"> <li>-PM programs review and monitored.</li> <li>-Reports from Superintendents for some programs</li> <li>-Sanitary inspection programs</li> <li>-Compliance Sampling</li> <li>-Annual Reports</li> <li>-BMP Review</li> </ul>
<p><b>3.0 Measured?</b> (s. 8, 12, 16)</p> <ul style="list-style-type: none"> <li>-procurement for capital projects, terms of reference for RFP's</li> <li>-some work with purchasing department to set up contracts.</li> </ul>	<p><b>8.0 Interested parties?</b> (s. 12, 20)</p> <ul style="list-style-type: none"> <li>-residents, trust the utility</li> <li>-manager/director</li> <li>-environment (tourism)</li> </ul>	

<b>Process:</b> Management	<b>Auditee(s):</b> Bryce McDonald, Manager of Water and Wastewater	<b>Audit Date:</b> November 17, 2025
	-Next emergency exercise is planned for November 26, 2025 (Cybersecurity)	<b>9.0 Evidence of Continual Improvement?</b> (s. 21)  -accepting change -confident in the direction that the Senior Management is taking (vision), new hires are complementing the team. -site servicing (SSA process) – improved process so contractors have to do it instead (focus on core activities)

<b>Process:</b> Water Distribution	<b>Auditee(s):</b> Ryan Bergeron, Water Distribution Operator (lead hand)	<b>Audit Date:</b> November 17, 2025
<p><b>1.0 Who?</b> (s. 2, 10)</p> <ul style="list-style-type: none"> <li>-good leader, adaptive</li> <li>-lead hand for just over a year</li> <li>-knowledge of procedures and legislation</li> <li>-ability to schedule, organized</li> <li>-WD2</li> <li>-Book 7, working at heights, confined space entry</li> <li>-Leadership training</li> <li>-Quality Policy – provide safe and clean drinking water</li> </ul>	<p><b>4.0 Process Under Control?</b> (s. 5, 17)</p> <ul style="list-style-type: none"> <li>-Hydrant Inspection – currently creating a new program for this.</li> <li>-Hydrant Flushing – hire a summer student to do the annual flushing. Each hydrant gets done. Record turbidity and time flushed. Dead ends are flushed in the fall. Trying to develop a uni-directional flushing program. There are some problem areas that may get checked more frequently. Hydrants are all string checked in the fall/winter.</li> <li>-Valve Inspection – creating a new program, starting in Spring 2025. Started with a newer area to get used to the equipment. Will continue the program with some of the more challenging valves (some may break when they are used). Goal is still to be determined.</li> <li>-New Watermain Commissioning-oversee new construction projects, ensure proper disinfection, parts are on approved parts list, operate valves. Ensures that the Form 1 is completed.</li> </ul>	<p><b>6.0 Adequate Resources?</b> (s. 3, 11, 13-15)</p> <ul style="list-style-type: none"> <li>-7 staff in the department</li> <li>-on-call phone</li> <li>-5 on-call staff rotation</li> <li>-enough resources to get the job done.</li> <li>-sodium hypo – expiry date, NSF certification</li> </ul>
<p><b>2.0 Process Input?</b> (s. 3, 4, 14, 15)</p> <ul style="list-style-type: none"> <li>-online calendar that gets daily tasks added to it.</li> <li>-chlorine residual maintenance, hydrant maintenance, construction projects</li> <li>-organizing the day</li> <li>-staff use their own phones for emails</li> <li>-</li> </ul>		<p><b>7.0 Output?</b> (s. 5)</p> <ul style="list-style-type: none"> <li>-records are paper based typically</li> <li>-SOP WD-13 Watermain Break, rev. 11, May 28, 2020</li> <li>-Form 1 – SOP-12 Procedure for Watermain Installation...rev. 8, May 28, 2020</li> </ul>
<p><b>3.0 Measured?</b> (s. 8, 12, 16)</p> <ul style="list-style-type: none"> <li>-Hach Kit – calibrated at the water plant every 3 months.</li> <li>S/N19090A001665 – calibrated July 28, 2025 by HACH</li> <li>-Free PP – A5043, expiry 02/30</li> <li>-Total PP – A5023, expiry 01/30</li> </ul>	<p><b>5.0 What If Out-of-Control?</b> (s. 7-8, 12, 18)</p> <ul style="list-style-type: none"> <li>-will take monthly chlorine residuals to ensure no chlorine at the outfall near the river.</li> <li>-watermain breaks – around 30 so far this year which is a bit more than normal. On-call person would receive the call. One-call for locates. Assess the situation, control flow as much as possible. Call in crew to assist. Excavate the area to expose the break and assess requirements. Bacti samples only for Category 2. Numerous chlorine residual</li> <li>-low chlorine – CCL is 0.20 mg/L, would keep flushing to bring residuals up. There was some situations in the summer where there were residuals below this. If the residual is below 0.05 mg/L would refer to Adverse checklist. Call SAC, call MOH, complete forms.</li> </ul>	<p><b>8.0 Interested parties?</b> (s. 12, 20)</p> <ul style="list-style-type: none"> <li>-personally, citizens, management, regulatory bodies</li> </ul> <p><b>9.0 Evidence of Continual Improvement?</b> (s. 21)</p> <ul style="list-style-type: none"> <li>-with the age of the infrastructure and the number of breaks, getting everything fixed and back to working order.</li> <li>-some water quality issues have been dealt with in a expediated fashion</li> </ul> <p><b>SS</b>-technology in the vehicles, to have access to GIS, locate program, DWQMS Documents</p>

<b>Process:</b> Water Distribution Management	<b>Auditee(s):</b> Mark Hill, Superintendent Water Distribution	<b>Audit Date:</b> November 18, 2025
<p><b>1.0 Who?</b> (s. 2, 10)</p> <ul style="list-style-type: none"> <li>-WDS4, WT2</li> <li>-21 years</li> <li>-training hours are submitted to Admin to input into tracking spreadsheet</li> <li>-first aid, confined space, mobile crane, chain saw, Book 7</li> <li>-ORO</li> </ul>	<p><b>4.0 Process Under Control?</b> (s. 5, 17)</p> <ul style="list-style-type: none"> <li>-Chlorine maintenance program – dead end flushing. Residuals are tracked on a spreadsheet. Will indicate if increased flushing is required. Currently there are 7 locations that are being monitored. Checked monthly. This will align with one of the MECP BMP's.</li> <li>-work orders are created in a manual spreadsheet for dig jobs (these is used in case of complaints, etc.) and customer complaints.</li> </ul>	<p><b>6.0 Adequate Resources?</b> (s. 3, 11, 13-15)</p> <ul style="list-style-type: none"> <li>-two new staff. One was an internal hire the other was external.</li> <li>-Training Checklist in draft</li> <li>-enough material/equipment to complete the jobs</li> </ul>
<p><b>2.0 Process Input?</b> (s. 3, 4, 14, 15)</p> <ul style="list-style-type: none"> <li>-work calendar (distribution task calendar)</li> <li>-staff meetings</li> </ul>	<p><b>POS</b> – staff is being proactive in reviewing and responding to the MECP BMP's.</p> <ul style="list-style-type: none"> <li>-customer complaint spreadsheet SOP C1 – Form 1, there are currently 35 for 2025</li> <li>-hydrant flushing – information is tracked on a spreadsheet. Inspections and flushing. As new hydrants are installed, they are added to the master spreadsheet. If a low chlorine is entered it is flagged in red. Deficiencies are indicated in red and then a master list is created to be completed. Flush route is indicated on the spreadsheet</li> <li>-valve maintenance – started this year, completed about 80% of the required valves this year. Work is being entered into GIS.</li> </ul>	<p><b>7.0 Output?</b> (s. 5)</p> <ul style="list-style-type: none"> <li>-spreadsheets</li> <li>-work tracking</li> </ul>
<p><b>3.0 Measured?</b> (s. 8, 12, 16)</p> <ul style="list-style-type: none"> <li>-GIS system has some of the infrastructure listed. Working on inputting more information as time permits.</li> </ul>	<p><b>5.0 What If Out-of-Control?</b> (s. 7-8, 12, 18)</p> <ul style="list-style-type: none"> <li>-Risks – watermain breaks, infiltration, lack of supply, spills, generator failure, fire fighting</li> <li>-Have had training with the fire departments to give them directions on best practices for operating hydrants.</li> </ul>	<p><b>8.0 Interested parties?</b> (s. 12, 20)</p> <ul style="list-style-type: none"> <li>-personally, operators</li> </ul>

<b>Process:</b> Water Distribution Management	<b>Auditee(s):</b> Mark Hill, Superintendent Water Distribution	<b>Audit Date:</b> November 18, 2025
	-Communications team	<b>9.0 Evidence of Continual Improvement?</b> (s. 21)  -water meter upgrade program, around 7000 meters were replaced. A lot of dig jobs were created -GIS system information -capital work completion -chlorine maintenance program

<b>Process:</b> Water Treatment	<b>Auditee(s):</b> Rob Martin, Water Operator	<b>Audit Date:</b> November 18, 2025
<p><b>1.0 Who?</b> (s. 2, 10)</p> <ul style="list-style-type: none"> <li>-WT3 certificate</li> <li>-25 years experience</li> <li>-Confined space, Working from heights, traffic control, OWWA online sessions, courses, correspondence, First Aid</li> </ul>	<p><b>4.0 Process Under Control?</b> (s. 5, 17)</p> <ul style="list-style-type: none"> <li>-Plant Tour</li> <li>-chlorine analyzer maintenance is completed every 6 months</li> <li>-intake chlorine line was recently replaced</li> <li>-intake inspection is typically completed annually</li> <li>-Fluoride – if goes above 0.8 mg/L then would adjust. Report to MOH if fluoride is going to be off for an extended period</li> <li>-distribution chlorine residual is monitored by continuous monitor at EHPS. If the analyzer fails the procedure SOP-51 EHPS Chlorine Analyzer Failure</li> </ul> <p><b>OFI</b> – consider reviewing the requirements for failure of the continuous chlorine monitor at the pumping stations. The requirement in Reg. 170/03 is that the analyzer must be verified every hour if there is a failure.</p>	<p><b>6.0 Adequate Resources?</b> (s. 3, 11, 13-15)</p> <ul style="list-style-type: none"> <li>-enough resources</li> <li>-superintendent also goes on call</li> <li>-two operators</li> </ul>
<p><b>2.0 Process Input?</b> (s. 3, 4, 14, 15)</p> <ul style="list-style-type: none"> <li>-work order tracking sheets</li> <li>-calibration forms</li> </ul>	<p><b>7.0 Output?</b> (s. 5)</p> <ul style="list-style-type: none"> <li>-logsheets</li> <li>-equipment tracking</li> </ul>	
<p><b>3.0 Measured?</b> (s. 8, 12, 16)</p> <p>-All instruments and chemicals reviewed were within required dates.</p> <p><b>OFI</b> – Consider reviewing the requirements for Lead/pH/Alkalinity sampling as the pH is required to be completed onsite when the samples are taken.</p> <p><b>OFI</b> – consider applying for regulatory relief for instantaneous coagulant failures.</p>	<p><b>5.0 What If Out-of-Control?</b> (s. 7-8, 12, 18)</p> <p>-Chemical shipments – check C of A, ensure NSF which is posted at the chemical tank</p> <p><b>OFI</b> - Consider reviewing signage for chemical rooms and chemical receiving locations. The entrance to the fluoride storage does not indicate the chemical inside and the fill lines for the chemicals are improperly labelled. Also have TDG signage at the fill lines and the door to the chlorine room.</p> <p><b>OFI</b> - Consider providing TDG training for staff accepting chemical shipments.</p>	<p><b>8.0 Interested parties?</b> (s. 12, 20)</p> <ul style="list-style-type: none"> <li>-personally, other staff</li> <li>-Council, senior management</li> </ul> <p><b>9.0 Evidence of Continual Improvement?</b> (s. 21)</p> <ul style="list-style-type: none"> <li>-100% on MECP inspection</li> <li>-Currently use direct filtration but it would be beneficial to switch to conventional treatment</li> </ul>

## 4.0 AUDITOR CV'S AND TRAINING CERTIFICATES

### Curriculum Vitae: Brigitte Roth, BES, EP(EMSLA)

#### SUMMARY:

A management systems, compliance and risk management professional with over 25 years' experience in:

- achieving legislative compliance,
- optimizing and integrating management systems,
- conducting risk assessments and analysis,
- preparing and improving emergency response plans,
- planning and executing annual emergency test exercises and debrief sessions,
- leading and carrying out compliance and management system audits, and
- developing and delivering training related to the above areas of expertise.

A certified environmental professional with ECO Canada, as EP(CEA) from 2005-2015 and currently as EP(EMSLA) since 2015; she has conducted audits and training sessions at over 150 unique organizations of various industries in Canada. She has overseen the implementation and integration of management systems in conformity with ISO 14001, ISO 9001, ISO/IEC 17025, OHSAS 18001 and Ontario's Drinking Water Quality Management Standard.

Also experienced as an alternate Community Emergency Management Coordinator (CEMC) for the City of Guelph from 2015 to 2017 and a Planning Section Chief in the City's Emergency Operations Centre from 2014 to 2017.

#### PROFESSIONAL DESIGNATIONS:

2015, Environmental Professional – Environmental Management Systems Lead Auditor, ECO Canada  
2005-2015, Environmental Professional – Compliance Auditor, ECO Canada

#### EDUCATION & KEY TRAINING:

2018, ISO/IEC 17025:2017, Waher Consulting Services  
2016, Community Emergency Management Coordinator, Emergency Management Ontario  
2014-2017, Emergency Management Certificate program courses, Justice Institute of British Columbia  
2013, Project Management Certificate (with High Honours), Sheridan College  
1998, Environmental Management System Lead Auditor, KPMG (Certificate No. E0034)  
1997, Quality Management System Lead Auditor, KPMG (Certificate No. K193)  
1996, Certificate of Environmental Assessment, University of Waterloo  
1996, Bachelor of Environmental Studies (Honours Geography), University of Waterloo

#### EMPLOYMENT HISTORY:

**Principal Consultant** at [Acclaims Environmental Inc.](#)

2018 - present

Helping optimize the effectiveness of customers' integrated management systems through audits and facilitated sessions to improve:

- legislative compliance (e.g. emissions reporting, approvals and environmental protection plans)
- conformance to management system standards (e.g. DWQMS, ISO 14001, ISO 9001, ISO 45001)
- risk assessment and management
- emergency preparedness and business continuity

**Trainer at [Walkerton Clean Water Centre](#)**

2016 - present

Contract trainer for the following courses:

- Drinking Water Quality Management Standard (DWQMS)
- Internal Auditing for DWQMS
- Introduction to Audits for Leadership Roles
- Introduction to Audits for Operators
- Responsibilities under the Statutory Standard of Care
- Risk Assessment & Emergency Preparedness

**Program Coordinator – Project and Program Management at [City of Guelph](#)**

2017 – 2018

For the City's Corporate Project Management Office (CPMO):

- Developed and promoted methodologies and standards,
- Reported to the Executive Team and city Council on the CPMO's performance,
- Promoted and trained on project management processes,
- Implemented project document and records control, and
- Researched and implemented best practices.

**Quality Assurance Coordinator at [City of Guelph](#)**

2008 – 2017

Managed the processes related to:

- Municipal Drinking Water Licensing,
- Drinking Water Quality Management Standard (DWQMS) accreditation,
- Leading the audit team in internal audits and coordinating external audits,
- Risk assessment, analysis and emergency response plans, and
- Regular compliance reports to Top Management and city Council.

**Pollution Prevention Coordinator / Senior Environmental Auditor at [CASE](#)**

2001 – 2008

- Conducted over fifty pollution prevention and/or compliance audits at metal finishing sites.
- Designed and delivered Advanced Environmental Management Series of courses (Auditing 101; Pollution Prevention Planning & Materials Accounting; Regulatory Compliance; Spills Prevention, Emergency Preparedness and Response).
- Chaired annual Metal Finishing Conference committee from 2000-2008.

**Environmental Management System Specialist at [WESA Group Inc.](#) (BluMetric Environmental Inc.)**

2004 – 2006

- Conducted compliance and management system audits at industrial and municipal drinking water sites.
- Assisted with management system implementations (ISO 9001, ISO 14001, OHSAS 18001, DWQMS).
- Assisted industrial clients with Canada's National Pollutant Release Inventory annual reporting.
- Assisted in the application process for industrial facilities' Certificates of Approval (Air & Noise).

**Quality and Environmental Coordinator at [Kuntz Electroplating Inc.](#)**

1996 – 2001

- Project manager for ISO 9001, ISO 14001 and ISO 17025 implementation and maintenance.
- Facilitated annual reviews of quality policies, risk assessments and emergency response plans.
- Kept up-to-date on all changes in regulatory / customer requirements and reported to management.
- Developed and delivered various quality and environmental management system training programs.
- Managed external and internal audit plans for all management systems and functioned as lead auditor.

# ENVIRONMENTAL CAREERS ORGANIZATION OF CANADA

hereby certifies that

## Brigitte Roth

has been awarded the title of

### Environmental Professional - Environmental Management Systems Lead Auditor EP(EMSLA)

in the following specialization(s)

Environmental Management Systems

Ratified by the Canadian Environmental Certification Approvals Board (CECAB), and in accordance with the EP Code of Conduct and the current Occupational Standards, for a certification term of five (5) years, from:

11/10/2020 to 11/09/2025

Brigitte Roth has been a certified member since  
07/12/2005



Chair, CECAB

Registrar

# 20855



## CERTIFICATE OF ACHIEVEMENT

**BRIGITTE ROTH**

*has successfully completed the*

**Internal Auditing for the Drinking Water Quality Management Standard course**

WWOCS Course ID # 8194

September 24, 2020 to September 25, 2020

Director Approved Continuing Education Units: 1.4

Carl Kuhnke  
CEO

September 25, 2020

Date

[www.wcwc.ca](http://www.wcwc.ca)

# Curriculum Vitae: Janine deBoer

## SUMMARY:

A management systems and compliance professional with over 25 years' experience in:

- water operations (Class IV Water Treatment, Class III Water Distribution & Supply)
- achieving legislative compliance (as related to water industry and health & safety),
- optimizing and integrating management systems,
- conducting risk assessments and analysis,
- preparing and improving emergency response plans,
- planning and executing annual emergency test exercises and debrief sessions,
- leading and carrying out compliance and management system audits, and
- developing and delivering training related to the above areas of expertise.

A certified internal auditor for ISO 9001, ISO 14001, HACCP and the Drinking Water Quality Management Standard (DWQMS) Certified Lead Auditor for ISO 14001:2015 and ISO 9001:2015. Oversaw the implementation and integration of management systems in conformity to ISO 9001, ISO 14001, and Ontario's DWQMS for Durham Region over the past 12 years. Also experienced as a certified member of the Joint Health & Safety Committee.

## PROFESSIONAL DESIGNATIONS & AFFILIATIONS:

- Class IV Water Treatment (expiring February 29, 2028)
- Class III Water Distribution & Supply (expiring April 30, 2027)
- Representative of the Standards Council of Canada for TC224 Service Activities Relating to Drinking Water Supply Systems and Wastewater Systems
- Member of Ontario Water and Wastewater Agency Response Network (OnWARN) Leadership Team

## EDUCATION & KEY TRAINING:

2022, Internal Auditing for the DWQMS, Walkerton Clean Water Centre  
2021 ISO 9001:2015 Lead Auditor, Velocity 360m Certificate 43806907  
2020, ISO 14001:2015 Lead Auditor, Velocity 360, Certificate 24226874  
2003, Internal Auditor Training (ISO 9001 and ISO 14001), BRI International Inc.  
1992, Food & Drug Technology, Durham College  
1990, Bachelor of Science / Education, Trent University

## OTHER RELEVANT CERTIFICATES AND COURSES:

- UOIT Masters Certificate in Public Sector Management
- Introduction to Local Government
- Basic Emergency Management
- Business Case Writing
- Working for the Public
- Hydraulic Model Training
- Energy Auditor Training
- Transportation of Dangerous Goods
- Basic Gas Chlorination
- Maximo Core Training
- Microsoft Excel, Word, PowerPoint
- Adobe Captivate
- Standard of Care Training
- Confined Space
- First Aid/CPR
- Basic Hoisting and Rigging Safety
- Health and Safety for Supervisors
- Health and Safety Certification level II
- Health and Safety Professional from the IAPA -included many safety-related courses

## **EMPLOYMENT HISTORY:**

### **Municipal Compliance Coordinator (Contract)** at various municipalities

2022 – present

- Assist various municipal clients with compliance related duties including preparing regulatory reports for water and wastewater.
- Clients include Northern Waterworks Inc., Lakefront Utility Services, Town of Collingwood and Town of Midland.

### **Contract Auditor/Trainer** with [Acclaims Environmental](#) and [AET Group](#)

2019 - present

### **Contract Trainer** at [Walkerton Clean Water Centre](#)

2019 – present

- Courses include Internal Auditing for DWQMS, Drinking Water Quality Management Standard, Mandatory Certificate Renewal Course, Entry Level Course, Safe Drinking Water Act, Attaining Water Compliance, Fundamental Math, Conversion Math, New Watermain Commissioning, Case Studies in Chemical Contamination and Water Quality Analyst.

### **Various positions** at [Durham Region](#)

March 1996 – April 2025

#### **IMS Coordinator**

- Maintain the Integrated Management System (IMS, to ISO 9001, ISO 14001, HACCP and DWQMS) for Plant Operations and Maintenance Operations by updating documents, developing procedures and training operators
- Organize and participate in internal audits of the IMS
- Organize and attend external audits for the IMS including responding to findings from these audits
- Develop and present training regarding changes to existing and new provincial legislation
- Attend and record results of Management Inspections
- Organize and participate in emergency drills
- Administer the Computerized Maintenance Management System
- Seconded to a project implementing an Enterprise Maintenance Management System

#### **Chief Maintenance Operator – IMS**

- Maintained records for sampling schedules and ensured paperwork was complete and accurate
- Organized work schedules for other Maintenance Operators
- Prepared timesheets and maintained holiday schedules
- Organized summer student schedules to match staffing demands

#### **Maintenance Operator**

- Maintained and ran entire Oshawa / Whitby / Ajax / Pickering Water Supply Systems
- Developed training course for Class I Water Treatment Overview
- Involved in energy audits for water plants and pumping stations
- Collected samples and performed routine lab tests, as required
- Used a variety of computer systems to help monitor water supply
- Created reports for various departments within Durham Region

## CERTIFICATE OF ACHIEVEMENT

**JANINE DEBOER**

*has successfully completed the*

**Internal Auditing for the Drinking Water Quality Management Standard course**

WWOCS Course ID # 8194

September 28, 2022 to September 29, 2022

Director Approved Continuing Education Units: 1.4



Brian Bates  
CEO

September 29, 2022

Date

[www.wcwc.ca](http://www.wcwc.ca)

This is to certify that

*Janine DeBoer*



completed the

**ISO 9001:2000/ISO 14001  
Internal Auditor Training  
Workshop**

*Journey Toward Excellence*

September 9th & 11th, 2003



   
Patricia Becker, MES  
Niall Gordon, BA, CQA  
B.R.I. International Inc.

# CERTIFICATE OF COMPETENCE

*This document certifies that*

*Janine DeBoer*

*has successfully completed and is deemed competent for:*

## ISO 14001:2015 Lead Auditor

Issue Date: October 13, 2020

CEUs Awarded: 3.2

Certificate Number: 24226874

Velocity 360 USA is a certified training provider for the training modules listed above.

For and on behalf of Velocity 360 USA



M. Todd Crowder, Vice President, Quality and Regulatory Affairs  
Velocity 360 USA, LLC

# CERTIFICATE OF COMPETENCE

*This document certifies that*

*Janine DeBoer*

*has successfully completed and is deemed competent for:*

## ISO 9001:2015 Lead Auditor - Quality Management

Issue Date: December 25, 2021

CEUs Awarded: 3.2

Certificate Number: 43806907

Velocity 360 USA Training is a certified training provider for the training modules listed above.

For and on behalf of Velocity 360 USA Training



M. Todd Crowder, Vice President, Office of Registrar  
Professional Education Services  
Velocity 360 USA Training, LLC

This credential is digitally verifiable and secure. Verify credential at [www.accredibile.com/verification](http://www.accredibile.com/verification)