

Audit Report

12 Month Surveillance Audit for

The Corporation of the Town of Minto

CMPY-165115

Audited Address: 5941 Highway #89, Harriston, Ontario, N0G 1Z0,
Canada

Start Date: Oct 1, 2024 End Date: Oct 1, 2024

Type of audit – Surveillance System Audit

Issue Date: Oct 1, 2024

Revision Level: *Final*



BACKGROUND INFORMATION

Intertek - SAI Global conducted an audit of The Corporation of the Town of Minto beginning on Oct 1, 2024 and ending on Oct 1, 2024 to DRINKING WATER QUALITY MANAGEMENT STANDARD VERSION 2 - 2017.

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

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

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

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

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

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

Standard:	DRINKING WATER QUALITY MANAGEMENT STANDARD VERSION 2 - 2017
Scope of Certification:	Full Scope – Entire DWQMS
Drinking Water System Owner:	The Corporation of the Town of Minto
Operating Authority:	The Corporation of the Town of Minto
Population Served:	6498
Activities:	Treatment and Distribution
	Clifford Drinking Water System (license # 106-101)
	Harriston Drinking Water System (license # 106-102)
Drinking Water Systems	Minto Pines Drinking Water System (license # 106-104)
	Palmerston Drinking Water System (license # 106-103)

Total audit duration:	Person: 1	Days: 1.00
Audit Team Member:	Team Leader	Paul Cartlidge

Audit Report

Definitions and action required with respect to audit findings

Major Non-conformance:

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

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

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

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

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

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

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

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

Follow-up activities incur additional charges.

Minor Non-conformance:

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

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

Opportunity for Improvement:

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

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

Audit Type and Purpose

Surveillance Audit:

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

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

Audit Objectives

The objective of the audit was to determine whether the drinking water Quality Management System (QMS) of the subject system conforms to the requirements of the Ontario Ministry of the Environment & Climate Change (MOECC) Drinking Water Quality Management Standard (DWQMS V2).

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

Audit Scope

The facilities and processes associated with the operating authority's QMS were objectively evaluated to obtain audit evidence and to determine a) whether the quality management activities and related results conform with DWQMS V2 requirements, and b) if they have been effectively implemented and/or maintained.

Audit Criteria:

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

Confidentiality and Documentation Requirements

The Intertek - SAI Global stores their records and reports to ensure their preservation and confidentiality. Unless required by law, the Intertek - SAI Global will not disclose audit records to a third party without prior written consent of the applicant. The only exception will be that the Intertek - SAI Global will provide audit and corrective action reports to the Ontario Ministry of the Environment. For more information, please refer to the Intertek - SAI Global Accreditation Program Handbook.

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

Review of any changes

Changes to the company since last audit include: new CAO in the Town of Minto

EXECUTIVE OVERVIEW

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

Recommendation

Based on the results of this audit it has been determined that the management system is effectively implemented and maintained and meets the requirements of the standard relative to the scope of certification identified in this report; therefore, a recommendation for continued certification will be submitted to Intertek - SAI Global review team.

Opportunities for Improvement:

No opportunities for improvement have been identified.

Management System Documentation

The management systems operational plan was reviewed and found to be in conformance with the requirements of the standard.

Management Review

Records of the most recent management review meetings were verified and found to meet the requirements of the standard. All inputs were reflected in the records, and appear suitably managed as reflected by resulting actions and decisions.

Internal Audits

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

Corrective, Preventive Action & Continual Improvement Processes

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

Summary of Findings

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

PART D. Audit Observations, Findings and Comments

DWQMS Reference:	1 Quality Management System
Client Reference:	Town of Minto DWQMS Operational Plan element 1 – Introduction to the Town of Minto Drinking Water Quality Management Standard Operational Plan, revision 4, September 26, 2023
Details: Operational Plan adequately describes the Quality Management System. Reviewed and accepted.	

DWQMS Reference:	2 Quality Management System Policy
Client Reference:	Town of Minto DWQMS Operational Plan element 2 – QMS Policy Statement, revision 7, December 8, 2022
Details: Policy statement adequately describes the goals of the Quality Management System. Policy statement is available on the Town of Minto website. Reviewed and accepted.	

DWQMS Reference:	3 Commitment and Endorsement
Client Reference:	Town of Minto DWQMS Operational Plan element 3 – DWQMS Commitment and Endorsement, revision 10, December 8, 2022
Details: Current version of Operational Plan endorsed through direct signatures on the Commitment and Endorsement sheet by Town of Minto representatives – Mayor, Deputy Mayor, all Councillors, Interim CAO, Treasurer and the QMS Representative on December 6, 2022. Town of Minto Council Motion # COW 2022- 195 accepts that Council of the Town of Minto receives report PW 2022-029 regarding the 2022 DWQMS Review and QMS Policy Statement and DWQMS Endorsement. Reviewed and accepted.	

DWQMS Reference:	4 Quality Management System Representative
Client Reference:	Town of Minto DWQMS Operational Plan element 4 – Identification of a QMS Representative, revision 6, March 31, 2022
Details: The Quality Management System Representative for the Town of Minto Drinking Water Systems is identified as a distinct position, as authorized by the appointment letter for Mike Doucette dated March 28, 2022 as included in the Operational Plan. Reviewed and accepted.	

DWQMS Reference:	5 Document and Record Control
Client Reference:	Town of Minto DWQMS Operational Plan element 5: DWQMS Document Control Procedure, revision 15, September 16, 2024 DWQMS Record Control Procedure, revision 12, September 26, 2023
Details: Procedures reviewed and accepted.	

DWQMS Reference:	6 Drinking Water System
Client Reference:	Town of Minto DWQMS Operational Plan element 6 – DWQMS Project Descriptions, revision 22, September 16, 2024
Details: Each drinking water system (Clifford, Harriston, Palmerston and Minto Pines) is adequately described in the Operational Plan. Process Flow Diagrams are maintained in the respective Operations Manuals. Reviewed and accepted.	

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DWQMS Reference	7 Risk Assessment
Client Reference:	Town of Minto DWQMS Operational Plan element 7 – DWQMS Risk Assessment/Response Procedure, revision 12, September 26, 2023
Details: Operational Plan and procedure describe the process for performance of Risk Assessments. Reviewed and accepted.	

DWQMS Reference:	8 Risk Assessment Outcomes
Client Reference:	Town of Minto DWQMS Operational Plan element 8 – DWQMS Risk Assessment Outcomes, revision 14, September 21, 2024 Clifford Risk Assessment Outcome Table, revision 14, September 10, 2024 Harriston Risk Assessment Outcome Table, revision 14, September 10, 2024 Palmerston Risk Assessment Outcome Table, revision 14, September 10, 2024 Minto Pines Risk Assessment Outcome Table, revision 14, September 10, 2024
Details: Risk Assessment Outcomes tables identify hazardous events, risks, rankings, control measures, critical control points and associated processes/procedures. Risk Assessment Data is current as of September 2021 when the most recent 36-month review was performed and updated in August 2024. All hazardous events as described by MECP Document “Potential Hazardous Events for Municipal Residential Drinking Water Systems” as updated in April 2022 are included in the Risk Assessment. Critical Control Points are included in the risk assessment tables and list all applicable critical control limits. Reviewed and accepted.	

DWQMS Reference:	9 Organizational Structure, Roles, Responsibility and Authorities
Client Reference:	Town of Minto DWQMS Operational Plan element 9 - DWQMS Roles, Responsibility and Authority, revision 19, September 26, 2023 DWQMS Water System Organizational Chart, revision 12, March 31, 2022
Details: Operational Plan section 9 and Organizational Chart reviewed and accepted.	

DWQMS Reference:	10 Competencies
Client Reference:	Town of Minto DWQMS Operational Plan element 10 - DWQMS Competencies, revision 11, September 26, 2023 DWQMS Training, Planning and Recording Procedure, revision 7, September 26, 2023
Details: Operational Plan section 10 reviewed and accepted.	

DWQMS Reference:	11 Personnel Coverage
Client Reference:	Town of Minto DWQMS Operational Plan element 11 – DWQMS Personnel Coverage, revision 16, September 16, 2024
Details: Operational Plan section 11 reviewed and accepted.	

DWQMS Reference:	12 Communications
Client Reference:	Town of Minto DWQMS Operational Plan element 12 – DWQMS Communications Procedure, revision 11, September 26, 2023
Details: Operational Plan section 12 reviewed and accepted.	

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DWQMS Reference:	13 Essential Supplies and Services
Client Reference:	Town of Minto DWQMS Operational Plan element 13 - DWQMS Essential Suppliers, revision 22, December 12, 2023
Details: Operational Plan section 13 (includes list of essential suppliers) reviewed and accepted.	

DWQMS Reference:	14 Review and Provision of Infrastructure
Client Reference:	Town of Minto DWQMS Operational Plan element 14 – DWQMS Review and Provision of Infrastructure, revision 12, September 16, 2024
Details: Operational Plan section 14 reviewed and accepted.	

DWQMS Reference:	15 Infrastructure Maintenance, Rehabilitation and Renewal
Client Reference:	Town of Minto DWQMS Operational Plan element 15 – DWQMS Infrastructure Maintenance, Rehabilitation and Renewal, revision 12, September 26, 2023
Details: Operational Plan section 15 reviewed and accepted.	

DWQMS Reference:	16 Sampling, Testing and Monitoring
Client Reference:	Town of Minto DWQMS Operational Plan element 16 - DWQMS Sampling, Testing and Monitoring Procedure, revision 16, September 16, 2024 Sampling requirements for each system as defined in section 8.0 of the respective Operations Manuals.
Details: Operational Plan section 16 and Sampling requirements reviewed and accepted.	

DWQMS Reference:	17 Measurement and Recording Equipment Calibration and Maintenance
Client Reference:	Town of Minto DWQMS Operational Plan element 17 – DWQMS Measurement & Recording Equipment Calibration & Maintenance, revision 7, September 26, 2023
Details: Operational Plan section 17 reviewed and accepted.	

DWQMS Reference:	18 Emergency Management
Client Reference:	Town of Minto DWQMS Operational Plan element 18 – DWQMS Emergency Management, revision 10, September 26, 2023 Town of Minto Contingency Plan, rev. 08/18/2023
Details: Operational Plan section 18 reviewed and accepted. Emergency situations, contact list and response procedures are addressed in detail in the Standard Operating Procedures and the Contingency Plan.	

DWQMS Reference:	19 Internal Audits
Client Reference:	Town of Minto DWQMS Operational Plan element 19 – DWQMS Internal Audits and Correction Procedures, revision 7, March 31, 2022
Details: Procedure reviewed and accepted. Most recent internal audit was performed May 28-July 24, 2024 by the DWQMS Representative. Internal Audit was performed to the requirements of DWQMS V2. Audit report detailing all findings reviewed. No Non-Conformances and 2 Opportunities for Improvement were identified. OFIs are evaluated and documented on Corrective	

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Action Reports and completed as per element 21.

DWQMS Reference:	20 Management Review
Client Reference:	Town of Minto DWQMS Operational Plan element 20 – DWQMS Management Review Procedure, revision 10, September 16, 2024.
Details: Procedure describes the process for performing Management Review. Most recent Management Review was performed on November 17, 2023 with a summary report of all discussions. Procedure and report included all required elements from clause 20 of the DWQMS V2. Actions items are noted in the Management Review Outcome report prepared by the QMS Representative (e.g. Implementation of Preventative Maintenance work orders using CityWide). Reviewed and accepted.	

DWQMS Reference:	21 Continual Improvement
Client Reference:	Town of Minto DWQMS Operational Plan element 21 – DWQMS Continual Improvement Procedure, revision 10, March 31, 2022
Details: Procedure reviewed and accepted. Corrective actions, preventive actions and best management practices are identified through Continual Improvement Reports and can be generated from various sources including internal and external audits, best management practices, Management Reviews, operational issues, etc. Corrective Actions are recorded on CAR forms and entered onto a log for monitoring. Examples reviewed included: <ul style="list-style-type: none">• OFIs from 2024 Internal Audit: IA-24-01, IA-24-02 – e.g. format of Management Review to match the items from the Standard – Operational Plan element 20 updated• Corrective Action # EA-23-01 – from 2023 external audit – reagents used past expiry date – updates made to forms and training session held with staff• Best Management Practices can be found through various sources including the Municipal Water/Wastewater Regulatory Committee online forum.	

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

This report was prepared by:

Paul Cartlidge
Intertek - SAI Global Management Systems Auditor

The audit report is distributed as follows:

- Intertek - SAI Global
- Operating Authority
- Owner
- MOECC

Notes

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