



**ACCREDITATION PROGRAM FOR OPERATING AUTHORITIES
SYSTEMS AUDIT REPORT – 2013**

FILE #: 1631580-01

The Corporation of the Town of Fort Frances

Operating Authority for:

Town of Fort Frances Water System

12 Month Surveillance Audit

Prepared by: Rod Seabrook

Date: November 26, 2013

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's (MOE) Drinking Water Quality Management Standard (DWQMS) at all of the locations noted in the Applicant Profile Form (AP 602). It was also intended to gather the information necessary for SAI Global to assess whether continuing accreditation can be offered to the operating authority.

Audit Scope

Documentation 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 requirements, and b) if they have been effectively implemented.

Audit Criteria:

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

Auditor:

Rod Seabrook

Audit Report Distribution List:

The Audit Report is distributed as follows:

- Operating Authority
- Owner
- Ministry of the Environment Director

Confidentiality and Documentation Requirements

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

PART A. MANAGEMENT SUMMARY

This was an off-site system audit of the The Corporation of the Town of Fort Frances conformance with the requirements of DWQMS: Oct. 2006.

The overall effectiveness of the The Corporation of the Town of Fort Frances Quality Management System is considered:

- ☒ Effective
☐ Not effective

No non-conformities were identified during this assessment. The audit objectives were accomplished within the audit scope in accordance with the audit plan and the time allocation.

Notes

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

As part of the SAI Global Terms, it is necessary for you to notify SAI Global of any changes to your Quality Management System that you believe are significant enough to risk non-conformity with DWQMS: Oct. 2006. For more information, please refer to the SAI Global Accreditation Program Handbook.

PART B. GENERAL INFORMATION

Operating Authority:

Legal name and address

The Corporation of the Town of Fort Frances OAP - 224

Address

320 Portage Avenue Fort Frances Ontario

Applicant representative

Mr. Doug Brown

Title

Operations and Facilities Manager

Telephone

807-274-9893

Fax

E-mail

dbrown@fort-frances.com

Owner:

Legal name and address

☒ same as above, or:

Applicant representative

Title

Telephone

Fax

E-mail

Accreditation Option: Full Scope Entire

Population Served: 9,000

This audit report covers the subject systems listed:

- Town of Fort Frances Water System (treatment and distribution), Fort Frances, ON

PART C. SUMMARY OF FINDINGS

SUMMARY OF FINDINGS							
OPERATING AUTHORITY The Corporation of the Town of Fort Frances						1631580-01	
ACCREDITATION CYCLE: 12 Month Surveillance Audit							
AUDIT TYPE X Systems			AUDITOR Rod Seabrook			November 26, 2013 to November 26, 2013	
SUBJECT SYSTEM(S) AUDITED ① Treatment and distribution							
REQUIREMENT ↓	SYSTEM →	①	②	③	④	⑤	⑥
1. Quality Management System		C					
2. Quality Management System Policy		C					
3. Commitment and Endorsement		C					
4. Quality Management System Representative		C					
5. Document and Records Control		C					
6. Drinking-Water System		C					
7. Risk Assessment		C					
8. Risk Assessment Outcomes		C					
9. Organizational Structure, Roles, Responsibilities and Authorities		C					
10. Competencies		C					
11. Personnel Coverage		C					
12. Communications		C					
13. Essential Supplies and Services		C					
14. Review and Provision of Infrastructure		C					
15. Infrastructure Maintenance, Rehabilitation & Renewal		C					
16. Sampling, Testing and Monitoring		C					
17. Measurement & Recording Equipment Calibration and Maintenance		C					
18. Emergency Management		C					
19. Internal Audits		C					
20. Management Review		C					
21. Continual Improvement							
Mj	Major non-conformity. The auditor has determined one of the following: (a) a required element of the DWQMS has not been incorporated into a QMS; (b) a systemic problem with a QMS is evidenced by two or more minor non-conformities; or (c) a minor non-conformity identified in a corrective action request has not been remedied.						
Mn	Minor non-conformity. In the opinion of the auditor, part of a required element of the DWQMS has not been incorporated satisfactorily into a QMS.						
OFI	Opportunity for improvement. Conforms to the requirement, but there is an opportunity for improvement.						
C	Conforms to requirement.						
	Not applicable to this audit.						

PART D. FINDINGS/COMMENTS

DWQMS Reference:	1	Quality Management System
Client Reference:		Operational Plan Rev 5
Results:		Conforms
Details:		<i>The management system is being maintained</i>
DWQMS Reference:	2	Quality Management System Policy
Client Reference:		Operational Plan Rev 5 Element 2 Rev 2
Results:		Conforms
Details:		<i>As previously audited and accepted</i>
DWQMS Reference:	3	Commitment and Endorsement
Client Reference:		Operational Plan Rev 5 Element 3 Rev 4
Results:		Conforms
Details:		<i>As previously audited and accepted</i>
DWQMS Reference:	4	Quality Management System Representative
Client Reference:		Operational Plan Rev 5 Element 4 Rev 4
Results:		Conforms
Details:		<i>As previously audited and accepted</i>
DWQMS Reference:	5	Document and Record Control
Client Reference:		Operational Plan Rev 5 Element 5 Rev 5
Results:		Conforms
Details:		<i>As previously audited with minor revisions</i>
DWQMS Reference:	6	Drinking Water System
Client Reference:		Operational Plan Rev 5 Element 6 Rev 5
Results:		Conforms
Details:		<i>The description is complete; minor revisions made; process flow diagram included</i>
DWQMS Reference:	7	Risk Assessment
Client Reference:		Operational Plan Rev 5 Element 7 Rev 5
Results:		Conforms
Details:		<i>As previously audited and accepted</i>
DWQMS Reference:	8	Risk Assessment Outcomes
Client Reference:		Operational Plan Rev 5 Element 8 Rev 4
Results:		Conforms
Details:		<i>Annual review conducted Apr 8, 2013 – no changes</i>

DWQMS Reference:	9	Organizational Structure, Roles, Responsibility and Authorities
Client Reference:		Operational Plan Rev 5 Element 9 Rev 5
Results:		Conforms
Details:		As previously audited with minor updates
DWQMS Reference:	10	Competencies
Client Reference:		Operational Plan Rev 5 Element 10 Rev 5
Results:		Conforms
Details:		Competencies for all positions directly affecting water quality described
DWQMS Reference:	11	Personnel Coverage
Client Reference:		Operational Plan Rev 5 Element 11 Rev 5
Results:		Conforms
Details:		As previously audited and accepted, with minor updates
DWQMS Reference:	12	Communications
Client Reference:		Operational Plan Rev 5 Element 12 Rev 4
Results:		Conforms
Details:		Procedures for communication to owner, staff, suppliers and the public meet requirements
DWQMS Reference:	13	Essential Supplies and Services
Client Reference:		Operational Plan Rev 5 Element 13 Rev 5
Results:		Conforms
Details:		As previously audited and accepted, with minor revisions
DWQMS Reference:	14	Review and Provision of Infrastructure
Client Reference:		Operational Plan Rev 5 Element 14 Rev 5
Results:		Conforms
Details:		As previously audited and accepted with minor edit
DWQMS Reference:	15	Infrastructure Maintenance, Rehabilitation and Renewal
Client Reference:		Operational Plan Rev 5 Element 15 Rev 5
Results:		Conforms
Details:		As previously audited and accepted, with minor edits; activities reported in management review minutes Jun 25/13
DWQMS Reference:	16	Sampling, Testing and Monitoring
Client Reference:		Operational Plan Rev 5 Element 16 Rev 5
Results:		Conforms
Details:		As previously audited and accepted, with minor edits
DWQMS Reference:	17	Measurement and Recording Equipment Calibration and Maintenance
Client Reference:		Operational Plan Rev 5 Element 17 Rev 5
Results:		Conforms
Details:		As previously audited and accepted, with minor edit

DWQMS Reference:	18	Emergency Management
Client Reference:	<i>Operational Plan Rev 5 Element</i>	
Results:	Conforms	
Details:	<i>As previously audited and accepted; contact list current Oct 16/13</i>	
DWQMS Reference:	19	Internal Audits
Client Reference:	<i>Operational Plan Rev 5 Element 19 Rev 4</i>	
Results:	Conforms	
Details:	<i>As previously audited and accepted; internal audit complete May 8/13; report submitted to management May 8/13; 5 findings; corrective actions prepared and completed</i>	
DWQMS Reference:	20	Management Review
Client Reference:	<i>Operational Plan Rev 5 Element 20 Rev 5</i>	
Results:	Conforms	
Details:	<i>Procedure as previously audited and accepted; inputs prepared and management review conducted Jun 25/13; all required topics covered</i>	

PART E.**RECOMMENDATION – Systems Audit**

The auditor recommends the following:

- ☐ Offer of accreditation
- ☐ Offer of accreditation after response to corrective action requests has been deemed acceptable to the SAI Global
- ☐ On-site verification audit after response to corrective action requests has been deemed acceptable by the SAI Global
- ☐ On-site verification audit as next step in the accreditation process
- ☐ On-site verification of corrective action requests
- ☒ Maintenance of existing accreditation
- ☐ Complete re-assessment

Rod Seabrook
Lead Auditor / Auditor