



Auditing DWQMS V2

WCWC Conference

Agenda

- Introductions
- Status
- Getting ready to implement DWQMS V2
- Requirements of the new standard
- DWQMS Version 2 Transition Audit Coverage
- New documentation – Plan, Report, CIS
- Questions.

Introductions

Marco Brunato – SAI Global Program Manager & Auditor

John/Jane Doe - NSF DWQMS Representative.

Status

MOE announces release of DWQMS Version 2 April 2017.
Standard is dated February 2017.

This auditor training completed to V2.

Currently no clients are certified to the new standard.

DWQMS clients have until end of 2019 to make transition.

Transition can occur at any audit Onsite or surveillance.

Getting ready to implement DWQMS V2

- Get a copy of the new standard
- Highlight any new or changed “shalls”
- Do a Gap analysis.
- Develop action plan and time line for implementation and filling the gaps.
- Update Operational Plan and procedures
- Train staff
- Run system for a couple of months

Getting ready to implement DWQMS V2

Do a full internal audit to all the new requirements (at least)

Implement any corrective actions

Complete Management Review

Determine and implement any addition actions

Notify your Certification Body you are ready

Confirm scheduled audit will be to new revision

Conduct external audit

Clear any applicable nonconformances

Technical review by certification body

New certificate issued by certification body

Requirements of the new standard

Director s Direction

Provides further direction respecting the minimum content of Operational Plans as well as rules respecting document retention, public disclosure of information and other requirements that the Director considers necessary for the purposes of the Act and its regulations.

Consequence

Not only do Operational Plans need to meet requirements of the standard they also need to meet any requirements the Directors Directions may establish.

Document/records retention times of the DWQMS and addressed under clause 5 must also meet any Director Directions requirements.

Term & Definitions

*Audit - a systematic and **documented** verification process that involves objectively obtaining and evaluating documents and processes to determine whether a Quality Management System conforms to the requirements of this Standard.*

No Change.

Calendar Year – A period of one year beginning and ending with the dates conventionally accepted as marking the beginning and end of a year (January 1st to December 31st).

New Addition

Term & Definitions

Document – has the same meaning as “document” defined in s. 2(1) of the Act.

Change – now refers to the Act.

Director – means the director appointed for the purposes of s.15 of the Act.

New Addition

Distribution System – has the same meaning as “distribution system” defined in s. 2(1) of the Act.

New Addition

Term & Definitions

Drinking Water Health Hazard – has the same meaning as “drinking water health hazard” defined in s. 2(1) of the Act.

Change – refers to the Act

Drinking Water System – has the same meaning as “drinking water system” defined in s. 2(1) of the Act.

Change – refers to the Act

Environmental Bill of Rights Registry – has the same meaning as “Registry” defined in s.2(1) of the Act.

New addition

Term & Definitions

Municipal Drinking Water System – has the same meaning as “municipal drinking water system” defined in s. 2(1) of the Act.

Change – refers to the Act

Municipal Residential Drinking Water System – has the same meaning as “large municipal residential system” or “small municipal residential system” defined in s. 1(1) of O. Reg. 170/03.

Change

Owner – has the same meaning as “owner” defined in s. 2(1) of the Act.

Change – refers to Act

Preventive Action – action to prevent the occurrence of nonconformity of the QMS with the requirements of the DWQMS or other undesirable situation.

New Addition

Primary Disinfection – has the same meaning as “primary disinfection” defined in s. 1(1) of O. Reg. 170/03.

New Addition

Term & Definitions

Quality Management System Policy – means the policy described in Element 2 developed for the Subject System or Subject Systems.

New addition

Secondary Disinfection – has the same meaning as “secondary disinfection” defined in s. 1(1) of O. Reg. 170/03.

New addition

Treatment System – has the same meaning as “treatment system” defined in s. 2(1) of the Act.

New Addition

Plan and Do Element Changes

Element 2 Quality Management System Policy

- deleted words “size & type of subject system”
- was bullet point a) to e) now a) to d)

Consequence: limited to none

Plan and Do Element Changes

Element 6 – Drinking Water System

- Has been reorganized to flow better
- Now makes reference to primary and secondary disinfection
- Point ii B new – *A treatment system process flow chart*
 - Point iii new
 - *iii if the system does not include equipment that provides Primary Disinfection or Secondary Disinfection:*
 - *A. a description of the system including all Distribution System components, and*
 - *B. a description of any procedures that are in place to maintain disinfection residuals*

Plan and Do Element Changes

Element 6 – Drinking Water System continued

section b – new wording

b) *if the Subject System is an Operational Subsystem, a summary description of the Municipal Residential Drinking Water System it is a part of **including the name of the Operating Authority(ies) for the other Operational Subsystems.***

Section c iii – new

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.

Plan and Do Element Changes

Element 7 Risk Assessment

New point a)

The Operational Plan shall document a risk assessment process that:

a) Considers potential hazardous events and associated hazards, as identified in the Ministry of the Environment and Climate Change document titled Potential Hazardous Events for Municipal Residential Drinking Water Systems, dated February 2017 as it may be amended. A copy of this document is available at www.ontario.ca/drinkingwater.

Element 7 – Potential Hazards

System Type Description of Hazardous Event / Hazard

All systems - Long Term Impacts of Climate Change

All systems - Water supply shortfall

All systems - Extreme weather events (e.g., tornado, ice storm)

All systems - Sustained extreme temperatures (e.g., heat wave, deep freeze)

All systems - Chemical spill impacting source water

All systems - Terrorist and vandalism actions

Element 7 – Potential Hazards

Distribution Systems - Sustained pressure loss

Distribution Systems - Backflow

Treatment Systems - Sudden changes to raw water characteristics (e.g., turbidity, pH)

Treatment Systems - Failure of equipment or process associated with primary disinfection (e.g., coagulant dosing system, filters, UV system, chlorination system).

Treatment Systems and Distribution Systems providing secondary disinfection - Failure of equipment or process associated with secondary disinfection (e.g., chlorination equipment, chloramination equipment)

Treatment Systems using Surface Water - Algal blooms

Plan and Do Element Changes

Element 7 Risk Assessment

Consequences of section a)

For Operating Authority

When performing the 36 month (minimum) risk assessment as required in section h) the operating authority must include the potential hazardous in the referenced document.

For Auditor

If at the time of the audit – the risk assessment has already been completed and has not considered the potential hazards but is within the 36 month window then MOE has directed that it is to be accepted.

Plan and Do Element Changes

Element 12 Communications

Section c – new addition wording

The Operational Plan shall document a procedure for communications that describes how the relevant aspects of the Quality Management System are communicated between Top Management and:

c) Suppliers that have been identified as essential under Plan (a) of Element 13 of this Standard,

Consequences

Operating authority must provide evidence of communication to those specific suppliers

Plan and Do Element Changes

Element13 Essential Supplies and Services

PLAN – The Operational Plan shall:

a) identify all supplies and services essential for the delivery of safe drinking water...

“Essential” is determined by the Operating authority.

Guidance : Implementing Quality Management: A Guide For Ontario’s Drinking Water Systems

Section 15: These are supplies and services that can directly affect the delivery of safe drinking water if they are not in place when needed. Remember to consider all supplies or services that may be essential for the delivery of safe drinking water, even if they are not associated with a CCP. Think about a supply or service that could affect your ability to deliver safe drinking water to the consumer if it is not available, delivered incorrectly, or is not what you ordered.

Plan and Do Element Changes

Element 14 Review & Provision of Infrastructure

Section a – new addition

The Operational Plan shall document a procedure for reviewing the adequacy of the infrastructure necessary to operate and maintain the Subject System that:

- a) *Considers the outcomes of the risk assessment documented under Element 8,*

Consequence: a link must be drawn & demonstrated between risk outcomes and infrastructure requirements. What changes has the OA planned for its infrastructure based on the outcomes? What is the timing?

Plan and Do Element Changes

Element 14 Review & Provision of Infrastructure

Section b – wording change from annual to “*once every calendar year*”

Consequence:

As long as the review of “Infrastructure adequacy” occurs in the calendar year then it is acceptable.

Potential that the review may not have taken place at the time of the audit. Auditor must at least see that the review is scheduled and planned and that there is some indication that risk assessment outcomes of the potential hazardous are part of the agenda. It must be a systematic, conscious decision to include in the adequacy review.

Plan and Do Element Changes

Element 15 Infrastructure Maintenance, Rehabilitation and Renewal

New addition in Plan b)

PLAN – The Operational Plan shall document:

b) a long term forecast of major infrastructure maintenance, rehabilitation and renewal activities.

Consequence

OA must demonstrate/provide evidence of a long term forecast

Plan and Do Element Changes

Element 15 Infrastructure Maintenance, Rehabilitation and Renewal

New addition and wording to DO a) & b)

DO – The Operating Authority shall:

a) keep the summary of the infrastructure maintenance, rehabilitation and renewal programs current,

b) ensure that the long term forecast is reviewed at least once every Calendar Year,

Consequence: As long as the review of the “long term forecast” occurs in the calendar year then it is acceptable.

Potential that the review may not have taken place at the time of the audit. Auditor must at least see that the review is scheduled and planned. It must be a planned and systematic event.

Plan and Do Element Changes

Element 19 Internal Audits

Change in DO – from once every 12 months to “*at least once every Calendar Year.*”

Consequence: Internal audit activities may occur at greater than 12 months intervals.

Auditor must see a clear audit programme; including qualified internal auditors assigned, elements to be audited and a schedule. The plan must indicate that all elements will be audited if not within the year then within the 3 years of the certification.

However, during a V2 transition audit the OA must demonstrate that all elements with new or changed requirements have been audited internally.

Plan and Do Element Changes

Element 20 Management Review

Change in PLAN d) wording from “efficiency of risk assessment process” to “*effectiveness of risk assessment process*”

Consequence: limited to none

Change in DO a) wording from every 12 months to “*at least every calendar year*”

Consequence: Management Review may occur at greater than 12 months intervals.

Auditor must see that management review is systematic; that an agenda and date are scheduled. However, during a V2 transition audit the OA must demonstrate that it has assessed the continuing suitability, adequacy and effectiveness of the QMS based on the implementation of the new V2 requirements. Any deficiencies in implementation identified by the OA in that assessment shall have corrective action plans to address the gap.

Plan and Do Element Changes

Element 21 Continual Improvement

PLAN – The Operating Authority shall develop a procedure for tracking and measuring continual improvement...

- a) *reviewing and considering applicable best management practices, including any published by the Ministry of the Environment and Climate Change and available on www.ontario.ca/drinkingwater, at least once every thirty-six months;*

Consequence: OA must demonstrate that it tracks & measures its continual improvements –i.e. how many initiatives, measured impacts on water quality, testing, productivity, lower complaints, fewer AWQI.

OA must demonstrate it has reviewed and considered BMPs and reviewed MOECC site at least once every 36 months.

Plan and Do Element Changes

Element 21 Continual Improvement

PLAN b) documenting a process for identification and management of Quality Management System Corrective Actions that includes:

- i. investigating the cause(s) of an identified non-conformity,*
- ii. documenting the action(s) that will be taken to correct the non-conformity **and prevent the non-conformity from re-occurring,** and*
- iii. reviewing the action(s) taken to correct the non-conformity, verifying that they are **implemented and are effective in correcting and preventing the re-occurrence of the non-conformity.***

Plan and Do Element Changes

Element 21 Continual Improvement

New addition PLAN c) *documenting a process for identifying and implementing Preventive Actions to eliminate the occurrence of potential non-conformities in the Quality Management System that includes:*

- i. *reviewing potential non-conformities that are identified to determine if preventive actions may be necessary,*
- ii. *documenting the outcome of the review, including the action(s), if any, that will be taken to prevent a non-conformity from occurring, and*
- iii. *reviewing the action(s) taken to prevent a non-conformity, verifying that they are implemented and are effective in preventing the occurrence of the non-conformity.*

Plan and Do Element Changes

Element 21 Continual Improvement

A DO requirement has been added to the standard.

The Operating Authority shall strive to continually improve the effectiveness of its Quality Management System by implementing and conforming to the procedure.

Question: If the OA does not implement or conform to the procedure can it be concluded that the organization is not striving to continually improve?

DWQMS Version 2 Transition Audit Coverage

As part of Re-accreditation.

Both the off site System audit and on site Verification Audit must cover all elements and corresponding requirements.

As a Surveillance audit (S1, S2)

- Minimum requirements currently elements 3, 4, 7, 8, 19, 20, 21
- For transition the minimum elements will still be audited, but in addition all elements with new requirements; 3, 4, 7, 8, 19, 20, 21 and 6, 12, 14, 15 as a minimum.

Similarly applies to Limited Scope Transitional Audits.

DWQMS Version 2 Transition Audit Coverage

Upon successful audit and closure of any outstanding NCRs, package will be submitted for technical review and certificate issue

THANK YOU FROM SAI & NSF

QUESTIONS?