

FOR DISCUSSION PURPOSES ONLY

OCTOBER 2006

This draft Direction is being provided for discussion and consultation purposes only. The format, content and proposed wording of the Direction are subject to change.

Director's Direction for Operational Plan Submission

Definitions

1. In this Direction,

“Accreditation” means the granting of a Certificate of Accreditation by the Accreditation Body to the Operating Authority of a Subject System.

“Accreditation Audit” means an audit of the PLAN and DO requirements of the DWQMS.

“Accreditation Body” means the auditing organization recognized by the Ministry of the Environment that is responsible for the accreditation of Operating Authorities.

“Audit” means 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 the DWQMS as required by the Director's Direction.

“Auditor” means a person engaged by the Accreditation Body to conduct an audit for the purposes of accrediting or maintaining the accreditation of an Operating Authority.

“Certificate of Accreditation” means a document issued by the Accreditation Body to an Operating Authority demonstrating successful completion of Accreditation in respect of a Subject System.

“Director” means a Director as appointed by the Minister under section 6 of the *SDWA* for the purposes of section 16 of the *SDWA*.

“Documentation Review” means a process by the Accreditation Body to verify that an Operating Authority has developed and provided all of the necessary documentation for the accreditation process to proceed.

“Drinking Water Quality Management Standard (DWQMS)” means the most recent Quality Management Standard approved by the Minister in accordance with section 21 of the *SDWA*.

“Municipal Residential Drinking-Water System” means a Large Municipal Residential System or a Small Municipal Residential System as defined in O. Reg. 170/03.

“On-Site Verification Audit” means a process by an Auditor to verify that a QMS has been implemented that meets the PLAN and DO requirements of the DWQMS.

“Operating Authority” means, in respect of a Subject System, the person or entity that is given responsibility by the owner for the operation, management, maintenance or alteration of the Subject System.

“Operational Plan” means, in respect of a Subject System, the operational plan required by the Director’s Direction.

“Operational Subsystem” means a part of a Municipal Residential Drinking-Water System operated by a single Operating Authority and designated by the Owner as being an Operational Subsystem.

“Owner” includes, in respect of a drinking-water system, every person who is a legal or beneficial owner of all or part of the system, but does not include the Ontario Clean Water Agency or any of its predecessors where the Agency or predecessor is registered on title as the owner of the system.

“*SDWA*” means the *Safe Drinking Water Act, 2002*, S.O. 2002, c. 32, as amended.

“Subject System” means:

- a.) a Municipal Residential Drinking-Water System where the system is operated by one Operating Authority, or
- b.) an Operational Subsystem where two or more parts of a Municipal Residential Drinking-Water System are operated by different Operating Authorities.

“Quality Management System (QMS)” means a system to:

- a.) establish policy and objectives, and to achieve those objectives, and
- b.) direct and control an organization with regard to quality.

“Systems Audit” means a process by an Auditor to verify that an Applicant’s documented QMS meets the PLAN requirements of the DWQMS.

Application

2. This Direction, issued under Section 15 of the *SDWA* applies to Municipal Residential Drinking-Water Systems.
3. The Owner of one or more Municipal Residential Drinking-Water Systems shall ensure that one or more Operational Plan(s) are developed in accordance with this Direction for each Subject System owned by the Owner and submitted to the Director by the applicable dates established under O. Reg. XXX/XX (*Prescribed Dates for the Municipal Drinking-Water Licence Program*).

Operational Subsystems

4. Where two or more different parts of a Municipal Residential Drinking-Water System are operated by different Operating Authorities, the Owner shall:
 - a. designate each part as separate Operational Subsystems;
 - b. ensure each Operational Subsystem is operated by only one Operating Authority at any one time; and
 - c. ensure that when combined together, all the Operational Subsystems encompass the entire Municipal Residential Drinking-Water System.
5. Where the Subject System is an Operational Subsystem, the Owner shall ensure that an Operational Plan that meets all the requirements of this Direction is developed for each Operational Subsystem of the Municipal Residential Drinking-Water System.

Report to the Director

6. Within six months of the date of this Direction, the Owner of one or more Municipal Residential Drinking Water System shall select a Submission Option from the Operational Plan Submission Options outlined in Schedule B for each Subject System owned by the Owner and submit the following information for each Municipal Residential Drinking-Water System to the Director using the Form as set out in Schedule C:
 - a. The name of the Owner,
 - b. The name of the Municipal Residential Drinking-Water System,
 - c. An inventory of Operational Subsystems, if applicable, designated by the Owner for each Municipal Residential Drinking-Water System,
 - d. The name of the Operating Authority for each Subject System,
 - e. The Submission Option chosen for each Subject System, and
 - f. Contact Information
7. The selection of a Submission Option from the Operational Plan Submission Options outlined in Schedule B for each Subject System shall determine the accreditation process that the Operating Authority shall be subject to as outlined in Schedule A.

8. If the Owner is not the Operating Authority of a Subject System, the Owner shall notify the Operating Authority of each Subject System of the Submission Option selected for the Subject System and submitted to the Director further to Section 6.
9. If the information submitted in accordance with Section 6 changes prior to the issuance of the Municipal Drinking-Water Licence for the Municipal Residential Drinking-Water System, the Owner shall submit the revisions to the Director within seven days of the change.

Operational Plan Submission

10. The Operational Plan submitted to the Director further to subsection 16(2) of the *SDWA* shall be submitted in accordance with Schedule D.
11. If the Owner is not the Operating Authority, the Owner shall notify the Operating Authority forthwith of the submission of the Operational Plan further to subsection 16(2) of the *SDWA*.
12. The Operational Plan shall document the Quality Management System for each Subject System, satisfying the elements of the DWQMS identified under Submission Options 1, 2, or 3, as applicable, in Schedule B for the option selected further to Section 6 of this Direction.

Operational Plan to be Kept Current

13. The Operational Plan shall be amended within one month to reflect any changes to the ownership, management, use, or operation of the Subject System, or any alterations to the Subject System, that require an amendment to the Quality Management System.
14. The version number of the Operational Plan and the document date shall be clearly displayed on the cover of the Operational Plan.

Document and Record Retention

15. The Owner shall ensure that the following documents and records are kept for at least 10 years from the point in time when they are replaced by a new or amended document:
 - a. All versions of the Operational Plan as amended from time to time, and
 - b. Records of management reviews conducted pursuant to Element 20 of the DWQMS.
16. The Owner and operating authority shall ensure that documents and records kept in accordance with Section 15 are kept at a location where they can be conveniently viewed by the Auditor.

Public Disclosure

17. The current version of the Operational Plan and its related policies, procedures and documentation shall be made available for review by any member of the public during normal business hours without charge:
 - a. at the office of the Owner or, if the office of the Owner is not reasonably convenient to the public, at a location that is reasonably convenient to the public; and
 - b. at an office of the Operating Authority in closest proximity to the office of the Owner if the owner is not the Operating Authority.

18. Despite Section 17, the Owner or the Operating Authority of a Subject System is not required to make available any information in an Operational Plan or referenced policies, procedures and documents that a municipality is not required to disclose pursuant to Sections 10 to 14 of the *Municipal Freedom of Information and Protection of Privacy Act*.

Future Operational Plans

19. In the case where an Owner has selected Submission Option 1 for a Subject System in accordance with Section 6, the Owner shall submit a revised Operational Plan to the Director within one year of the Operating Authority receiving Accreditation (Limited Scope) from the Accreditation Body.

20. The Operational Plan submitted in accordance with Section 19 shall document the Quality Management System developed by the Owner for the Subject System, satisfying the elements of the DWQMS identified under Submission Option 3 of Schedule B.

Full Scope Accreditation

21. If Submission Option 1 or 2 is selected by the Owner of a Subject System, the Operating Authority for that Subject System shall submit an application to the Accreditation Body for a Certificate of Accreditation (Full Scope) within 12 months of the date of the issuance of the Certificate of Accreditation (Limited Scope).

□ □ □

Schedule A

Submission of Operational Plans and related Accreditation Process

The following schedule outlines the Options for Submission of Operational Plans. The Submission Option selected, from the Table in Schedule B, will identify to the Operating Authority the process by which Accreditation will be obtained.

There are two types of Accreditation available to Operating Authorities for the first submission of Operational Plans – an Initial Accreditation based on the Operational Plan documenting a Limited Scope of the DWQMS or a Full Accreditation based on the Operational Plan documenting the entire DWQMS.

The processes related to Accreditation are summarized below; however additional details are available in the Accreditation Protocol for Operating Authorities.

If Submission Option 1 is selected the Owner, must within one year of the Operating Authority receiving a Certificate of Accreditation (Limited Scope), submit an Operational Plan documenting the entire DWQMS.

The selection of Submission Option 1 or 2 will lead to the Accreditation process for the respective Submission Option as noted below. Under Submission Options 1 and 2 the Certificate of Accreditation (Limited Scope) will be issued on condition that the Operating Authority submit an application for Certificate of Accreditation (Full Scope) within 12 months of the date of the issuance of the of Certificate of Accreditation (Limited Scope).

Option 1: Limited Scope partial DWQMS

Under this Option,

Contents of Operational Plan

The Owner and the Operating Authority of a Subject System will prepare an Operational Plan that documents the PLAN requirements of the DWQMS elements specified in Schedule B - Options for Submission of Operational Plans – Submission Option 1.

Accreditation Process - Certificate of Accreditation (Limited Scope)

An Auditor will conduct a **Documentation Review, Systems Audit** and an **On-Site Verification Audit** on the PLAN and DO requirements of the DWQMS elements 1 to 8 and 19 to 21.

Option 2: Limited Scope entire DWQMS

Under this Option,

Contents of Operational Plan

The Owner and the Operating Authority of a Subject System will prepare an Operational Plan that documents the PLAN requirements of the DWQMS elements specified in Schedule B - Options for Submission of Operational Plans – Submission Option 2.

Accreditation Process - Certificate of Accreditation (Limited Scope)

An auditor will conduct a **Documentation Review** and a **Systems Audit** on the PLAN requirements of the DWQMS elements 1 to 21.

Option 3: Full Scope entire DWQMS

Under this Option,

Contents of Operational Plan

The Owner and the Operating Authority of a Subject System will prepare an Operational Plan that documents the PLAN requirements of the DWQMS elements specified in Schedule B - Options for Submission of Operational Plans – Submission Option 3.

Accreditation Process - Certificate of Accreditation (Full Scope)

An auditor will conduct a **Documentation Review**, **Systems Audit** and an **On-Site Verification Audit** on the PLAN and DO requirements of the DWQMS elements 1 to 21.

Schedule B

Operational Plan Submission Options

DWQMS Elements	Submission Option 1 Limited Scope Partial DWQMS Operational Plan Contents	Submission Option 2 Limited Scope Entire DWQMS Operational Plan Contents	Submission Option 3 Full Scope Entire DWQMS Operational Plan Contents
1. Quality Management System	PLAN	PLAN	PLAN
2. Quality Management System Policy	PLAN	PLAN	PLAN
3. Commitment and Endorsement	PLAN	PLAN	PLAN
4. Quality Management System Representative	PLAN	PLAN	PLAN
5. Document and Records Control	PLAN	PLAN	PLAN
6. Drinking-Water System	PLAN	PLAN	PLAN
7. Risk Assessment	PLAN	PLAN	PLAN
8. Risk Assessment Outcomes	PLAN	PLAN	PLAN
9. Organizational Structure, Roles, Responsibilities and Authorities		PLAN	PLAN
10. Competencies		PLAN	PLAN
11. Personnel Coverage		PLAN	PLAN
12. Communications		PLAN	PLAN
13. Essential Supplies and Services		PLAN	PLAN
14. Review and Provision of Infrastructure		PLAN	PLAN
15. Infrastructure Maintenance, Rehabilitation and Renewal		PLAN	PLAN
16. Sampling and Monitoring		PLAN	PLAN
17. Measurement and Recording Equipment Calibration and Maintenance		PLAN	PLAN
18. Emergency Management		PLAN	PLAN
19. Internal Audits	PLAN	PLAN	PLAN
20. Management Review	PLAN	PLAN	PLAN

Schedule C

Information Respecting Submission Options for Operational Plans

(The following information is to be provided separately for each Municipal Residential Drinking-Water System)

Municipal Residential Drinking-Water System

Owner of Municipal Residential Drinking-Water System:¹

Name of Municipal Residential Drinking-Water System:²

Subject Systems

	Name of Operational Subsystems (if Applicable) ³	Operating Authority ⁵	Submission Option Selected ⁶	DWIS Number(s) ⁷
Check here if the Municipal Residential Drinking Water System is Operated by one Operating Authority. Enter the Operating Authority in adjacent column ⁴				
Operational Subsystem 1:				
Operational Subsystem 2:				
Operational Subsystem 3:				
Operational Subsystem 4:				
Operational Subsystem 5:				

Add attachments if there are additional 'Operational Subsystems'

Contact Information⁸

Name	Title	Phone No(s).
Primary:		
Alternate		

Attachments Added: Yes No

Schedule C (Cont'd)

Form Notes:

1. The legal name of the Owner should be used for this entry.
2. The name of the Municipal Residential Drinking-Water System should be the name most commonly used to describe the entire system. If information or records have been submitted to the Ministry respecting this system (e.g. DWIS), using an identifier name, the name previously submitted should be used.
3. The identification of Operational Subsystem will be necessary in cases where the Municipal Residential Drinking-Water System is being operated by more than one Operating Authority. For example, if a municipality owns a treatment and distribution system but contracts the operation of the treatment system to a separate entity there will be two 'Operational Subsystems', treatment and distribution. The name used to identify these Operational Subsystems should be one that is commonly used or describes the component. For example, the Everytown Treatment System and the Everytown Distribution System as separate Operational Subsystems of the same Municipal Residential Drinking-Water System.
4. If there is only one Operating Authority for the Municipal Residential Drinking-Water System, the box should be checked as such. In this case the Subject System is the Municipal Residential Drinking-Water System and there will be no Operational Subsystems for Operational Plan purposes. The Operating Authority will need to be identified in the adjacent box.
5. The legal or corporate name of the Operating Authority should be used for this entry.
6. The entries should be made opposite each subject system as either:
 - a. "Option 1" - Meaning Submission Option 1
 - b. "Option 2" - Meaning Submission Option 2
 - c. "Option 3" - Meaning Submission Option 3
7. The contact entries should identify a person who may be contacted for clarification of information contained in the form. An alternate person may also be identified.
8. In some cases multiple DWIS numbers may exist for components of a Municipal Residential Drinking-Water System. In these cases enter all DWIS numbers. Conversely, if one DWIS number exists for multiple Subject Systems, enter the number opposite each Operational Subsystem.

Schedule D

Operational Plan Format

1. One Copy of the Operational Plan shall be submitted to the Director in both hardcopy and electronic format.
2. The electronic format shall be compatible with Microsoft Office Standard Edition 2003 or Adobe Reader.