

# MANAGEMENT SYSTEM CHANGES ANTICIPATED FROM COVID-19



#### PRESENTATION OVERVIEW

- Your key management system commitments
- *The intent* of your management system
- Early lessons learned in our COVID-19 experience
- What parts of your management systems could be updated
- Considerations for what's possible in achieving what's intended



#### KEY MANAGEMENT SYSTEM COMMITMENTS

## Our commitments are our duties.

### Drinking Water QMS:

- provide safe drinking water,
- comply with legal requirements,
- achieve continual improvement.

#### Wastewater / Stormwater EMS:

- protect the environment (incl. prevention of pollution),
- fulfill compliance obligations,
- continual improvement to enhance environmental performance.

# A SHARED RESPONSIBILITY FOR KEY MANAGEMENT SYSTEM COMMITMENTS







Public Health Ontario





Ministry of the Environment, Conservation and Parks

Ministry of Health and Long-Term Care Local
Medical
Officer of
Health

Owner

Water / Wastewater / Stormwater Utility



#### INTENT OF MANAGEMENT SYSTEMS

# "You do not rise to the level of your goals." – James Clear, Atomic Habits

- 1. Set ourselves up for success to consistently achieve what's intended from each of our processes and programs.
  - 2. When you "fall", you take actions to improve your system.

\*\*\*Recommended opportunities to improve in this presentation are in the order as the DWQMS Elements appear, starting with Element 5 Document and Records Control.

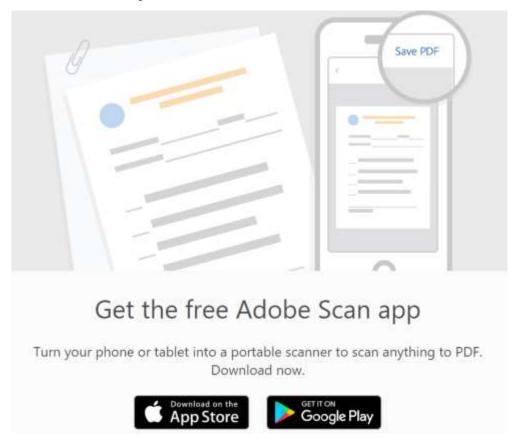
# OPPORTUNITY TO IMPROVE ACCESS TO DOCUMENTED INFORMATION



- Describe how staff access or submit information remotely?
- Regular system or a temporary solution?
- Instructions needed to remind staff how to access or submit information in the future?

**Especially important** for documents and records:

- needed to ensure the effective planning,
   operation and control of operations
- related to responding to adverse conditions



# OPPORTUNITY TO IMPROVE CONSIDERATION OF RISKS



- Are other hazardous events or environmental impacts possible in a pandemic?
- Emergency Management Ontario (EMO) updated its <u>Hazard Identification</u> and Risk Assessment (HIRA) in 2019 summary slides follow.
- Many of these represent external issues that can compound internal personnel coverage issues you may experience during a pandemic.

# EMO'S 9 SUBSECTIONS OF HAZARDS: WHICH ARE MOST LIKELY TO AFFECT UTILITIES?



## A. Agricultural & Food Emergency

- Farm Animal Disease
- Food Contamination
- Plant Disease or Infestation

#### B. Environmental

- Avalanche
- Drought or Low Water
- Earthquake
- Erosion
- Extreme Cold
- Extreme Heat
- Flood
- Fog
- High Wind

- Hurricane
- Land Subsidence
- Landslide
- Lightning
- Thunderstorm
- Storm Surge
- Tornado
- Wildland Fire
- Winter Weather

# EMO'S 9 SUBSECTIONS OF HAZARDS: WHICH ARE MOST LIKELY TO AFFECT UTILITIES?



#### C. Extraterrestrial

- Space Object Crash (Any)
- Space Weather

#### D. Hazardous Materials

- (Fixed site or in transport)
- Chemical Release
- Nuclear (Facility)
- Oil or Natural Gas Release
- Radiological Emergency

#### E. Health

- Water Quality
- Infectious Disease
- Substance Use & Overdose

#### F. Public Safety

- Active Threat
- Civil Disorder

- Crowd Disaster
- Geopolitical Pressures
- Sabotage
- CBRNE (chemical, biological, radiological, nuclear, explosive)
- Cyber Attack
- Electromagnetic Pulse (EMP)

# EMO'S 9 SUBSECTIONS OF HAZARDS: WHICH ARE MOST LIKELY TO AFFECT UTILITIES?



#### G. Structural

- Dam Failure
- Fire/Explosion
- Mine Emergency
- Structure Failure

#### H. Supply & Distribution

Communications Failure

- Electrical Energy Failure I. Transportation
- Food Shortage
- Medical Drug, Blood Product or Supplies Shortage
- Petroleum Product Shortage
- Water or Wastewater Disruption

- Aviation
- Marine
- Public Transit Systems
- Rail, Light Rail, Subway
- Road and Highway

# OPPORTUNITY TO IMPROVE CONSIDERATION OF RISKS



For *drinking water*, the MECP also identifies <u>Potential hazardous events for municipal drinking water systems to consider in the risk assessment</u>:

Hazardous Event / Hazard	Hazardous Event / Hazard			
Long-term impacts of climate change	Sustained pressure loss			
Water supply shortfall	Backflow			
Extreme weather events	Sudden changes to raw water characteristics			
Sustained extreme temperatures	Failure ofprimary disinfection			
Chemical spill impacting source water	Failure ofsecondary disinfection			
Terrorism and vandalism actions	Algal blooms			

# OPPORTUNITY TO IMPROVE CONSIDERATION OF CHANGING RISKS



- Build resiliency now: What control measures and/or response procedures can be developed to address changing risks (temporarily or on a permanent basis)?
  - Low flow / low water use conditions ID new risk areas (from water use data);
     set-up controls (run water?); response procedures (flush @ CCL triggers)
  - Changing ICI operations (e.g. industrial automotive customer switched to medical device production) adversely impacting WWT operations
- Is any part of your operation less reliable and less redundant in a pandemic?
- Risk assessment update in 2020.

## OPPORTUNITY TO IMPROVE CLARIFICATION OF ROLES, RESPONSIBILITIES, AUTHORITIES



- Your management system describes roles, responsibilities and authorities.
- Review descriptions re: "authorities" (esp. in your pandemic experience).
- Are you authorized to carry-out your responsibilities, as described?
  - As established in "normal operating conditions"
  - Under "special circumstances", such as in a declared emergency?
- Especially important to understand your authorities in failures / emergency situations

## OPPORTUNITY TO IMPROVE AVAILABILITY OF STAFF TRAINING





## 300+ co-op students help Waterloo transition to online courses

The University of Waterloo is leveraging more than 300 co-op students to support faculties in the development and delivery of new online academic courses.

Message from the University of Waterloo (May 15, 2020): all large classes will happen online this fall; some classes and supports will be available in-person...

## OPPORTUNITY TO IMPROVE AVAILABILITY OF STAFF TRAINING



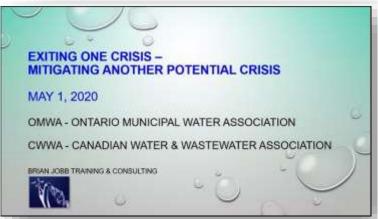












# OPPORTUNITY TO IMPROVE PERSONNEL COVERAGE WITH O. REG. 75



Emergency order issued for drinking water systems and sewage works through Ontario Regulation 75/20.

The reg. *outlines conditions* under which:

- non-certified / non-licensed staff can be used & redeployed (record-keeping req'ts)
- OIC / ORO responsibilities and duties can be assigned

#### **ONTARIO REGULATION 75/20**

made under the

#### EMERGENCY MANAGEMENT AND CIVIL PROTECTION ACT

Made: March 23, 2020 (5:00 pm) Filed: March 23, 2020
Published on e-Laws: March 24, 2020
Printed in The Ontario Gazette: April 11, 2020

#### ORDER UNDER SUBSECTION 7.0.2 (4) OF THE ACT - DRINKING WATER SYSTEMS AND SEWAGE WORKS

Whereas an emergency was declared pursuant to Order in Council 518/2020 (Ontario Regulation 50/20) on March 17, 2020 at 7:30 a.m. Toronto time pursuant to section 7.0.1 of the Emergency Management and Civil Protection Act (the "Act");

And Whereas the criteria set out in subsection 7.0.2 (2) of the Act have been satisfied

And Whereas drinking water systems and sewage works provide essential public services and the owners and operating authorities of these systems and works are being, or are at serious risk of being, overwhelmed and unable to properly operate these systems or works due to the outbreak of coronavirus (COVID-19);

Now Therefore, this Order is made pursuant to subsection 7.0.2 (4) of the Act, in particular, paragraphs 8, 9, 12 and 14, the terms of which are set out in Schedules 1 and 2:

And Further, this Order shall apply generally throughout Ontario.

And Further, this Order shall be in effect for the duration of the declared emergency, subject to section 7.0.8 of the Act.

#### SCHEDULE 1 DRINKING WATER SYSTEMS

Despite paragraphs 3 and 5 of subsection 11 (1) and section 12 of the Safe Drinking Water Act, 2002 ("SDWA"), and sections 22, 23, and 25 of O. Reg. 128/04 (Certification of Drinking Water System Operators and Water Quality Analysts) made under the SDWA, the following persons may operate a municipal drinking water system or regulated non-municipal drinking water system

\*Inform Ministry's SAC (1-800-268-6060 or <a href="mailto:awqi.reporting@Ontario.ca">awqi.reporting@Ontario.ca</a>) as soon as you anticipate difficulties such as: inability to collect samples, lack of staffing resources, supply issues, or a break in continuity of operations.

# OPPORTUNITY TO IMPROVE PERSONNEL COVERAGE WITH O. REG. 75



Consider how the records you are creating during the pandemic may be used in the future

#### Records keeping

who is doing what and how is it being logged?

Will the records be evaluated during an audit or inspection?

#### Training requirements and certification

- what adjustments have been made to your tracking process?
- Will previously documented processes continue to be applicable when things return to 'normal'?

# OPPORTUNITY TO IMPROVE PERSONNEL COVERAGE RE: PANDEMIC HEALTH & SAFETY



- H&S strategies special PPE provided (new suppliers' contact info listed?)
- Management, administrative, technical staff working remotely / staggered days at site
- Physical distancing of operational staff
  - Team assignments at different locations
  - Team assignments with days on / off
  - Individual assignments / individual vehicles
  - High priority only: CCP-related / SEA-related
  - Suspended lower priority work

# RESPONSE GOALS

- Safety & Health of All Responders
- 2. Save Lives
- 3. Reduce Suffering
- 4. Protect Public Health
- 5. Protect Critical Infrastructure
- 6. Protect Property
- 7. Protect the Environment
- 8. Reduce Economic & Social Losses

# OPPORTUNITY TO IMPROVE COMMUNICATIONS USING WEB-BASED TOOLS



















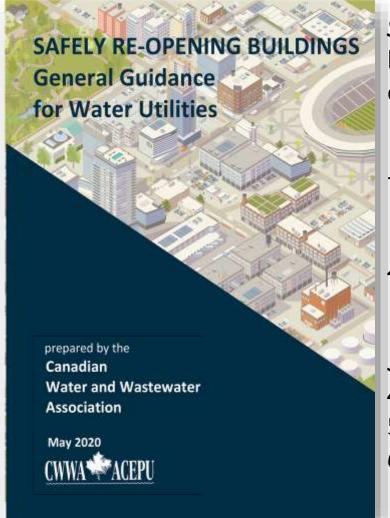






# OPPORTUNITY TO IMPROVE COMMUNICATIONS WITH CWWA GUIDANCE

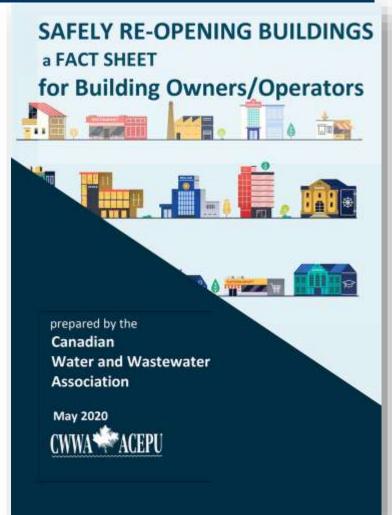




Share effectively: website, social media, hand delivery, MOH, PHI's, chambers of commerce, BIA's, sector associations

#### Checklist to:

- Make a plan ID zones, equipment, pumps, tanks, valves, pipes, fixtures, food / coffee units, etc.
- 2. Flush cold water first, then hot through: plumbing, equipment, storage.
- 3. Clean / disinfect all taps and fixtures.
- 4. Shock disinfection by pro. if needed.
- 5. Keep *hot water tanks > 60°C*
- Test for disinfectant residual.



# OPPORTUNITY TO IMPROVE AVAILABILITY OF ESSENTIAL SUPPLIES / SERVICES



- Essential to operations, mtg. spec.:
  - chemicals, equipment, parts, labs
- your *corporate services* support:
  - IT, media / public communication, fleet, payroll, procurement, by-law
- fuel providers, power, electrical and back-up generation
- SCADA, instrumentation & security
- *telecommunications* & *network* providers

- utility *locates*-related
- distribution / collection system:
  - dump trucks, excavators, contractors
- maintenance-related
  - electrical / mechanical / millwright / plumbing
- health & safety / PPE-related
- *call centre* support
- spills response contractors

# OPPORTUNITY TO IMPROVE INFRASTRUCTURE PROJECTS & MAINTENANCE PROG'S



- Are risk-based infrastructure projects proceeding in 2020 or deferred?
- Are risk-based maintenance (CCP- & SEA-related) activities effective?
- Are lower risk maintenance activities continuing or deferred?
- Report any deviations through Management Review and to the Owner
- Note all exceptions to rules and update in pandemic contingency plans

# OPPORTUNITY TO IMPROVE EMERGENCY PREPAREDNESS





16 April 2020

Share on Twitter, Facebook, Linkedin

The below list has been compiled to support global efforts in dealing with the COVID-19 crisis. They are freely available in read-only format.

#### RELATED INFORMATION

#### **COVID-19: NATIONAL RESOURCES**

This page is dedicated to featuring national resources developed by ISO members to support the fight against COVID-19.

## FREE ACCESS TO ISO STANDARDS FOR EMERGENCY

### HTTPS://WWW.ISO.ORG/COVID19



- •ISO 374-5:2016, Protective gloves against dangerous chemicals and micro-organisms - Part 5: Terminology and performance requirements for micro-organisms risk
- •ISO 10651-3:1997, Lung ventilators for medical use Part Tests for emissions of particulate matter 3: Particular requirements for emergency and transport ventilators
- •ISO 10651-4:2002, Lung ventilators Part 4: Particular requirements for operator-powered resuscitators
- •ISO 10651-5:2006, Lung ventilators for medical use Particular requirements for basic safety and essential performance — Part 5: Gas-powered emergency resuscitators
- •ISO 10993-1:2018, Biological evaluation of medical devices – Part 1: Evaluation and testing within a risk management process
- •ISO 13485:2016, Medical devices Quality managemen systems - Requirements for regulatory purposes
- •ISO 13688:2013, Protective clothing General requirements
- •ISO 17510:2015, Medical devices Sleep apnoea breathing therapy — Masks and application accessories
- •ISO 18082:2014, Anaesthetic and respiratory equipment
- Dimensions of non-interchangeable screw-threaded (NIST) low-pressure connectors for medical gases [Including resilience – Principles and attributes ISO 18082:2014/AMD 1:2017, AMENDMENT 1]
- •ISO 18562-1:2017, Biocompatibility evaluation of breathing gas pathways in healthcare applications — Part 1:— Conical connectors — Part 1: Cones and sockets

- Evaluation and testing within a risk management process •ISO 18562-2:2017, Biocompatibility evaluation of
- breathing gas pathways in healthcare applications Part 2:essential performance of critical care ventilators
- •ISO 18562-3:2017, Biocompatibility evaluation of breathing gas pathways in healthcare applications — Part 3:essential performance of an anaesthetic workstation
- Tests for emissions of volatile organic compounds (VOCs) •ISO 18562-4:2017, Biocompatibility evaluation of
- breathing gas pathways in healthcare applications Part 4:13:2011/Amd.2:2018, AMENDMENT 2] Tests for leachables in condensate
- •ISO 19223:2019, Lung ventilators and related equipment Vocabulary and semantics
- •ISO 20395:2019, Biotechnology Requirements for evaluating the performance of quantification methods for nuclaic acid target convences — aPCR and dPCR
- •ISO 22301:2019, Security and resilience Business continuity management systems –Requirements
- •ISO 22395:2018, Security and resilience Community resilience – Guidelines for supporting vulnerable persons in Part 2-79: Particular requirements for basic safety and an emergency
- •ISO 22320:2018, Security and resilience Emergency management – Guidelines for incident management
- •ISO 22316:2017, Security and resilience Organizational
- •ISO 31000:2018, Risk management Guidelines
- •ISO 5356-1:2015, Anaesthetic and respiratory equipment

- •ISO 80601-2-12:2020, Medical electrical equipment Part 2-12: Particular requirements for basic safety and
- •ISO 80601-2-13:2011, Medical electrical equipment Part 2-13: Particular requirements for basic safety and [Including: ISO 80601-2-
- 13:2011/Amd.1:2015, AMENDMENT 1 and ISO 80601-2-
- •ISO 80601-2-70:2015, Medical electrical equipment Part 2-70: Particular requirements for basic safety and essential performance of sleep apnoea breathing therapy equipment
- •ISO 80601-2-74:2017, Medical electrical equipment Part 2-74: Particular requirements for basic safety and ssential performance of respiratory humidifying equipment
- ISO 80601-2-79:2018, Medical electrical equipment ssential performance of ventilatory support equipment for entilatory impairment
- ISO 80601-2-80:2018, Medical electrical equipment art 2-80: Particular requirements for basic safety and ssential performance of ventilatory support equipment for entilatory insufficiency
- ISO/TS 16976-8:2013, Respiratory protective devices Human factors — Part 8: Ergonomic factors

# OPPORTUNITY TO IMPROVE EMERGENCY MANAGEMENT – TRAINING & TESTING



- In 2020, the pandemic can be your emergency training and test exercise (along with other actual emergencies), as long as you conduct a debrief and track improvement.
- Debrief: involve as many different perspectives as possible, answer:
  - 1. why did this happen?
  - 2. what **went well**?
  - 3. what *didn't go well*?
  - 4. other opportunities for improvement (OFI's) / lessons learned?
- Link OFI's to the *continual improvement tracking* mechanism you have in place.

# OPPORTUNITY FOR IMPROVED AUDIT PROGRAM



- **Remote audits are permitted** through:
  - Accreditation protocol operating authorities municipal drinking water systems
  - *ISO 19011:2018* Guidelines for auditing management systems ref's "remote audits" [s.5.4.3 k); s.5.4.4 g); s.5.5.3; Annex A.1; Table A.1; Annex A.15 c); Annex A.16)]
  - *IAF MD4:2018* The use of information and communication technology (ICT) for auditing / assessment purposes
- Can use information and communication technologies (ICT)
- More specific audit planning (person-by-person for phone / web-based interviews).

# ISO 19011:2018 GUIDELINES FOR AUDITING MANAGEMENT SYSTEMS (ANNEX AI)



<b>Extent of involvement</b>	Location of the auditor				
between the auditor and the auditee	On-site	Remote			
Human interaction	Conducting interviews Completing checklists and questionnaires with auditee participation Conducting document review with auditee participation Sampling	Via interactive communication means:  — conducting interviews;  — observing work performed with remote guide;  — completing checklists and questionnaire			
	Sampling	<ul> <li>conducting document review with auditee participation.</li> </ul>			
No human interaction	Conducting document review (e.g. re- cords, data analysis)	Conducting document review (e.g. re- cords, data analysis)			
	Observing work performed Conducting on-site visit Completing checklists Sampling (e.g. products)	Observing work performed via surveil- lance means, considering social and stat- utory and regulatory requirements Analysing data			

On-site audit activities are performed at the location of the auditee. Remote audit activities are performed at any place other than the location of the auditee, regardless of the distance.

# ALL AUDITS SHALL PLAN FOR RISKS & OPPORTUNITIES



#### For remote audits, risks:

- Information and communication tech
   (ICT) availability / capability / reliability
- Auditee ICT knowledge / familiarity
- Evidence might not be representative
- Auditing teams is more difficult
- Could require additional follow-up and/or follow-up on-site audit

#### For remote audits, opportunities:

- Allows for internal and external audits to be conducted during extraordinary times
- Developing familiarity with tools benefits staff in using ICT tools for other reasons
- More efficient with auditees' time, can follow-up with requested information
- Supports business continuity. New normal?

"Early feedback is that customers prefer remotes. Lower cost, less invasive, improved logistics and for the most part, stable technology platforms." - a leading global certification body

# FAQ'S RE: AUDITING DURING THE PANDEMIC



#### Would we get an NCR if we are not able to audit on-site during the pandemic?

- Everyone is experiencing same issue (re: limited / no access to sites)
- For 2020, audit *scope can be framed* to what is *reasonable / accessible*
- Your *audit report can note deviations* (what could not be verified in-person)
- Auditing standards permit remote management system audits

#### Is it ok for the QMS Rep to audit the Operational Plan (OP) during the pandemic?

- S. 4 of ISO 19011 includes a *principle of independence* (impartiality / objectivity)
- The standard recognizes for *small organizations*, this *might not be possible*
- "every effort should be made to remove bias and encourage objectivity"
- Options: defer your internal audit to a later time as "calendar year" gives flexibility;
  have another OA colleague perform your internal audit remotely; have an
  independent, not-yet-trained colleague conduct the audit (note / report deviations)

# FAQ'S RE: AUDITING DURING THE PANDEMIC



#### What if we don't have sufficient staff capacity to participate in an upcoming external audit?

- Both of the accreditation bodies are *currently scheduling remote audits* where it is practical and the *operating authority is capable of participating in an audit*.
- Reach out to your *accreditation body* to review how an audit may work for your system under current circumstances.

## OPPORTUNITY FOR IMPROVED MANAGEMENT REVIEW



Summarize any challenges experienced from the pandemic under the following Management Review agenda items (and others, as applicable):

- D) effectiveness of risk assessment process (any changes required?)
- E) internal / third-party *audit results* (report *any deviations from normal*)
- F) results of emergency response testing (summarize pandemic debrief results)
- G) summarize *operational performance* (and *any deviations* from normal)
- N) infrastructure review (*risk-based infrastructure projects proceeded or not?*)
- P) staff suggestions (esp. on how we can be better prepared in future)

Summarize deficiencies, decisions, and action items; and report to Owner

# OPPORTUNITY FOR IMPROVED CONTINUAL IMPROVEMENT PROGRAM



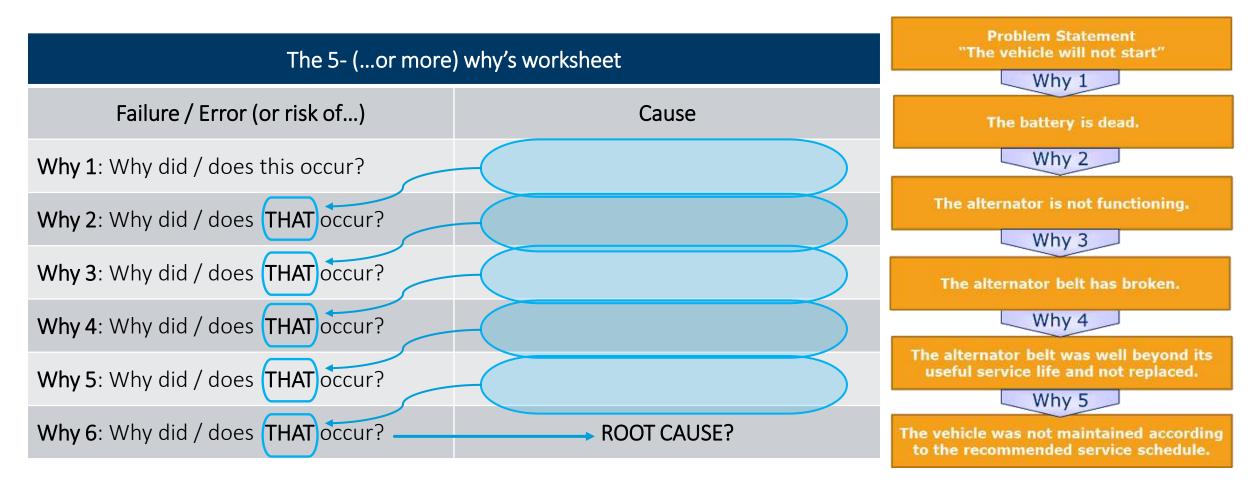
#### Continual Improvement Report (CIR) Spreadsheet

CIR# (yyyy-#	Issue Date	Issue Source	Issue Description	Action Taken or Comment	Assigned to:	Action Description	Date Confirmed Effective	Date Closed
2019-01	2019-01-30	Conformance - General	Consider establishing a spreadsheet as a method to track and measure continual improvement from a variety of sources (as listed in "Drop-down details" tab)		A. Person	Improvement		

 Track actions for improved preparedness through the implementation of best management practices, preventive actions, opportunities for improvement – look at debrief results, don't wait for non-conformities.

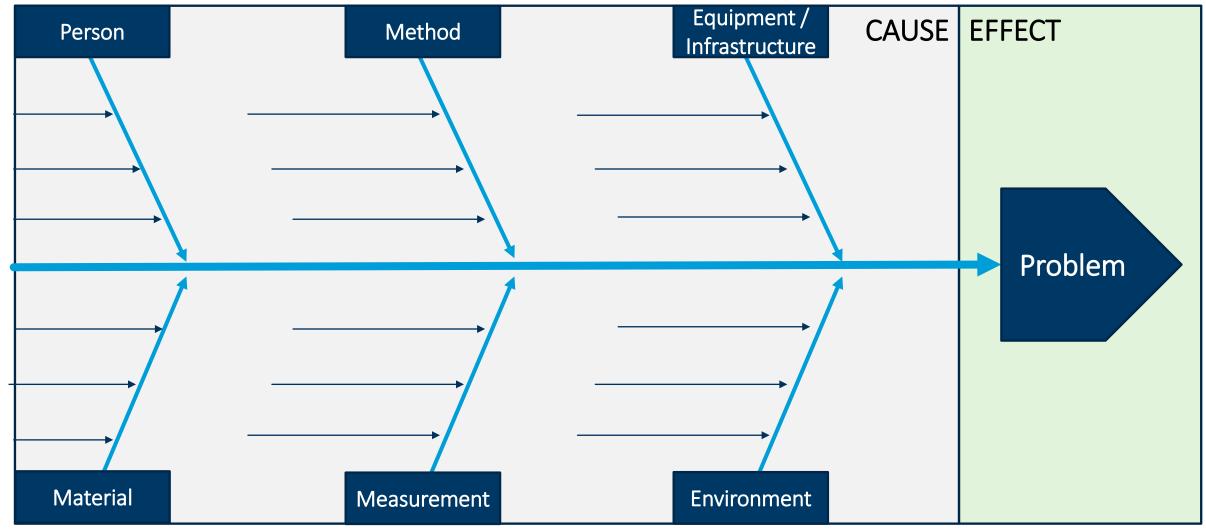
# 5 WHY'S TO HELP SOLVE PROCESS / PROGRAM WEAKNESSES & FAILURES





# ISHIKAWA (FISHBONE) DIAGRAM TO HELP SOLVE PROCESS / PROGRAM WEAKNESSES & FAILURES







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- protect the environment (incl. prevention of pollution),
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#### THANK YOU!

For more information or any questions, please contact:

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Licensing Program Coordinator
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<u>christopher.manning@ontario.ca</u> <u>www.ontario.ca/drinkingwater</u>