



GUIDE

for Applying for the

First Drinking Water Works Permit and Municipal Drinking Water Licence and Submission of the First Operational Plans

Further to the requirements of
O. Reg 188/07
Licensing of Municipal Drinking Water Systems

SAFE DRINKING WATER BRANCH

October 2008

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FOREWORD

With the proclamation of section 33 of the *Safe Drinking Water Act, 2002* (SDWA) in May of 2007, the Ministry of the Environment began a transition from an approvals process referred to as the Certificate of Approval (C of A) Program for municipal drinking water systems to the new Municipal Drinking Water Licensing Program. This transition will occur over several years starting in 2008 as voluntary applications and submissions commence in advance of mandatory submission dates contained in O. Reg 188/07.

Cs of A currently provide the authority to establish or alter a municipal residential drinking water system as well as use or operate the system. Through the implementation of the Licensing Program, the authority to establish or alter a system will be provided through a Drinking Water Works Permit (DWWP) and the authority to use or operate will be provided through a Municipal Drinking Water Licence (Licence). The DWWP will also provide a description of the drinking water system.

Operational Plans document the Quality Management System (QMS) for a 'subject system' based on the Drinking Water Quality Management Standard (DWQMS). A 'subject system' is a municipal residential drinking water system, or portion of a system, which is operated by a single operating authority. It is anticipated that Operational Plans will typically be prepared on behalf of owners by the operating authority of the subject system in consultation with the owner of the system, if the owner is different than the operating authority.

This new approach to the approval of drinking water systems is linked to several recommendations of Justice O'Connor in his *Report of the Walkerton Inquiry, Part Two*.

The requirement to submit an application for a Licence and a DWWP as well as submit an Operational Plan applies to owners of large and small municipal residential drinking water systems as defined in **O. Reg. 170/03 – Drinking Water Systems**. Owners of these systems must make the required submissions on or before the dates prescribed by **O. Reg. 188/07 – Licensing of Municipal Drinking Water Systems**.

While every effort has been made to ensure the accuracy of the information contained in this guide, it should not be construed as legal advice. If proponents/users of this guide have any doubts or questions regarding legal aspects of the document, they should consult their legal counsel.

PURPOSE AND APPLICABILITY

This Guide is intended to provide guidance and application forms for owners applying for their first DWWP and Licence as well as the submission of an Operational Plan in response to the requirements contained in **O. Reg. 188/07, Licensing of Municipal Drinking Water Systems Regulation**.

This guide has been developed to be read in concert with the ministry document entitled **OVERVIEW GUIDE – Municipal Drinking Water Licensing Program**. The **Overview Guide** is Schedule A to this document, and provides context and linkage with all aspects of the Licensing Program. It also provides significant guidance on the nature and extent of information to be provided to the Director in support of applications for a Licence and DWWP as well as the submission of the Operational Plan.

This Guide should be read in concert with the Overview Guide.

Until a Licence is issued for a system, approvals for any alterations to the system will occur through the existing C of A process. Further information respecting applications for Cs of A can be found in the ministry's publication **Guide on Applying for Approvals Related to Municipal and Non-Municipal Drinking Water Systems – Revised November 2003**.

During the transition period between the application for a first DWWP and Licence for an existing drinking water system and the issuance of these instruments, proponents of works should continue to apply for Cs of A as required through the C of A process. The ministry will monitor applications made for Cs of A during this period and will incorporate decision made in the interim into the DWWP and Licence when they are issued.

Once a DWWP and a Licence have been issued for a drinking water system, authority to alter the system will be provided through an amendment(s) to the DWWP and any related amendment(s) that may be required to the Licence. The process and information requirements for amendments to the DWWP and the Licence will be contained in the '**Guide on Applying for DWWP and Licence Amendments, Licence Renewals and New System Requirements**' (under development).

Applications for new drinking water systems should be made either through the C of A process, or the DWWP process depending on the date of the application for these systems. Section 32 (1) of the SDWA states that applications made for a new system and made before the date prescribed for the owner of the system in O. Reg. 188/07 should apply for a C of A. Applications for new systems made after the date prescribed for the owner of the system in O. Reg 188/07 should apply for a combination DWWP and Licence. A new system is one for which no components of the system existed prior to the application.

Pursuant to the provisions of the SDWA and O. Reg. 170/03, an application for a Licence and a DWWP and the submission of Operational Plan(s) are not required in the case of a non-municipal drinking water system or a municipal non-residential drinking water system.

Acronyms and Terms

SDWA	<i>Safe Drinking Water Act, 2002</i>
PTTW	Permit to Take Water
Licence	Municipal Drinking Water Licence
DWWP	Drinking Water Works Permit
SDWB	Safe Drinking Water Branch
EAAB	Environmental Assessment and Approvals Branch
C of A	Certificate of Approval or "Approval" under the SDWA
Director	A Director appointed for purposes of specified sections of the SDWA
DWQMS	Drinking Water Quality Management Standard
QMS	Quality Management System

PART I - GENERAL INFORMATION AND INSTRUCTIONS FOR APPLICATIONS/SUBMISSIONS

The following table indicates where general information can be obtained in the Overview Guide respecting the Licensing Program including submission of applications for a DWWP and a Licence and the submission of Operational Plans for acceptance.

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1. Where to File Applications and What to Include

Applications for the first DWWP and Licence, including the submission of the Operational Plan(s) for acceptance should be made to the:

Director, Section 33, SDWA,
c/o Manager, Approvals and Licensing,
Safe Drinking Water Branch,
Ministry of the Environment,
2 St. Clair Avenue West, 19th Floor,
Toronto Ontario,
M4V 1L5

The submission should include a completed application form, together with the required supporting information.

2. Screening of Submissions

Upon their receipt by the Safe Drinking Water Branch of the ministry, the submissions will be pre-screened for completeness of the application forms. Based on the results of the examination of the submission, the Application Processor will generate a letter of acknowledgement and mail it to the owner.

3. Public Notification and Access to Application Information

The release of information contained in application forms and documentation submitted in support of applications for approval is subject to the provisions of the *Freedom of Information and Protection of Privacy Act*. This Act defines what may, and what may not, be disclosed to the public, and is used to assess all requests for information contained in the documents on file with applications for approval.

The applicant should therefore identify all documents, or portions of documents, which are to be considered confidential. The applicant should refer to the exemptions from disclosure set out in sections 12 to 23 of *Freedom of Information and Protection of Privacy Act, R.S.O. 1990*, and in particular, section 17, third-party information. This evidence will be one of the factors the ministry would consider when making a decision regarding disclosure of specific documents on file.

4. False Information

Through a reference to section 138, it is an offence under section 140 of the *SDWA* to knowingly give false information to the ministry in respect to matters under the Act or regulations.

Under sections 141 and 142, the penalties for this violation could result in fines of up to \$50,000 for the first conviction and fines up to \$100,000 and/or imprisonment up to one year for each subsequent conviction where the offence is committed by an individual, and \$250,000 and \$500,000 respectively where the offence is committed by a corporation.

5. Questions Regarding Submissions

For any assistance or advice regarding making submissions further to the requirements of O. Reg 188/07, the Safe Drinking Water Branch of the ministry may be contacted as follows:

Tel. (416) 314-1651 or (Toll Free) 1-877-955-5455
Fax. (416) 314-1037
e-mail: mdwlp@ontario.ca

Further information may also be obtained through the Municipal Drinking Water Licensing Program webpage on the Drinking Water Ontario portal at www.ontario.ca/drinkingwater

Part II: Information Requirements

Instructions for Completing the Application Forms

It is anticipated that most owners will be submitting an application for a DWWP, a Licence and the acceptance of the Operational Plan as one overall submission. If this is the case, all sections of the application forms must be completed. The application forms have, however, been compiled in such a manner that an owner may make these submissions separately. This does not, however, relieve the owner from ensuring that all of the submissions required by O. Reg. 188/07 are undertaken by the dates prescribed in the regulation.

The identified sections of the application form must be completed for the respective applications if done so individually:

Information to be provided	Application for a DWWP, Licence & Operational Plan(s) Acceptance	Application for a DWWP only	Application For Operational Plan(s) Acceptance only	Application for a Licence only*
1. Owner of Drinking Water System	✓	✓	✓	✓
2. Owner Mailing Address	✓	✓	✓	✓
3. Technical Information Contact	✓	✓	✓	✓
4. General Information – Drinking Water System	✓	✓	✓	✓
5. Treatment System Information	✓	✓		
6. Pumping System Information	✓	✓		
7. Storage/Reservoir Information	✓	✓		
8. Other System Component Information	✓	✓		
9. Distribution System Information	✓	✓		
10. Drinking Water Works Permit	✓			✓
11. Operational Plans(s)/Accreditation Status	✓		✓	✓
12. Permit(s) to Take Water	✓			✓
13. Raw Water Information	✓			✓
14. Freedom of Information and Protection of Privacy	✓	✓	✓	✓
15. Application/Declaration	✓	✓	✓	✓

* Note: An application for a Licence only may be submitted with the information identified, however, the Licence will not be issued until all information required for the Licence, DWWP and Operational Plan acceptance has been submitted and reviewed by the Director. An application for a Licence only would typically occur in the case where applications for a DWWP and Operational Plan Acceptance have previously been submitted.



General Information

The following provides further explanations on completing the application forms attached to Schedule C of this guide. The application forms will be available as a fill-able '.pdf' document on the ministry's Drinking Water Ontario portal, which may be printed and signatures applied for submission.

1. Owner of Drinking Water System

A. Owner Name

This is the name of the owner of the drinking water system as it would appear on legal documents associated with the owner. The owner will receive the DWWP, the Licence and the Notice of Acceptance of Operational Plans.



2. Owner Mailing Address

A. B. C. D. E. F. Owner Address

This is the address the owner wishes to use for the purpose of receiving correspondence associated with the applications. It will need to include the street number, unit identifier, municipality, province and postal code as applicable. If the formal mailing address includes a post office box, rural route or general delivery it should be identified accordingly in A. In the event the owner of the system has a non-Ontario Address, identify the particulars in the most appropriate box (e.g. enter Zip Code instead of Postal Code)

G. Attention and H. Position or Title

Enter information into boxes G. and H. to identify a specific person, along with their position or title, within the owner's organization in order to facilitate delivery of correspondence to the appropriate person.



3. Technical Contact Information

A. Name, B. Employer

The applicant should identify the technical information contact person. This would be the person ministry staff would contact in the event further dialogue was required on information submitted in support of the applications.

C. D. E. F. G. H. Contact Address

This would be the address used in respect of the technical contact person.

I. J. K. Additional Contact Information

This provides further contact information including telephone number, fax number and e-mail address.



4. General Information – Drinking Water System

A. System Identifier Name

The name entered here should be a name that identifies the municipal residential drinking water system as a whole. This name will be used to identify the system on the DWWP and the Licence. In most cases this may be a simple and logical descriptor such as the 'Broken Antler Treatment and Distribution System'. The name entered should identify and represent the entire system which may include multiple treatment, pumping or storage systems as well as the distribution system.

B. System Type

The applicant need only identify whether the system includes treatment only, treatment and distribution or a distribution system only which receives all of its treated water from another system

C. System Operating Authority(ies)

The owner is required to identify all operating authorities operating the drinking water system. This is to be done by attaching a copy of a completed Schedule C for the Municipal Drinking Water System prepared in accordance with the ***Director's Directions – Minimum Requirements for Operational Plans – July 2007***



Information Requirements for the Drinking Water Works Permit

The primary purpose of information being submitted in support of an application for the first DWWP is to enable the Director to describe the drinking water system in the permit. Subsequent amendments to the DWWP will authorize alterations to the system and incorporate alterations into the system description.

The description information requirements have been categorized into five types of components

- Treatment System Information
- Pumping System Information
- Storage/Reservoir System Information
- Other System Component Information
- Distribution System Information

5. Treatment System Information

The ministry intends to primarily use system description information contained within consolidated treatment Cs of A to prepare the treatment system description for the DWWP. There may be multiple treatment subsystems within each drinking water system, each with their own consolidated C of A. The applicant is asked to identify the reference names of treatment subsystems (e.g. A.B. Smith Memorial Water Treatment Plant) including the latest consolidated C of A number for these to ensure consistency in developing the description from these documents.

Treatment includes raw water source treatment or any supplementary in-system treatment such as chlorine boosting.

Check as Applicable

The applicant is required to check one of three boxes:

- A.** The first box should be checked if there is only one discrete treatment system within the drinking water system.
- B.** The second box should be checked if there are multiple discrete treatment systems at different locations within the drinking water system.

In the case of well supplies, a discrete treatment system is one which is associated with a separate unit process of treatment/disinfection. Multiple wells (without treatment at the well location) providing a source water supply to a treatment/disinfection unit process would represent a single, separate treatment system. The location of the treatment system should be the location of the treatment/disinfection unit process which may, or may not be at the well location.

If this box is checked it will be necessary to provide the information required by F through to P, (as applicable) for each discrete treatment system. This would take the form of an attachment to the application with all of the treatment information provided in each case.

- C.** This box would be checked if the drinking water system receives some or all of its treated water from another drinking water system.
- D.** This box would be checked if the drinking water system receives all of its treated water from another system and does not provide any supplementary in-system treatment.

E. If either box C. or D. has been checked the other systems providing treated water should be identified.

F. Treatment System Identifier Name

The name entered here should be a name that identifies the treatment system component. If a name does not already exist, one should be developed. In the case of a single treatment system, this may be a simple name such as the 'Broken Antler Water Treatment Plant'. If there are multiple treatment system components the name should uniquely identify the component and distinguish it from other treatment systems e.g. A. B. Smith Treatment Plant, Well No. 1, Elm Street Well, etc. This name will be included and referenced in the Drinking Water Works Permit and may be referenced in the Licence.

G. H. I. J. K. L. M. Treatment System Location

- **Site Address (Street Information)** - the type of address used in urbanized areas, consisting of Street Number, Name, Type and Direction, and Unit Identifier, e.g., 437 Park Drive West, Unit 7, **or**
- **Survey Address (Lot/Concession)** - the type of address used in rural and suburban areas of subdivided municipalities, consisting of Lot and Concession Number, e.g., Lot 22, Concession VII, Survey Address need not be completed if a site street address has been provided.
- or**
- **Survey Address (Lot/Plan)** - the type of address used in unsubdivided townships and unsurveyed territories, consisting of Lot Number, and Reference Plan Name and/or Number, e.g., Lots 4, 5 & 6, Plan 4. Survey Address need not be completed if a site street address has been provided.
- **Other Non-Address Information** - this is any additional information which may clarify location of the site, it may include the community name, location in relation to roads and intersections, etc.
- **Geo Reference** - this is the geographic location of the site identified as coordinates (UTM Easting and Northing) of the site's main point of reference (e.g., the approximate centre of the treatment plant) in the Universal Transverse Mercator (UTM) grid adopted for this purpose by the ministry.

The geo-reference information required to be provided is as follows:

- **Map Datum** -this is the UTM datum of the map or GPS (Global Positioning System) used to specify position of the point of reference; currently, there are two map datums in use in North America, namely, the North American Datum 1927 (NAD27) and NAD83. The NAD83 is preferred as the current Ontario Base Maps are constructed using this datum, however NAD27 is acceptable.
- **Zone** - this is the UTM Zone within which the site is located; there are four UTM Zones within Ontario, namely 15, 16, 17 and 18.
- **Accuracy Estimate** - this is the accuracy (+/- metres) of the provided UTM Northing and Easting coordinates for the point of reference; the accuracy of the data depends on the method the data is generated, e.g., the accuracy of direct geodetic survey may be less than 1 metre, a GPS (depending on its quality) may guarantee accuracy from 1-10 metres to more than 10-30 metres, and a topographic map a 10-100 metre accuracy.

- **Georeferencing Method** - this is the method used to generate the data for the provided UTM Northing and Easting coordinates for the point(s) of reference; it could be a determination by geodetic survey, or estimation from a map, a GPS or the Gazetteer http://geonames.mcan.gc.ca/index_e.php or any other specified method.
- **UTM Easting** - this is the distance in metres east from the western delimiter of the UTM Zone to the point of reference.
- **UTM Northing** - this is the distance in metres from the equator to the point of reference.
- **Municipality/Unorganized Township** - this is the name of the lower tier municipality or unorganized (geographic) township (not the name of the community/settlement), and it must include the type of municipality (i.e., City, Town, Village, Township, or geographic township), e.g., Barrie City, Cardinal Village, Rideau Township, Canis Bay geographic township.
- **County/District** - this is the name of the upper tier municipality (Regional Municipality, County or District Municipality), or geographic District or territory within which the Municipality/Unorganized Township is located.

Note: Provide the name only (without the type of the upper tier municipality/geographic district), e.g., Halton (for R.M. of Halton), Simcoe (for County of Simcoe), or Algoma (for District of Algoma).

N. Certificates of Approval

The applicant should enter the last known C of A numbers and issue dates in the form. The treatment system components of the drinking water system would have been consolidated into one C of A for each treatment system as part of the Engineers' Reports submission and review process required under O. Reg. 459/00. The consolidation would have been based on a treatment system at a discrete location and there could be multiple consolidated Cs of A for multiple treatment systems within a single drinking water system. The consolidation of Cs of A for the treatment system would have incorporated authorization for the standby power generator sets and any associated conditions.

O. Permit(s) To Take Water

The applicant should enter all Permits to Take Water associated with the Treatment System. In most cases, this will be one PTTW for each treatment system; however, if there is more than one PTTW the others should be identified. If there are more than one PTTW the box indicating the further attachments should be checked.

If a PTTW associated with the treatment system, at this location, is under review, or if an application for a new PTTW has been submitted and is currently under review, the relevant boxes should be checked.

P. Treatment System Description

Ministry staff will be compiling a treatment system description from all consolidated Cs of A associated with the treatment system(s), however, the applicant is being asked to confirm that all treatment system components are identified in the Cs of A listed in O. above.

If there are treatment components not currently contained in the consolidated C of A for the system, the system owner should complete this part of the application form and attach the details of such components. Treatment would include any re-chlorination facilities serving the distribution system throughout the system and remote from the main treatment system.



6. Pumping System Information

Check as Applicable

The pumping system information required in this section only applies to pumping systems not at the location of the treatment system(s) and not described in the consolidated Cs of A associated with the treatment system(s). These would typically be booster pumping systems located within the distribution system.

The applicant is required to check one of three boxes:

A. The first box should be checked if there is only a single pumping system, apart from those described in the treatment system(s), within the drinking water system.

B. The second box should be checked if there are multiple discrete pumping systems, apart from those described in the treatment system(s), at different locations within the drinking water system.

If this box is checked it will be necessary to provide the information required in D. through to O. (as applicable) for each discrete pumping system.

C. This box would be checked if there are no other pumping systems beyond those described in the consolidated Cs of A for the drinking water system.

D. Pumping System Identifier Name

The name entered here should be a name that identifies the pumping system component for reference purposes. This may be a simple name such as the 'Elm Street Pumping Station'. This name, for identification purposes, will be included and referenced in the DWWP or the Licence.

E. F. G. H. I. J. K. Pumping System Location

The instructions provided for identifying the location of the treatment system also apply to identifying the location of any pumping systems.

L. Certificates of Approval

The applicant should enter any known C of A associated with pumping systems (not included in the consolidated Cs of A) including their numbers and issue dates in the form.

M. Certificates of Approval (Air)

This item is intended to capture Cs of A which have been issued for emergency power supplies associated with the pumping systems. Under the SDWA standby power generator sets are part of the drinking water system, and recent Cs of A will have been issued under this legislation. Older Cs of A may, however, have been issued under the *Environmental Protection Act*. **It is recognized that some Cs of A, particularly those issued several decades ago, may be difficult to locate, however, the inclusion of these Cs of A where available will facilitate the development of the DWWP and ensure an appropriate description of the facilities.**

N. System Component Description – Pumps

The applicant should complete the information respecting each pump at the pumping system. In the event the pumping system consisted of more than five (5) pumps the information respecting the additional pumps should be provided as an attachment.

The pump type should be identified as either centrifugal, vertical turbine or 'other'.

The rated capacity of each pump at a specified total dynamic head (TDH) should be indicated.

O. System Component Description – Standby Power

If standby power has been provided at this facility the information requested for each standby power unit. If there is more than one unit at the facility, additional information, as requested, should be attached.

The mobile connection indicated would be an electrical connection that would permit the attachment of a mobile power generator to provide power to the pumping facility.

If no standby power is provided or available to the pumping system, the last box should be checked accordingly.



7. Storage/Reservoir System Information

Check as Applicable

The storage/reservoir system information required in this section only applies to pumping systems not at the location of the treatment systems and not described in the consolidated Cs of A associated with the treatment system(s). These would typically be elevated or ground storage located within the distribution system.

The applicant is required to check one of three boxes:

A. The first box should be checked if there is only a single storage/reservoir, apart from those described in the treatment system, within the drinking water system.

B. The second box should be checked if there are multiple storage/reservoir systems at different locations within the drinking water system.

If this box is checked it will be necessary to provide the information required by D. through to M. (as applicable) for each discrete storage/reservoir system.

C. The last box would be checked if there are no other storage system/reservoir systems beyond those described in the consolidated Cs of A for the drinking water system.

D. Storage/Reservoir Identifier Name

The name entered here should be a name that identifies the storage/reservoir system component. This may be a simple name such as the 'Elm Street Standpipe'. This name will be included and referenced in the Drinking Water Works Permit and may be referenced in the Licence.

E. F. G. H. I. J. K. Storage/Reservoir System Location

The instructions provided for identifying the location of the treatment system also apply to identifying the location of any storage/reservoir systems.

L. Certificates of Approval

The applicant should enter any known C of A associated with storage/reservoir systems (not included in the consolidated Cs of A) including their numbers and issue dates in the form. It is recognized that some Cs of A, particularly those issued several decades ago, may be difficult to locate, however, the inclusion of these Cs of A where possible will facilitate the development of the DWWP and ensure an appropriate description of the facilities.

M. Storage/Reservoir Description Information

The applicant should identify the type of storage in the context of either in-ground, elevated or standpipe.

The total volume of water and the useable volume of water, being stored based on normal high level/low level ranges, should also be provided.



8. Other Subsystem Component Information

Other subsystem components are those significant components of the system which are not treatment, pumping, distribution or storage facilities but should be described within the DWWP to fully represent the drinking water system. These may include such components as a surge control/relief facility.

Note: The applicant should contact the Safe Drinking Water Branch to discuss any questions respecting inclusion or exclusion of subsystem components which may fall into this category.

Check as Applicable

The other subsystem component information required in this section only applies to pumping systems not at the location of the treatment systems and not described in the consolidated Cs of A associated with the treatment system(s). These could be such things as a significant surge tank located separately within the system.

The applicant is required to check one of three boxes:

A. The first box should be checked if there is only a single other system component, within the drinking water system.

B. The second box should be checked if there are multiple other system components at different locations within the drinking water system.

If this box is checked it will be necessary to provide the information required by D. through to N. (as applicable) for each discrete other system component.

C. The last box would be checked if there is no other subsystem component beyond those described in the drinking water system.

D. Other System Identifier Name

The name entered here should be a name that identifies the other subsystem component. In the case of a component, this may be a simple name such as the 'Elm Street Surge Chamber'. This name will be included and referenced in the Drinking Water Works Permit and may be referenced in the Licence.

E. F. G. H. I. J. K. Other Subsystem Location

The instructions provided for identifying the location of the treatment system also apply to identifying the location of any other subsystem component.

L. Certificates of Approval

The applicant should enter any known C of A associated with other significant subsystem components including their numbers and issue dates in the form. It is recognized that some Cs of A, particularly those issued several decades ago, may be difficult to locate, however, the inclusion of these Cs of A where possible will facilitate the development of the DWWP and ensure an appropriate description of the facilities.

M. Certificates of Approval (Air)

This item is intended to capture Cs of A which have been issued for emergency power supplies associated with the other subsystem components. Under the SDWA standby power generator sets are part of the drinking water system, and recent Cs of A issues will be under this legislation. Past Cs of A may have been issued under the *Environmental Protection Act*.

N. Other Subsystem Component Description

The applicant should attach a summary description of the 'other' subsystem component. Due to the varying nature of 'other' system components, the review engineer may request additional information after reviewing the summary description submitted as part of the application.



9. Distribution System Information

This information will be an electronic file document using the portable document format (".pdf") containing a graphical depiction of the water distribution system (e.g. a street map with watermains located and identified). These may be multiple files providing that all files, when combined, contain the entire watermain distribution system.

The document file(s) should have an associated unique file name and a date. This description should include watermains that have been constructed and placed into operation as of the date stated but would not include watermains which have been approved but not constructed and placed into operation.

The document should identify streets and critical information including, as a minimum; a linear representation of the watermain showing its approximate location within the street, pipe diameter, street name, valving and hydrant locations.

In the case of small systems, this may consist of an electronic scan of a paper document, providing the result is a '.pdf'. file document that contains the information required.

Municipal Drinking Water Licence

Director's Information Requirements

The Director will need to have acquired the following information prior to issuance of a Licence for the system:

- A copy of the current Operational Plan(s) relating to the system, as of the date of application, prepared in accordance with the Director's Directions for Operational Plans.
- Confirmation that required PTTWs have been issued respecting the drinking water system
- Information that Financial Plan requirements of the SDWA have been met. In the case of existing systems the requirements for Financial Plan preparation and approval will be included as a condition of the Licence and as such there are no submission requirements at the time of application for the Licence.
- Information that the operating authority or operating authorities for system have been accredited by the Accreditation Body and will be in charge of the drinking water system.
- Other information to be provided in the application to assist the Director in being satisfied that the drinking water system will be operated in accordance with the requirements under the SDWA and the conditions of the Licence further to clause (f) of subsection 44(1) of the SDWA. In this context, the ministry will be asking for a raw water assessment as part of an application for the issuance or renewal of a Licence. This information will be used to confirm the suitability of the treatment systems in place.

Information required in support of an application for a Municipal Drinking Water Licence

10. Drinking Water Works Permit

A. Check this box if an application for a DWWP is being submitted as part of this application.

B. Check this box if an application for a DWWP has been previously submitted and is currently under review by the ministry.

C. Check this box if an application for a DWWP will be submitted at a later date.

D. E. F. Check box D. and complete the required information in E. and F. if a DWWP has been issued in response to a previously submitted application. Leave these boxes blank if a DWWP has not been issued for the drinking water system.

11. Operational Plan(s)/Accreditation Status

This section provides information both on the submission of the Operational Plan(s) by the owner to the ministry for acceptance by the MOE Director and the status of the submission of the Operational Plan by the operating authority to the Accreditation Body. In the event the owner is not the operating authority, the owner will need to obtain the status of the latter submission from the operating authority. It is anticipated that most

Operational Plans will be submitted from the owner to the Director at the same time as applications for a DWWP and a Licence.

Operational Plans shall contain the information necessary to meet the applicable 'PLAN' requirements of the Drinking Water Quality Management Standard (DWQMS) for the category of accreditation being sought. Operational Plans being submitted to the Director for acceptance must also meet the requirements of the **Director's Directions, Minimum Requirements for Operational Plans – July 2007**.

A definition of Operational Subsystem can be found in the Director's Directions

The ministry will be in contact with the Accreditation Body and will ensure that the version of the Operational Plans that forms the basis of accreditation will be the same version that is accepted by the Director.

□ □ □

12. Permit to Take Water (PTTW)

A. It is anticipated that all information respecting PTTW's for the drinking water system will be contained in information provided in support of the DWWP for the system.

B. This box is to be checked if a PTTW is not required for the drinking water system. This would typically apply in the case of a distribution only system where all treated water is supplied by another system.

□ □ □

13. Raw Water Assessment Information

Raw water information is required in accordance with Schedule B of this guide. In the case of multiple source water supplies, information will be required for each source. In the case of a 'distribution-only' system which receives all of its treated drinking water from another system, do not submit raw water information

□ □ □

14. Freedom of Information and Protection of Privacy Act

The release of information contained in application forms and documentation submitted in support of applications for approval is subject to the provisions of the *Freedom of Information and Protection of Privacy Act*. This Act defines what may and what may not be disclosed to the public, and is used to assess all requests for information contained in the documents on file with applications for approval.

The applicant should therefore identify all documents, or portions of documents, which are to be considered confidential. The applicant should refer to the exemptions from disclosure set out in sections 12 to 23 of FIPPA, and in particular, section 17, third-party information. This evidence will be one of the factors the ministry would consider when making a decision regarding disclosure of specific documents on file.

□ □ □

15. Application/Declaration

The owner should identify which of the three applications are being submitted. It is anticipated that most owners will submit all three applications at the same time, however, there is a possibility that an owner may want to submit an application for one or two the items in advance of the regulation dates.

□ □ □

16. Additional Information or Comments (if required)

This portion of the application form is provided as an optional entry if there is a need to provide any additional information or comments to support the application.

□ □ □



MINISTRY OF THE ENVIRONMENT

Schedule A

OVERVIEW GUIDE

Municipal Drinking Water Licensing Program

FOR

**MUNICIPAL RESIDENTIAL
DRINKING WATER SYSTEMS**

September 2008

PIBS 2601e01

Foreword

Transition to Licensing

With the proclamation of section 33 of the *Safe Drinking Water Act, 2002 (SDWA)* in May of 2007, the Ministry of the Environment began a transition from an approvals process referred to as the Certificate of Approval (C of A) Program for municipal drinking water systems to the new Municipal Drinking Water Licensing Program (the Licensing Program). This transition will occur over a period of approximately 5 years starting in late 2007.

This Overview Guide is intended to provide owners and operating authorities of municipal residential drinking water systems with a summary of the approvals processes that are applicable during this transition and to describe fundamental concepts associated with these processes.

The requirement to obtain a licence and a drinking water works permit (DWWP) applies to owners of municipal residential drinking water systems. These include large and small municipal residential drinking water systems as defined in O. Reg. 170/03. Owners of these systems must submit to the Director an application for a licence, an application for a DWWP and completed operational plans on or before the dates prescribed by **O. Reg. 188/07 – Licensing of Municipal Drinking-Water Systems**.

Once a licence has been issued for a drinking water system, authority for further alterations to the system will occur through the processes and procedures associated with the Licensing Program. Until a licence is issued for a system, approvals for any alterations to the system will occur through the existing C of A process.

Further information respecting applications for C of A can be found in the ministry's publication **Guide on Applying for Approvals Related to Municipal and Non-Municipal Drinking-Water Systems – Revised November 2003**.

This overview guide discusses the three submissions which must be made to the Director¹ at the Ministry of the Environment pursuant to O. Reg. 188/07, specifically:

1. an application for a DWWP,
2. an application for a licence, and

¹ This means the Director for purposes of sections 16(2), 32(1)(b), and 33 of the SDWA .

3. the submission of Operational Plans

This document also references other submissions and/or processes linked to the issuance or renewal of a licence, including:

1. the accreditation of the operating authorities,
2. the preparation and approval of a financial plan, and
3. the issuance of a Permit to Take Water (PTTW), if applicable.

These latter items are not part of the requirements for submissions to the Director pursuant to O. Reg. 188/07 but are related to other requirements which must be fulfilled, as part of the licensing process.

Throughout this overview guide reference is made to additional publications and references which are summarized at the end of this guide and will be available from the Ministry of the Environment.

Acronyms and Terms:

C of A – Certificate of Approval
DWWP – Drinking Water Works Permit
Licence – Municipal Drinking Water Licence
PTTW – Permit to Take Water
SDWA – *Safe Drinking Water Act, 2002*

Note:

This overview guide is only a summary. To be clear about your specific legal requirements, you should refer to the *Safe Drinking Water Act, 2002*, and the regulations and other instruments made under the Act. For more information, please access the Drinking Water Ontario portal at www.ontario.ca/drinkingwater or contact the Licensing Program Information Centre at 1-877-955-5455 (Toronto Area 416-314-1651).

Some of the publications referenced in this guide are under development and will be made available as soon as they are finalized.

If you wish to proceed with applications for a licence or a Drinking Water Works Permit in advance of your prescribed date please contact:

**Indra Prashad
Manager,
Approvals and Licensing
Safe Drinking Water Branch
Drinking Water Management Division
Ministry of the Environment
(416) 314-6437**

**Certificate of Approval
vs.
Licence and Drinking Water
Works Permit**

Authorities to Establish, Alter, Use or Operate

Under the current C of A Program, an approval (C of A) is required prior to the establishment or alteration of a municipal residential drinking water system. The C of A also serves as the legal authority to use or operate the system. Conditions placed on the C of A may relate to either the physical works or the operation of the system.

Under the Licensing Program, the authority to establish and alter will be provided by a DWWP and the authority to operate will be provided separately through the municipal drinking water licence.

Both of these instruments will contain Terms and Conditions similar to the existing C of A. Conditions which may be placed on the DWWP will generally relate to the physical works, while conditions on the licence will generally be related to operational matters.

The licence to operate the system will have an expiry date which will be no later than the fifth anniversary of the day of issue or licence renewal and will also contain a date which is the deadline for an application for renewal of the licence. The application date will not be less than 90 before the expiry of the licence. The DWWP will generally not have an expiry date unless such a requirement is considered appropriate by the Director.

One Licence and One Permit per System

A drinking water system is made up of all connected water works with a common owner. The DWWP will be a description of the system, an authorization for alterations to the system and will contain conditions relating to the physical works.

Since 2002, Cs of A for the treatment component of a drinking water system have been consolidated into a single legal instrument. While for all other components of a drinking water system, such as storage facilities, pumping stations and distribution system components including watermains, individual Cs of A continue to be issued.

However, under the Licensing Program, a single DWWP and a single licence will be issued for the entire drinking water system.

The DWWP will provide a description of the overall system, including treatment, storage, pumping and distribution and will include, when applied for, an authority to alter the system in a specified way, much in the same way that a C of A currently approves alterations. Once the first DWWP has been issued for the system, further alterations to the system will need to be authorized through specific amendments to the DWWP.

Revoking Cs of A

Once issued, a condition on the licence will revoke all Cs of A which were previously issued for the drinking water system.

Municipal Residential Drinking Water Systems	Current Process	Licensing Program	
	Certificate of Approval (C of A)	Municipal Drinking Water Licence	Drinking Water Works Permit (DWWP)
Authority to establish or alter	✓		✓
Authority to use or operate	✓	✓	
Expiry Date	Generally No	Yes (Within 5 years)	Generally No
Number of Legal Instruments per System	Multiple	One	One

The Licence

Applying for the First Licence

The requirement to apply for the first licence is contained in section 33 of the SDWA, which states that an application for the licence must be submitted to the MOE Director on or before the date prescribed by regulation.

O. Reg. 188/07 – Licensing of Municipal Drinking-Water Systems² provides a submission date in schedules to the regulation for each drinking water system owner.

The dates are phased over an 18 month period as follows:

Large Municipalities:

- over 100,000 total service population
- Schedules 1 & 2 of the regulation
- January 1, 2009 and February 1, 2009

Medium Municipalities:

- between 1,001 to 100,000 total service population
- Schedules 3 to 14 of the regulation
- March 1, 2009 and the first of every month thereafter to February 1, 2010

Small Municipalities:

- 1,000 or less total service population
- Schedules 15 to 18 of the regulation
- March 1, 2010 and the first of every month thereafter to June 1, 2010

The applicant should refer to the ministry's **Guide for Applying for the First Drinking Water Works Permit and Municipal Drinking Water Licence and Submission of Operational Plans**. An application form will be provided and will indicate what information is required to be provided to the Director.

The information which is to be provided to the Director will need to include:

1. A copy of all current operational plans relating to the system, as of the date of application, prepared in accordance with the Director's Directions for Operational Plans.

There may be one or more operational

² The dates prescribed in O. Reg. 188/07 for the submission of an application for a licence also represent the dates on or before which an application for a DWWP and an operational plan must be submitted to the Director.

plans prepared for a drinking water system depending on the number of operating authorities with responsibilities for the system.

The Director's directions are formally entitled '**Director's Directions – Minimum Requirements for Operational Plans – Municipal Drinking Water Systems – July 2007**

2. Proof satisfactory to the Director that financial plans for the system satisfy the requirements under the SDWA.

Requirements for financial plans have been prescribed by the Minister through **O. Reg. 453/07 – Financial Plans**.

For an existing municipal drinking water system, a financial plan will not be required at the time of application for the first licence (i.e. respecting an application for the first licence in accordance with O. Reg. 188/07). The first licence issued will, however, contain a condition where the Director will require that the owner of the drinking water system, by the later of July 1, 2010 and the date that is six months after the date the first licence is issued, prepare and approve financial plans for the system that satisfy the requirements of section 3. of the financial plans regulation.

For a new 'greenfield' drinking water system, financial plans will have to be prepared and approved by a resolution of council (or of the governing body of the owner if the owner has a governing body and is not a municipality) before making the application for the first licence. In this case, the requirements for the financial plans are prescribed in section 2. of O. Reg. 453/07.

The Ministry of the Environment has produced a guidance document for the preparation of financial plans entitled **Toward Financially Sustainable Drinking-Water Systems and Wastewater Systems – August 2007**. The regulation should also be referenced to confirm the requirements for financial plans.

3. Proof satisfactory to the Director that an accredited operating authority will be in charge of the system.

An accredited operating authority must be in charge of a system after the date

prescribed by O. Reg. 188/07.

It is recognized that the accreditation of the operating authority, or operating authorities, may not have been finalized at the time of an application for a licence. However, accreditation of the operating authority (ies) must be in place before the Director will issue the licence for the system.

It is the responsibility of the owner of the system to have an accredited operating authority (ies) in charge of the system, however, it is the responsibility of the operating authority (ies) to make application to the accreditation body for accreditation in respect of the system, or portion of the system that it operates.

4. Proof satisfactory to the Director that a Permit To Take Water has been or will be issued under section 34 of the *Ontario Water Resources Act* (where applicable).

The numbers of the permits to take water (PTTWs) that have been issued and are current for the drinking water system will need to be submitted as part of the application for a licence. The applicant will need to identify any applications for issuance or renewal of a PTTW that have been made but for which permits have not yet been issued. A statement will need to be made that PTTWs have been applied for, or have been issued for all sources of raw water supply for which a PTTW is required. A PTTW is not required for a drinking water system that receives all of its drinking water from another drinking water system.

Further information respecting PTTWs can be obtained from the ministry's **Permit To Take Water Manual – April 2005**.

The PTTW Program will continue in its present form and will not be altered as a result of the implementation of the Licensing Program.

5. Other information to be provided in the application to enable the Director to determine that the drinking water system will be operated in accordance with the requirements under the SDWA and the conditions of the licence further to clause (f) of subsection 44(1) of the Act.

In this context, the ministry will be asking for a raw water characterization as part of an application for the issuance or renewal of a licence. This information will be used to confirm the suitability of the treatment systems in place.

Licence Fees

At this time, fees will not be required to be submitted respecting an application for a first licence, a licence amendment or a licence renewal.

Issuing the First Licence

Once the application for a licence has been processed and reviewed by the Director, a decision will be made on the issuance of the first licence.

The Director will not issue a licence until the Director has determined that the following have occurred:

1. A drinking water works permit (DWWP) or permits has/have been issued for the system.

O.Reg 188/07 specifies the date on or before which an application for a DWWP must be submitted to the Director. For all owners of existing municipal drinking water systems this date will be the same date as the date for the submission of an application for a licence.

The applicant should refer to sections in this guide respecting the DWWP as well as the ministry's '**Guide for Applying for the First Drinking Water Works Permit and Municipal Drinking Water Licence and Submission of Operational Plans**

2. Operational plans have been submitted that meet the requirements of the Director's Direction.

Operational plans submitted for licence purposes must be the same plans used by the accreditation body for purposes of accrediting the system's operating authority. It is recognized that operational plans submitted by the owner to the Director as part of an application for a licence may also be part of an application by the operating authority to the accreditation body for accreditation. It is further recognized that these plans may be modified as a result of a review by the Director or a

review by the accreditation body. The ministry will ensure, through close dialogue with the accreditation body, that the version of the operational plan that is accepted by the Director is also the operational plan that is the basis for accreditation.

3. Accreditation has been obtained by the operating authority, or operating authorities, who will be in charge of the system.

The Director will receive notification from the accreditation body that accreditation has been issued to the operating authority, or operating authorities for the system.

4. The requirements respecting financial plans have been met by the owner.

As noted previously, in the case of an existing municipal drinking water system submitting an application for the first licence in accordance with O. Reg. 188/07, a financial plan will not be required to have been prepared and approved at the time of application.

Owners of proposed new 'greenfield' drinking water systems will have to prepare and approve financial plans before making an application for a licence.

In the case of an application for a licence for a new 'greenfield' drinking water system or an application for a licence renewal, the Director will require a copy of a resolution of council (or the governing body) affirming that the financial plans meet the requirements of O. Reg. 453/07.

5. PTTWs exist for the system.

The Director will review the information provided in the application for a licence as well as confirm through internal processes that the required PTTWs exist for the applicable drinking water system.

6. Satisfaction that the system will be operated in accordance with the SDWA and the conditions of the licence.

The information considered for making this decision will come from many sources including information being provided as part of the application for a licence. Information will also be obtained from the ministry's drinking

water information systems and the ministry's drinking water inspection staff.

Licence Content and Conditions

Information in the Licence

The SDWA requires that a licence identify the following:

1. All owners of the system;
2. The accredited operating authority (or operating authorities) for the system;
3. The date of issue and number of the Drinking Water Works Permit for the system;
4. The number of the most recent financial plans for the system, if financial plans are required for the system;
5. The number of each operational plan for the system; and
6. The date of issue and number of each permit to take water, if one or more permits are required for the system.

Licence Expiry and Renewal Application Dates

The SDWA requires that the expiry date for a licence issued or renewed shall be no later than the fifth anniversary of the day of issue or renewal and shall be set out in the licence. The Act also requires that a licence or renewal contain a date that is the deadline for an application for renewal of the licence.

Licence Conditions

The Director will place terms and conditions in the licence. These terms and conditions will, in many cases, be similar to the terms and conditions placed in existing Cs of A with respect to the operation of the drinking water system and will relate to matters such as: operations manuals, chemical standards, rated capacity, management of residue, monitoring and recording.

Licence Conditions May be Appealed

As is the case with a C of A, the owner may request the Environmental Review Tribunal to review one or more conditions imposed on a licence. Such a request must be made within 15 days of the service (receipt) of the licence.

For more information on appeals, refer to Part X of the SDWA and the Environmental Review Tribunal website at www.ert.gov.on.ca.

Licence Amendments

The recipient of a licence may request amendments to the licence through an application for amendment.

An applicant for a Licence amendment should reference the ministry's '**Guide on Applying for DWWP Amendments, Licence Amendments, Licence Renewals and New System Applications' (Under Development)**.

The Director has the authority to amend a licence without an application being received. This may occur where an applicant has applied for an amendment to a DWWP to authorize the alteration of a drinking water system and the Director adds conditions to the licence with respect to operational matters, such as additional monitoring or reporting. Other circumstances may warrant a Director initiated amendment as well.

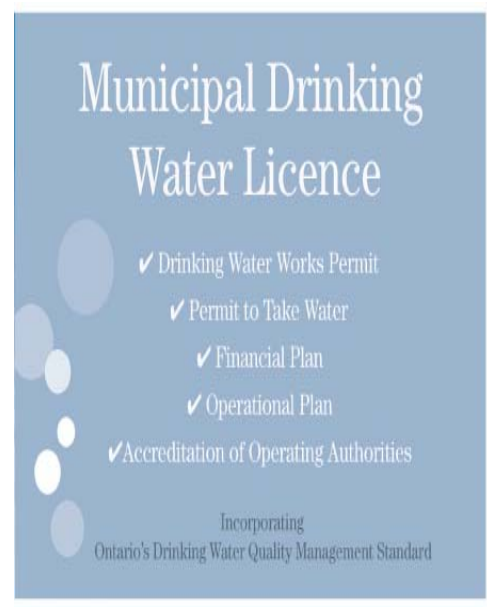
Applying for a Licence Renewal

The information which must be submitted for a licence renewal is essentially the same as the information required for the issuance of the first licence (see 'Applying for the First Licence') except that updated Financial Plans will be required to be prepared and approved prior to submitting a licence renewal application.

Issuing a Licence Renewal

The licence must be renewed within a five year period. An application for renewal will need to be submitted and the Director will issue a licence renewal if the Director is satisfied that:

1. the system will continue to be operated by an accredited operating authority or operating authorities;
2. the drinking water works permit remains in force;
3. operational plans for the system satisfy the requirements of the Director's Direction;
4. financial plans satisfy the requirements of the SDWA;
5. the system has been and will continue to be operated in accordance with the requirements under the SDWA and the licence; and
6. any required permits to take water remain in force.



Drinking Water Works Permit (DWWP)

Functions of the DWWP

The DWWP will provide a general description of the entire drinking water system including all treatment systems, pumping, storage facilities and the distribution system.

The DWWP will also authorize any specific alterations (including extensions) to the system which have been applied for by the owner.

Applying for the first DWWP

As is the case with the licence, the requirement to obtain the first DWWP for existing municipal drinking water systems is provided in section 33. of the SDWA which states that an application for the DWWP must be submitted to the MOE Director on or before the date prescribed by regulation. **O. Reg. 188/07 – Licensing of Municipal Drinking-Water Systems** prescribes these dates, which are the same dates as the dates for the submission of the application for a licence and the submission of operational plans (see 'Applying for the First Licence').

Further information respecting the application for a DWWP or an amendment to a DWWP can be obtained from the ministry's publication **Guide for Applying for the First Drinking Water Works Permit and Municipal Drinking Water Licence and Submission of Operational Plans**

Information Required with the Application

The primary purpose of the first DWWP will be to clearly describe the drinking water system at the time of application and to provide a framework to authorize future alterations through amendments to the DWWP.

The first application should be completed to permit the drinking water system to be described in the DWWP as a system with the following physical subsystems:

1. Treatment

Treatment components include any parts of the system or unit processes that provide a treatment function including intakes, pre-screening, coagulation, flocculation, filtration, disinfection and the addition of chemicals. Typically this would include those facilities

constituting 'treatment plant(s)' but may also include such items as re-chlorination facilities at remote locations within the drinking water system.

The DWWP will be issued for the entire drinking water system, and as such, will need to describe all treatment facilities associated with the system. This may include multiple treatment plants within one system in some cases.

It is anticipated that the description of treatment components used in the consolidated Cs of A (issued subsequent to the submission of the Engineers' Reports required by O. Reg. 459/00) will provide information for the preparation of this part of the DWWP. These Cs of A have been amended over time as the works have been altered, but still represent a consolidated description of the current treatment components.

The format of the description will change to a tabular approach which will make the description more concise and easier to read and interpret.

2. Distribution - Watermains

The second physical subsystem will describe the watermains within the distribution system.

Current Cs of A for distribution components of a system provide a narrative description of the works; however it is proposed that the DWWP will describe the works graphically.

A requirement for applications for a DWWP will be that descriptions of the watermain components of a distribution system be submitted using a graphical format (i.e. a map showing watermains and their approximate location within road allowances). This map would contain critical information such as a linear representation of the watermain, pipe diameter, street name, valving and hydrant locations.

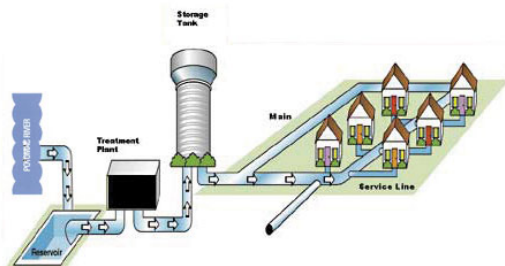
It is proposed that this submission be made in portable document format ('.pdf').

It is also proposed that through a condition of the DWWP, the owner will be required to keep this graphical description current within a specified period of time from having altered or extended any watermains. Periodically, the ministry will request

that the graphical description be submitted to the MOE for an updating of the DWWP description.

3. Pumping Systems, Storage/Reservoir Systems and Other System Components

The descriptions of these subsystems will capture those components within the drinking water system which are not described as either treatment or as part of the watermain system. This will typically include components such as booster pumping stations that are not within the treatment facility and storage facilities, and that are not used for treatment purposes. Owners will be requested to provide, in their application, a description of the 'other' components of the system in a similar tabular fashion to that used for the description of treatment works.



DWWP Fees

There will not be a fee associated with the application for the DWWP made pursuant to section 33 of the SDWA (i.e. an application for the first DWWP respecting systems with dates prescribed by O. Reg. 188/07).

Applications for subsequent amendments to a DWWP, including amendments to authorize changes to the drinking water system, will require the payment of a fee.

The fees schedule for DWWPs will be set out in a **Minister's Order for Drinking-Water Approval Fees (under development)** and is anticipated to be similar to the fee schedule for Approvals (Cs of A) for a similar type of application currently contained in the **Minister's Order for Drinking-Water Approval Fees – May 30, 2003**.

First DWWP - Engineering Review

The ministry is not contemplating a detailed engineering review of each component of the drinking water system as part of the issuance of the first DWWP. In most cases, the design of these works would have been previously reviewed during the course of issuing a C of A.

In addition, the treatment components of drinking water systems would have been re-reviewed as part of the Engineers' Report requirements of O. Reg. 459/00 and the subsequent issuance of consolidated Cs of A for treatment works.

The ministry will, however, be asking for a raw water assessment information as part of an application for the issuance or renewal of a licence. This information will be used to confirm the ongoing suitability of the treatment systems in place.

If an application for a drinking water system alteration is made at the same time as an application for the first DWWP, an engineering review will be conducted for new components in the same manner as would have been the case for an application for a C of A.

Issuing the First DWWP

The drafting of the first DWWP will be a joint effort involving the applicant and ministry staff. The owner of the drinking water system will receive a draft DWWP for review and comment to ensure that the information in the DWWP is correct.

DWWP Expiry

The DWWP will generally not have an expiry date associated with the permit.

In some specific circumstances, however, the Director may choose to time-limit the authority to make alterations to the drinking water system and, in such cases, may impose an expiry date for the authorization as a condition of the permit. The Director may also require that modifications be completed within a specific time period in appropriate circumstances.

DWWP Conditions

The Director may place several terms and conditions on the DWWP. These will, for the most part, relate to the physical works as opposed to operational matters. The conditions may relate to such matters as deadlines for undertaking an alteration or may provide authority to further alter the works.

DWWP Conditions May Be Appealed

As is the case with a C of A and the Licence, the owner may request the Environmental Review Tribunal to review one or more conditions imposed on a DWWP. Such a request must be made within 15 days of the service (receipt) of the DWWP.

For more information on appeals, refer to Part X of the SDWA and the Environmental Review Tribunal website at www.ert.gov.on.ca.

DWWP Amendments

The mechanism to be used to authorize an alteration (including an extension) to a drinking water system will be an amendment to the DWWP. An application for this amendment will replace the current process of obtaining a C of A, or a C of A amendment, to permit changes to the system.

An applicant for a DWWP amendment should reference the ministry's **'Guide on Applying for DWWP Amendments, Licence Amendment, Licence Renewals and New System Applications' (Under Development)**.

As is the case with Cs of A, the requirements of the *Environmental Assessment Act* must be complied with before a DWWP can be issued authorizing the alteration. Further information in this regard will be provided in the detailed guides.

As previously mentioned, the SDWA also gives the Director authority to make amendments to the DWWP at the Director's discretion.

Quality Management System (QMS)

What is a Quality Management System?

A quality management system (QMS) is a system to: a) establish policy and objectives and achieve objectives; and b) direct and control an organization with regard to quality.

Quality management systems and management system standards are not new. They have been around since the early 1950s. In 1987 the International Organization for Standardization (ISO) released the first version of the ISO 9001 Quality Management System Standard. Since that time, organizations all over the world have been implementing the requirements of management system standards.

Most management system standards are generic. They can be applied to any type or size of organization. They have been developed for the implementation of quality-based or environmentally-based management systems in any type of organization.

Management system standards have also been developed for specific industries or product sectors. For example, the Hazard Analysis and Critical Control Point (HACCP) standard is an internationally recognized, science-based, food safety standard that was developed to help ensure the manufacture of safe food products.

Quality management for Ontario's municipal drinking water systems will occur through the development and implementation of a QMS for each drinking water system based on Ontario's Drinking Water Quality Management Standard (DWQMS).

The complexity of a QMS for a drinking water system will depend, to some degree, on the size of the drinking water system and its processes. For a small drinking water system (e.g. consisting of a well with chlorination), the QMS can be relatively simple. For a system with a large number of staff, several connected surface water treatment plants, a complex distribution system, and interconnections to other systems, the QMS will be larger and more comprehensive.

Drinking Water Quality Management Standard (DWQMS)

What is the Drinking Water Quality Management Standard?

The DWQMS is a 'Made-in-Ontario' management system standard developed specifically by the drinking water sector for municipal residential drinking water systems. Its requirements are similar to ISO-based quality management standards but not equivalent.

The DWQMS sets out a framework for the operating authority in consultation with the owner of a drinking water system, to develop a QMS that is relevant and appropriate for a specific system.

The DWQMS contains elements of both the ISO 9001 standard, with respect to management systems, and the HACCP standard with respect to product safety. The DWQMS also incorporates the HACCP approach to risk assessment and reflects the multi-barrier approach for drinking water safety.

In general, the concepts outlined in the DWQMS reflect, for the most part, how owners and operating authorities currently manage and operate their drinking water systems. The DWQMS, however, requires that these concepts be formalized and documented in an operational plan, and that there is a documented commitment throughout an organization to continuously review and improve quality management practices.

The DWQMS approach emphasizes the importance of:

- Proactive and preventative rather than strictly reactive management strategies to identify and manage risks to public health;
- The establishment and documentation of management procedures;
- Meeting the management procedures; and
- Continuous improvement of the management system.

The definition of QMS in the DWQMS refers to the establishment of policies and objectives. The DWQMS has explicit requirements for policies but does not make specific reference to objectives. Objectives are, however, embedded or implicit in most of the DWQMS elements.

Structure of the DWQMS

The DWQMS is based on a PLAN, DO, CHECK and IMPROVE methodology, which is similar to that found in some international standards. PLAN requirements of the standard typically specify policies and procedures that must be documented in the operational plans for the drinking water system, while DO requirements specify that the policies and procedures must be implemented. CHECK and IMPROVE requirements of the standard are reflected in the requirements to conduct internal audits and management reviews.

The 21 elements of the DWQMS are as follows:

DWQMS Elements	
Element 1 -	Quality Management System
Element 2 -	Quality Management System Policy
Element 3 -	Commitment and Endorsement
Element 4 -	Quality Management System Representative
Element 5 -	Document and Records Control
Element 6 -	Drinking-Water System
Element 7 -	Risk Assessment
Element 8 -	Risk Assessment Outcomes
Element 9 -	Organizational Structure, Roles, Responsibilities and Authorities
Element 10 -	Competencies
Element 11 -	Personnel Coverage
Element 12 -	Communications
Element 13 -	Essential Supplies and Services
Element 14 -	Review and Provision of Infrastructure
Element 15 -	Infrastructure Maintenance, Rehabilitation and Renewal
Element 16 -	Sampling, Testing and Monitoring
Element 17 -	Measurement and Recording Equipment Calibration and Maintenance
Element 18 -	Emergency Management
Element 19 -	Internal Audits
Element 20 -	Management Review
Element 21 -	Continual Improvement

Guidance Document on Quality Management and the DWQMS

The Ministry of the Environment has prepared a comprehensive guidance document entitled **Implementing Quality Management: A Guide For Ontario's Drinking Water Systems – July 2007**.

The guidance document has been developed to

assist owners and operating authorities in developing, implementing and maintaining a quality management system for their drinking water systems. The format, content and supporting material contained within the guide have specifically been developed to assist owners and operating authorities who have no previous background in concepts of quality management. The intent is that staff currently engaged by the owner/operating authority will be able, with the assistance of the guide, to develop and implement a quality management system that will meet the requirements of the DWQMS.

The guide has been designed for small and large drinking water systems alike that provide treatment, transmission and/or distribution services. It has been designed to be used by a variety of people including:

- QMS representatives;
- QMS team members;
- Management of the operating authority;
- Operating authority staff; and
- System owners.

The guidance document contains tips, ideas and suggestions that can help owners and operators with the implementation of a QMS and is divided into three parts

- Part I is the interpretative and implementation guide for the DWQMS;
- Part II contains sample templates for various procedures; and
- Part III contains four model operational plans for various drinking water systems.

DWQMS Pocket Guide

The ministry has also prepared an abbreviated outline of the DWQMS entitled **Ontario's Drinking Water Quality Management Standard – Pocket Guide – July 2007**.

The purpose of the pocket guide is to:

- a. provide a brief summary of the Licensing Program;
- b. Provide relevant terms and definitions; and
- c. List all of the elements of the DWQMS and provide a plain language summary of what they mean.

Operational Plans

What are Operational Plans?

Operational plans document the Quality Management System (QMS) for a 'subject system'.

A 'subject system' is a municipal residential drinking water system, or portion of a system, which is operated by a single operating authority. In the case of a single system with multiple operating authorities, there will be multiple subject systems and multiple operational plans.

Who Prepares Operational Plans?

It is anticipated that operational plans will typically be prepared on behalf of owners by the operating authority of the subject system in consultation with the owner of the system, if the owner is different than the operating authority.

Who Owns Operational Plans?

Regardless of who prepares the operational plan, the owner of the system will retain ownership of the operational plans once they have been prepared and must endorse their content.

If an operating authority is responsible for multiple subject systems, the operating authority may choose to develop common QMS procedures for elements that are common for all of the subject systems.

Submission of Operational Plans: Who & When

Operational plans must be submitted:

- a. by the owner of a drinking water system to the Director on or before the date prescribed for the owner in **O. Reg. 188/07 – Licensing of Municipal Drinking-Water Systems** for the purpose of Director acceptance.
- b. by the operating authority to the accreditation body for the purposes of accreditation.

Content of Operational Plans

Operational Plans shall contain the information necessary to meet the applicable 'PLAN' requirements of the **Drinking Water Quality Management Standard** (DWQMS) for the

category of accreditation being sought.

Operational plans being submitted to the Director for acceptance must also meet the requirements of the **Director's Directions, Minimum Requirements for Operational Plans – July 2007**.

Director Acceptance of Operational Plans

The ministry's Director will review the operational plans and will issue a notice accepting the operational plans, if the Director is satisfied that the plans meet the requirements of the Director's Direction. In the event that the Director rejects the operational plans, a notice will provide reasons for the rejection.

Public Disclosure of Operational Plans

The Director's Direction contains requirements respecting the public disclosure of Operational Plans. In summary, the owner of the system must make Operational Plans available for viewing at specified locations accessible to the public. The owner shall not make public any part of the Operational Plan where the disclosure:

1. could reasonably be expected to seriously threaten the safety or health of an individual;
2. could prejudice significantly the competitive position or interfere significantly with the contractual or other negotiations of a person, group of persons, or organization; or
3. contains trade secrets or financial, commercial, scientific or technical information that belongs to the owner or operating authority and has monetary value or potential monetary value.

Operational Plans and Licence Renewals

In addition to the other prerequisites for issuing a licence renewal, the Director will need to establish that the operational plans for the drinking water system continue to satisfy the requirements of the Director's Directions.

In the case of a licence renewal, the operational plans would need to meet all of the 'PLAN' requirements of the entire DWQMS.

Accreditation

What is Accreditation?

In the context of the municipal drinking water Licensing Program, accreditation is the verification by a third party accreditation body that an operating authority has a QMS in place for a specific drinking water system that meets the requirements of the DWQMS3.

Licence Prerequisite

Before a licence is issued, amended or renewed, the Director will need to determine that each operating authority for the drinking water system has been accredited.

Categories of Accreditation

Three categories of accreditation have been created to facilitate a staged accreditation process at the option of the applicant, and two additional categories created to address situations where transitional and emergency accreditation are required.

Two of the staged accreditation categories- 1) Limited Scope – Partial DWQMS; and 2) Limited Scope – Entire DWQMS - are only available during the commencement of the Accreditation Program and the transition from drinking water approvals to drinking water licences.

The accreditation categories are summarized below:

Staged Implementation Options

1. Limited Scope – Partial DWQMS

Limited scope accreditation based on the documentation and implementation of twelve key elements of the DWQMS.

2. Limited Scope – Entire DWQMS

Limited scope accreditation based on the documentation of twenty elements of the DWQMS.

3. Full Scope – Entire DWQMS

Full scope accreditation based on the documentation and implementation of all

³ In an ISO context, this process is referred to as 'certification'.

twenty-one elements of the DWQMS.

Ongoing Program Delivery Options

4. Limited Scope – Transitional

Limited scope accreditation based on the documentation of nine key elements of the DWQMS)

5. Limited Scope – Emergency

Limited scope accreditation based on written confirmation that the new operating authority for a subject system has reviewed the existing operational plans for the system)

Accreditation Processes

The above options and the accreditation processes for the establishment and administration of an Accreditation Program by an accreditation body have been further outlined in a document entitled **Accreditation Protocol - Operating Authorities – Municipal Drinking-Water Systems – July 2007**.

The following are selected highlights of the accreditation protocol.

Accreditation Program Handbook

The accreditation body will prepare an Accreditation Program handbook that will detail the Accreditation Program including rules of accreditation and appeal procedures. The handbook will include the forms necessary for an applicant to apply for accreditation. A copy of the handbook will be provided to a potential applicant upon request.

Assignment of an Auditor

Each application for accreditation will be assigned to an auditor who will review the application in accordance with the applicable accreditation processes set out in the accreditation protocol.

When assigning auditors, the accreditation body will assign auditors who are not in a conflict of interest, who have experience with applications of similar complexity, and with a view towards minimizing travel costs.

Public Notification

The accreditation body will maintain a list, sorted by owner that contains the following information in respect of every municipal residential drinking water system:

the name of the municipal residential drinking

water system and its owner;
the name of every subject system comprising the drinking water system;
the name of the accredited operating authority for each subject system;
the scope of every operating authority's accreditation;
the applicable accreditation certificate number and date for each accreditation;
any decisions related to the revocation or suspension of an accreditation;
any audit results made available to the public; and
any other information required to be provided to the public in accordance with the accreditation protocol.

This information will be made available on a publicly accessible website on the Internet and shall be kept current.

Annual Audits

The accreditation body will annually audit the QMS of an operating authority with a Certificate of Accreditation (Full Scope – Entire DWQMS), in accordance with the following schedule:

in the first year following the year in which the certificate was issued and every third year thereafter, the accreditation body will undertake a surveillance audit;

in the second year following the year in which the certificate was issued and every third year thereafter, the accreditation body will undertake a surveillance audit; and

in the third year following the year in which the certificate was issued and every third year thereafter, the accreditation body will undertake a re-accreditation audit.

Surveillance audits will consist of an enhanced desktop systems audit with no on-site verification component. However, an auditor may attend at a subject system to verify information for the purposes of the audit.

Appeals and Appeal Process

The accreditation body will establish a two-level appeal process and related procedures and rules consistent with the requirements of the accreditation protocol that allows an appeal by an operating authority of a decision by the accreditation body to:

suspend an accreditation;
revoke an accreditation;
not grant an accreditation; or
suspend an accreditation process.

The appeal process will be operated in accordance with the following:

all appeals will be conducted in writing;

the adjudicator for the first and second level appeals will be the accreditation body and a management committee (comprising representatives from the ministry, the accreditation body and the drinking water sector), respectively;

to initiate a first level appeal, a notice of appeal summarizing the reasons for the appeal and evidence supporting the reasons must have been delivered to the accreditation body within 15 days of the decision being appealed from;

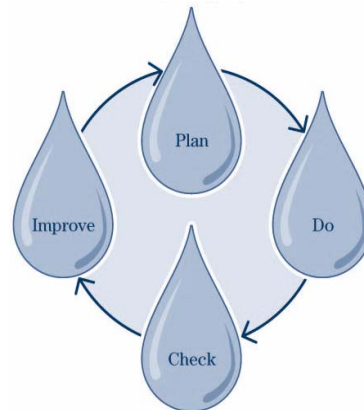
all decisions on a first level appeal will be made in writing and within 30 days of the receipt of a notice of appeal;

to initiate a second level appeal, a notice of appeal summarizing the reasons for the appeal and evidence supporting the reasons must have been delivered to the management committee within 15 days of the decision being appealed from; and

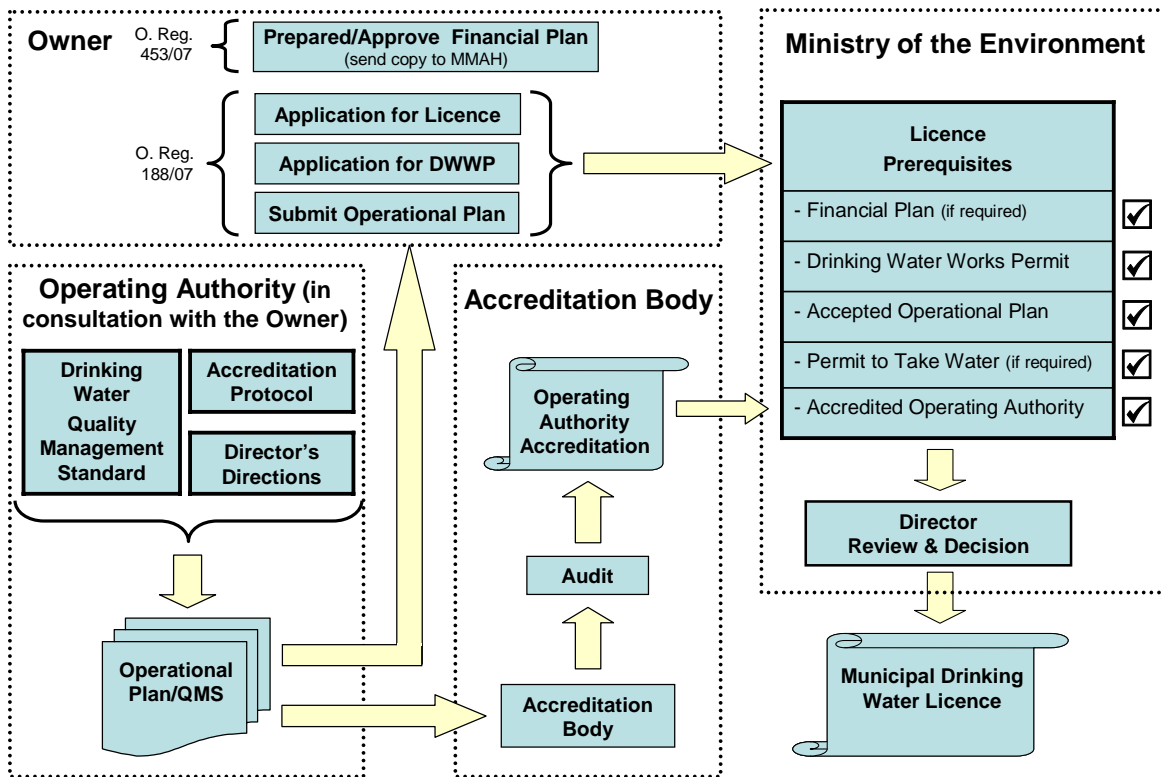
all decisions on a second level appeal will be made in writing and within 15 days of the receipt of a notice of appeal.

All written decisions made in accordance with the appeals protocol will be provided to the following persons or entities:

the operating authority;
the owner of the subject system;
the accreditation body or management committee, as appropriate; and
the Director.



Municipal Drinking Water Licensing Program



Licensing Program References

Drinking Water Portal

www.ontario.ca/drinkingwater

Environmental Registry

www.ebr.gov.on.ca

Environmental Review Tribunal

www.ert.gov.on.ca

Legislation:

- *Safe Drinking Water Act, 2002*

Regulations:

- O. Reg. 188/07 – Licensing of Municipal Drinking - Water Systems
- O. Reg. 453/07 – Financial Plans

Directions:

- Director's Directions, Minimum Requirements for Operational Plans – Municipal Drinking-Water Systems – July 2007

Orders:

- Minister's Order for Drinking-Water Approval and Fees

Quality Management Standard

- Drinking Water Quality Management Standard – October 2006

Publications:

- Licensing Overview Guide – September 2008
- Implementing Quality Management: A Guide For Ontario's Drinking Water Systems – July 2007
- Ontario's Drinking Water Quality Management Standard – Pocket Guide – July 2007.
- Guide for Applying for the First Drinking Water Works Permit and Municipal Drinking Water Licence and Submission of Operational Plans
- 'Guide for Applying for DWWP Amendments, Licence Amendments, Licence Renewals and New System Applications (Under Development).
- Accreditation Protocol, Operating Authorities – Municipal Drinking-Water Systems – July 2007
- Toward Financially Sustainable Drinking-Water Systems and Wastewater Systems – August 2007
- Permit To Take Water Manual – April 2005
- Guide on Applying for Approvals Related to Municipal and Non-Municipal Drinking-Water Systems – Revised November 2003 (*for Cs of A*)

Further Information:

- Ministry of the Environment - Public Information Centre at 1-800-565-4923
- Licensing Program Information Centre at 1-877-955-5455 (Local Toronto Area 416-314-1651)

Schedule B

RAW WATER ASSESSMENT

In Support of a
Municipal Drinking Water Licence

Schedule B

Raw Water Assessment

1.0 Preamble

In a multiple barrier system for providing safe drinking water, the selection and protection of a reliable, high quality drinking water source is the first barrier.

2.0 Linkage with Licensing⁴

The first Engineers' Reports prepared pursuant to O. Reg. 459/00 in 2000 and 2001 for every municipal drinking water treatment system included a full characterization of raw water and a comprehensive assessment of the treatment capabilities of the drinking water system to ensure the existing unit processes of the treatment system were appropriate and effective for the treatment of the source water. If upgrades to a particular treatment system were required, these were imposed as legal requirements through conditions placed on the consolidated C of A for the treatment system.

Generally, there would not be a need for another re-assessment of a treatment system, unless the raw water had changed in its characteristics in such a manner and to such an extent as to warrant such an activity.

In order to reasonably assure that the current treatment processes continue to be appropriate for the source water being used, the ministry requires that information respecting raw water be submitted as part of the application for the first Municipal Drinking Water System Licence and its subsequent renewals.

3.0 Application for Licence and Licence Renewal

The purpose of providing information respecting raw water in support of an application for the first Licence, or a Licence renewal, is for the owner to demonstrate to the Director that:

- the source water has not substantively deteriorated or varied from that described in the first Engineers' Report, or any additional source water reports prepared to supplement the originally submitted Engineers' Report, and
- the existing unit processes of the treatment system continue to be appropriate and effective for the treatment of the source water.

The concerns respecting the ongoing suitability of raw water sources and the current treatment being provided may be further summarized by source water category as follows:

Surface Water

Surface water supplies are presumed to contain some contaminants or be at a high risk of contamination and the applicable minimum treatment requirements consisting of chemically assisted filtration and disinfection have been established accordingly. The concern is that contamination upstream or in the vicinity of the intake might have increased or varied with time such that it could not be effectively removed or treated with the existing treatment processes. It is necessary to confirm that the current pathogen log removal or inactivation capabilities of the treatment processes continue to be

⁴ The ministry has established a periodic review of raw water through the Licence issuance and renewal process, however, the knowledge of the characteristics of the raw water supply may also need to be established or confirmed for the review of an application for an amendment to a Drinking Water Works Permit (DWWP) to allow for an alteration to the system. This would apply in the case of new drinking water treatment systems and significant alterations of existing drinking water treatment systems.

adequate, which, in turn, will be based on confirming that the raw water supply has not significantly changed in its characteristics.

Groundwater

A good groundwater supply should have no evidence of contamination by surface water⁵. The minimum treatment requirement for such supplies consists of disinfection only. The concern is that the system might have become, or might be trending towards, a **G**roundwater **U**nder the **D**irect **I**nfluence of surface water (GUDI) designation.

Groundwater Under the Direct Influence of Surface Water (GUDI)

A well water supply is a GUDI supply where there is:

- a) Physical evidence of surface water contamination (e.g. insect parts, high turbidity), or
- b) Evidence of surface water microorganisms (e.g. campylobacter, aerobic spores, cryptosporidium, giardia)

Also, subsection 2(2) of O. Reg. 170/03 specifies conditions under which well water is deemed to be groundwater under the influence of surface water unless a current report by a professional engineer or professional hydrogeologist states that the well is not a GUDI well and a MOE Director agrees with this conclusion.

A well water supply will normally be flagged as a potential GUDI system, and the undertaking of a study by a professional engineer or professional hydrogeologist may be necessary, if:

- a) The well water regularly contains Total Coliforms and/or periodically contains E.coli; or
- b) The well is located within approximately 50 days horizontal saturated travel time from surface water or are within 100m (overburden wells) or 500m (bedrock wells) of surface water (whichever is greater) and meet one of the following criteria:
 - a. The well may be drawing water from an unconfined aquifer;
 - b. The well may be drawing water from formations within approximately 15m of surface;
 - c. The well is part of an enhanced recharge/infiltration project;
 - d. When the well is pumped, water levels in the adjacent surface water body rapidly change or hydraulic gradients in the ground beside the surface water body significantly change downward in the direction of the well;
 - e. Physical and chemical water quality parameters (e.g., temperature, conductivity, turbidity, total dissolved solids, pH, colour, oxygen) in the well water are more consistent with the adjacent surface water body than the local groundwater and/or they fluctuate significantly and rapidly in response to climatological or surface water conditions.

A well water supply determined to be a GUDI supply is considered to have essentially the same risks as a surface water supply and, as such, the minimum treatment for GUDI supplies consists of chemically assisted filtration and disinfection. The concerns for this type of source water are the same as those outlined above for a surface water source.

GUDI with Effective In-situ Filtration

A water supply identified as a potential GUDI supply through the ministry review of the Engineer's Report (submitted further to the requirements of O. Reg. 459/00) would have been determined by the Director to have effective in-situ filtration when all of the following conditions were met:

- a. particle count data had shown that water consistently contained significantly less than 100 particles per ml in the size range of 10 microns and greater in size;
- b. a hydrogeologist's report had confirmed that the particle count is not likely to change during storm, seasonal or other regular environmental changes; and

- c. the raw water was characterized by good microbiological quality.

For GUDI sources determined to have effective in-situ filtration, the minimum treatment requirements imposed through conditions of the C of A would consist of enhanced disinfection alone and the system owner would also be required to take measures to protect the well from contamination and prevent deterioration of the integrity of the overburden in the vicinity of the well.

The concerns to be addressed during Licence issuance or renewal are whether the in-situ filtration provided by the overburden might no longer be effective or that any protective or preventive measures imposed by the C of A might not have been implemented.

4.0 Raw Water Characterization – General

In the case of a new drinking water system raw water characterization would normally require results of source water analyses that include all physical chemical and bacteriological parameters identified in Tables 1, 2 and 4 of the **Technical Support Document for Ontario Drinking Water Standards, Objectives and Guidelines – Revised June 2006** (ODWSOG), or as further revised from time to time, which is published in support of the **Ontario Drinking Water Quality Standards Regulation (O. Reg. 169/03)** document. This characterization would also include the gross alpha and beta screening analyses to determine if it is necessary to undertake further analyses to identify the individual radionuclides responsible for the detected radiation and determine their individual radiation intensities⁶ (Table 3 of the ODWSOG document).

The number of samples and the period of sampling frequency would be dependent on the type of source. A new secure groundwater source may only require samples taken during well pumping tests, while a new surface water supply may require sampling over a period of time sufficient to account for seasonal variations in the water quality.

The raw water characterization may also need to include such parameters as conductivity, water stability index, etc., which are not listed in the ODWSOG document, but may be essential in establishing the raw water treatability or other special treatment needs.

5.0 Raw Water Assessment – Existing Systems

For purposes of issuing the first Licence and determining that the raw water has not changed significantly enough to warrant additional treatment, the information required to be submitted may be met, in whole or in part, through historical data or knowledge.

The information submitted should include, as a minimum, a summary⁷ of the following information compiled since the first Engineer's Report prepared for the system:

- Monitoring results of raw water taken in accordance with regulatory requirements, or Conditions imposed on a C of A.
- Monitoring results of raw water taken for purposes of operational control.
- Results of any raw water assessment which may have occurred within the interim period.

⁶ When such screening is undertaken and the results are confirmed to be above a set value, the individual alpha and/or beta emitting radionuclides responsible for the radiation detected through the screening analyses must be identified and their individual radiation intensities determined. The identification of individual alpha emitters is required if the repeat gross alpha analysis result exceeds 4.0 Bq/L (repeat analysis required if the first analysis result exceeds 0.1 Bq/L). The identification of individual beta emitters is required if the repeat gross beta analysis result exceeds 0.5 Bq/L (repeat analysis required if the first analysis result exceeds 0.5 Bq/L).

⁷ The extent and content of the summary will vary from system to system and depend on the nature and availability of the information. While the individual analysis results need not be submitted, the summary should be supported by context information (e.g.: parameter, number of samples, frequency/period of sampling, ranges, averages, etc.) as available.

- In the case of a GUDI well supply which has been determined to have effective in-situ filtration (but without chemically assisted filtration as part of the treatment system), an outline of any measures implemented to protect the well from contamination and prevent deterioration of the integrity of the overburden in the vicinity of the well.

In addition, the submission may also include summary information or historical data including, but not necessarily restricted to:

- Monitoring results of treated water where the parameters in question would not be significantly removed or altered by the treatment processes of the system,
- Assessments or studies undertaken of the source water catchment area,
- Knowledge of land use activities (e.g. no agricultural activity or pesticides application within the aquifer catchment area of a well supply).

The information submitted needs to demonstrate to the ministry reviewer, and in turn the Director, that the treatment being provided (or proposed in the case of a new system) continues to be appropriate for the current source water conditions.

Where there has been some evidence or analysis results since the first Engineers' Report that the raw water may have changed or would indicate evidence of a GUDI or potential GUDI source in a well supply previously identified as a good groundwater source, further discussion on the evidence or analyses results is required. In this case, the supporting information provided must include a discussion of relevant incidents or historical occurrences and measures taken to respond to or address the occurrences and/or results of any subsequent monitoring. The ministry's review staff may request further information to support the assessment of the raw water source.

If the applicant should have any questions respecting the sufficiency of the information being provided he/she should contact the Safe Drinking Water Branch for further pre-submission consultation.

Schedule C

APPLICATION FORMS

In support of a applications

for the First
Drinking Water Works Permit
Municipal Drinking Water Licence

and acceptance of the
Operational Plan(s)