



THE REGIONAL MUNICIPALITY OF NIAGARA COUNCIL AGENDA

CL 23-2020

Thursday, December 17, 2020

6:30 p.m.

Meeting will be held by electronic participation only

This electronic meeting can be viewed on Niagara Region's Website at:

<https://www.niagararegion.ca/government/council/>

Due to the efforts to contain the spread of COVID-19 the Council Chamber will not be open to the public to attend Council meetings until further notice. To view live stream meeting proceedings, please visit: [niagararegion.ca/government/council](https://www.niagararegion.ca/government/council/)

Pages

1. CALL TO ORDER
2. ADOPTION OF AGENDA
 - 2.1. Addition of Items
 - 2.2. Changes in Order of Items
3. DISCLOSURES OF PECUNIARY INTEREST
4. PRESENTATIONS
5. CHAIR'S REPORTS, ANNOUNCEMENTS, REMARKS
6. DELEGATIONS
7. ADOPTION OF MINUTES
 - 7.1. Council Minutes CL 21-2020
Wednesday, November 18, 2020 (Special Meeting)
To be distributed.

7.2.	<u>Council Minutes CL 22-2020</u> Thursday, November 19, 2020 (Regular Meeting)	6 - 25
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8. CORRESPONDENCE

8.1.	<u>Receive and/or Refer</u> None.	
8.2.	<u>For Consideration</u>	
8.2.1.	CSD 79-2020 COVID-19 Cash Flow Update Report - December	26 - 30
8.2.2.	CL-C 111-2020 Appointment to Southwestern Integrated Fibre Technology (SWIFT) Board	31 - 38
8.2.3.	HR 6-2020 Chief Administrative Officer (CAO) Recruitment – Regional Councillor Appointments to the CAO Recruitment Committee	39 - 58

9. COMMITTEE REPORTS - OPEN SESSION

9.1.	<u>Budget Review Committee of the Whole</u> Minutes BRCOTW 3-2020, Thursday, November 26, 2020 To be distributed.	
9.2.	<u>Audit Committee</u> Minutes AC 3-2020, Monday, December 7, 2020	59 - 119
9.3.	<u>Public Works Committee</u> Minutes PWC 11-2020, Tuesday, December 8, 2020	120 - 403
9.4.	<u>Public Health and Social Services Committee</u> Minutes PHSSC 11-2020, Tuesday, December 8, 2020	404 - 479
9.5.	<u>Corporate Services Committee</u> Minutes CSC 11-2020, Wednesday, December 9, 2020	480 - 697
9.6.	<u>Planning and Economic Development Committee</u> Minutes PEDC 10-2020, Wednesday, December 9, 2020	698 - 833
9.7.	<u>Committee of the Whole</u> Minutes COTW 5-2020, Thursday, December 10, 2020 To be distributed.	

- 9.8. Budget Review Committee of the Whole
Minutes BRCOTW 4-2020, Thursday, December 10, 2020
To be distributed.

10. CHIEF ADMINISTRATIVE OFFICER'S REPORT(S)

- 10.1. CAO 23-2020 834 - 846
Diversity, Equity and Inclusion Advisory Committee
- 10.2. CAO 24-2020
Second Progress Report respecting Implementation of
Recommendations from the Ontario Ombudsman Report "Inside Job"
To be distributed.
- 10.3. CAO 25-2020 847 - 853
Recruitment – Associate Medical Officer of Health

11. MOTIONS

- 11.1. Creation of a Lobbyist Registry for the Region of Niagara 854
In accordance with the notice and submission deadline requirements of
Sections 18.1 (a) and 11.3, respectively, of Niagara Region's Procedural
By-law, the Regional Clerk received from Councillor Ip a motion to be
brought forward for consideration at the December 17, 2020 Council
meeting respecting Creation of a Lobbyist Registry for the Region of
Niagara.

12. NOTICES OF MOTION

13. OTHER BUSINESS

14. CLOSED SESSION

- 14.1. Committee Reports - Closed Session
- 14.1.1. Audit Committee - Closed Session
Monday December 7, 2020
- 14.1.2. Corporate Services Committee - Closed Session
Wednesday, December 9, 2020
- 14.1.3. Committee of the Whole - Closed Session
Minutes COTW 5-2020, Thursday, December 10, 2020
To be distributed.

14.2. Confidential Reports Submitted Directly to Council

- 14.2.1. Confidential HR 7-2020
A Matter of Labour Relations: ONA Homes Interest Arbitration Award
- 14.2.2. Confidential CL-C 112-2020
A Matter of Labour Relations or Employee Negotiations under s.239(2) of the Municipal Act, 2001 – Niagara Regional Housing Alternative Service Delivery (Confidential NRH Report 17-2020)
- 14.2.3. Confidential CL-C 113-2020
A Matter concerning Personal Matters about identifiable individuals under s. 239(2) of the Municipal Act, 2001- Update on Whistleblower Policy Complaints

15. BUSINESS ARISING FROM CLOSED SESSION

16. BY-LAWS

- 16.1. Bill 2020-87 855 - 876
A by-law to authorize the borrowing upon serial debentures in the aggregate principal amount of \$35,754,409.00 for capital works of The Regional Municipality of Niagara.
- 16.2. Bill 2020-88 877 - 896
A by-law to authorize the borrowing upon serial debentures in the principal amount of \$15,335,000.00 for a capital work of the Regional Municipality of Niagara.
- 16.3. Bill 2020-89 897 - 914
A by-law to authorize the borrowing upon serial debentures in the principal amount of \$3,350,000.00 for a capital work of The Regional Municipality of Niagara.
- 16.4. Bill 2020-90 915 - 916
A by-law to accept, assume and dedicate Part of Township Lot 24 in the City of Niagara Falls as part of Regional Road No. 101 (Portage Road).
- 16.5. Bill 2020-91 917
A by-law to adopt, ratify and confirm the actions of Regional Council at its meeting held on December 17, 2020.

17. ADJOURNMENT

If you require any accommodations for a disability in order to attend or participate in meetings or events, please contact the Accessibility Advisor at 905-980-6000 ext. 3252 (office), 289-929-8376 (cellphone) or accessibility@niagararegion.ca (email).

**THE REGIONAL MUNICIPALITY OF NIAGARA
PROCEEDINGS OF COUNCIL
OPEN SESSION**

**CL 22-2020
Thursday, November 19, 2020
Council Chamber / Video Conference
Niagara Region Headquarters, Campbell West
1815 Sir Isaac Brock Way, Thorold, ON**

Council Members Present in the Council Chamber: Bradley (Regional Chair), Foster

Council Members Present via Video Conference: Butters, Bylsma, Campion, Chiocchio, Darte, Diodati, Disero, Easton, Edgar, Fertich, Gale, Gibson, Greenwood, Heit, Huson, Ip, Jordan, Junkin, Nicholson, Redekop, Rigby, Sendzik, Steele, Ugulini, Villella, Whalen, Witteveen, Zalepa

Absent/Regrets: Bellows, Insinna

Staff Present in the Council Chamber: D. Gibbs, Director, Legal & Court Services, T. Harrison, Commissioner/Treasurer, Corporate Services, M. Lewis, Technology Support Analyst, F. Meffe, Director, Human Resources, A.-M. Norio, Regional Clerk, R. Tripp, Acting Chief Administrative Officer, B. Zvaniga, Interim Commissioner, Public Works

Staff Present via Video Conference: H. Chamberlain, Director, Financial Management & Planning/Deputy Treasurer, D. Giles, Acting Commissioner, Planning & Development Services, C. Habermehl, Director, Waste Management Services, Dr. M. M. Hirji, Acting Medical Officer of Health, B. Menage, Director, Procurement & Strategic Acquisitions, M. Robinson, Director, GO Implementation Project, J. Shickluna, Manager, Housing Programs, Niagara Regional Housing, K. Smith, Chief/Director, Emergency Medical Services, M. Trennum, Deputy Regional Clerk

1. CALL TO ORDER

Regional Chair Bradley called the meeting to order at 6:33 p.m.

2. ADOPTION OF AGENDA

2.1 Addition of Items

There were no items added to the agenda.

2.2 Changes in Order of Items

There were no changes in the order of items on the agenda.

Moved by Councillor Ugolini
Seconded by Councillor Fertich

That Council Agenda CL 22-2020, **BE ADOPTED.**

Carried

3. **DISCLOSURES OF PECUNIARY INTEREST**

Ron Tripp, Acting Chief Administrative Officer, advised Council that he would be excusing himself from the discussion on Report CHR 6-2020 (Agenda Item 8.2.2), respecting Options for Consideration Regarding the Selection of the Chief Administrative Officer.

4. **PRESENTATIONS**

There were no presentations.

5. **CHAIR'S REPORTS, ANNOUNCEMENTS, REMARKS**

The Regional Chair provided an update respecting activities within the Region and the efforts of Niagara Region with respect to the COVID-19 pandemic.

6. **DELEGATIONS**

6.1 COVID-19 Response and Business Continuity in Public Health & Emergency Services (November 2020) (Report CAO 21-2020 (Agenda Item 10.1))

6.1.1 Bruno Carusetta, Resident, City of Welland

This delegation was heard at the Special Regional Council meeting held on November 18, 2020.

7. **ADOPTION OF MINUTES**

7.1 Council Minutes CL 19-2020

Thursday, October 22, 2020 (Special Meeting)

Moved by Councillor Gibson
Seconded by Councillor Whalen

That Minutes CL 19-2020 being the Open and Closed Session minutes of the Special Regional Council meeting held on Thursday, October 22, 2020, **BE ADOPTED.**

Carried

7.2 Council Minutes CL 20-2020

Thursday, October 22, 2020 (Regular Meeting)

Moved by Councillor Witteveen
Seconded by Councillor Steele

That Minutes CL 20-2020 being the Open Session minutes of the Regular Regional Council meeting held on Thursday, October 22, 2020, **BE ADOPTED.**

Carried

8. CORRESPONDENCE

8.1 Receive and/or Refer

Moved by Councillor Heit
Seconded by Councillor Disero

That the following items **BE DEALT WITH** as follows:

CL-C 103-2020 respecting Niagara Region Integrity Commissioner Annual Report August 17, 2019 - August 16, 2020, **BE RECEIVED**;

CL-C 104-2020 respecting Report on Code of Conduct Complaint - IC-223-0720 - Councillor Sandra Easton, **BE RECEIVED**;

CL-C 105-2020 respecting Council resolution regarding Double Direct Councillors, **BE RECEIVED**;

CL-C 106-2020 respecting Tender Process - Liquid Biosolids and Residuals Management Program, **BE RECEIVED.**

Correspondence Item CL-C 106-2020 (Agenda Item 8.1.4) was considered separately as follows:

That Correspondence Item CL-C 106-2020, being a letter from B. Matson, City Clerk, City of Niagara Falls, dated October 30, 2020, respecting Tender Process - Liquid Biosolids and Residuals Management Program, **BE RECEIVED** for information.

Recorded Vote:

Yes (21): Butters, Bylsma, Campion, Chiocchio, Disero, Easton, Edgar, Foster, Gibson, Greenwood, Heit, Huson, Ip, Jordan, Redekop, Rigby, Sendzik, Steele, Ugulini, Witteveen, Zalepa.

No (8): Darte, Diodati, Fertich, Gale, Junkin, Nicholson, Villella, Whalen.

Carried

The Regional Chair called the vote on the balance of the motion, and declared it,

Carried

8. CORRESPONDENCE

8.2 For Consideration

8.2.1 CSD 72-2020

COVID-19 Cash Flow Update Report - November

Moved by Councillor Ugulini
Seconded by Councillor Rigby

That Report CSD 72-2020, dated November 19, 2020, respecting COVID-19 Cash Flow Update Report – November, **BE RECEIVED** for information.

Carried

8.2 For Consideration

8.2.2 CHR 6-2020

Options for Consideration Regarding the Selection of the Chief Administrative Officer

Moved by Councillor Witteveen
Seconded by Councillor Huson

That Report CHR 6-2020, dated November 19, 2020, respecting Options for Consideration Regarding the Selection of the Chief Administrative Officer, **BE RECEIVED**.

Moved by Councillor Zalepa
Seconded by Councillor Whalen

That the motion **BE AMENDED** to include the following:

That staff BE DIRECTED to provide a report to initiate the Chief Administrative Officer Recruitment Committee at the Regional Council meeting being held on December 17, 2020.

Carried

The Regional Chair called the vote on the motion, as amended, as follows:

That Report CHR 6-2020, dated November 19, 2020, respecting Options for Consideration Regarding the Selection of the Chief Administrative Officer, **BE RECEIVED**; and

That staff **BE DIRECTED** to provide a report to initiate the Chief Administrative Officer Recruitment Committee at the Regional Council meeting being held on December 17, 2020.

Carried

8.2.3 CL-C 107-2020

Recommendation for Consideration from the T. Roy Adams Humanitarian Award Committee meeting held November 16, 2020

Moved by Councillor Campion
Seconded by Councillor Steele

That Correspondence Item CL-C 107-2020, being a memorandum from A.-M. Norio, Regional Clerk, dated November 19, 2020, respecting Recommendation for Consideration from the T. Roy Adams Humanitarian Award Committee meeting held November 16, 2020, **BE RECEIVED** and the following recommendation **BE APPROVED**:

1. That the recommendation contained in Confidential Appendix 1 to Correspondence Item CL-C 107-2020 to confirm the 2020 recipient of the T. Roy Adams Humanitarian of Year Award, **BE APPROVED**.

Carried

9. **COMMITTEE REPORTS - OPEN SESSION**

9.1 Corporate Services Committee

Minutes CSC 10-2020, Monday, November 9, 2020

Moved by Councillor Foster
Seconded by Councillor Whalen

That Report CSC 10-2020 being the Open Session minutes of the Corporate Services Committee meeting held on Monday, November 9, 2020, **BE RECEIVED** and the recommendations contained therein **BE APPROVED**.

9.1 Corporate Services Committee

9.1.1 Minute Item 5.2 respecting Niagara Regional Hospital Funding Policy

The motion contained in Minute Item 5.2 was considered separately as follows:

That Report CSD 73-2020, dated November 9, 2020, respecting Niagara Regional Hospital Funding Policy, **BE RECEIVED** and the following recommendation **BE APPROVED**:

1. That staff **BE DIRECTED** to develop a formal policy based on the hybrid option in Boulevard Strategy Group's "The Niagara Regional Hospital Funding Report".

Moved by Councillor Easton
Seconded by Councillor Diodati

That the motion **BE AMENDED** to include the following clause:

2. That the formal policy on the hybrid option **BE FORWARDED** and **INCLUDED** for discussion in the 2021 budget as specified in the request for the West Lincoln Memorial Hospital rebuild with the Region share of 18%.

Recorded Vote:

Yes (21): Bylsma, Campion, Chiocchio, Diodati, Disero, Easton, Edgar, Fertich, Foster, Gale, Gibson, Greenwood, Huson, Jordan, Junkin, Nicholson, Redekop, Sendzik, Ugolini, Villella, Witteveen.

No (8): Butters, Darte, Heit, Ip, Rigby, Steele, Whalen, Zalepa.

Carried

The Regional Chair called the vote on the motion, as amended, as follows:

That Report CSD 73-2020, dated November 9, 2020, respecting Niagara Regional Hospital Funding Policy, **BE RECEIVED** and the following recommendation **BE APPROVED**:

1. That staff **BE DIRECTED** to develop a formal policy based on the hybrid option in Boulevard Strategy Group's "The Niagara Regional Hospital Funding Report"; and

2. That the formal policy on the hybrid option **BE FORWARDED** and **INCLUDED** for discussion in the 2021 budget as specified in the request for the West Lincoln Memorial Hospital rebuild with the Region share of 18%.

Recorded Vote:

Yes (27): Butters, Bylsma, Campion, Chiocchio, Darte, Diodati, Disero, Easton, Edgar, Fertich, Foster, Gale, Gibson, Greenwood, Huson, Ip, Jordan, Junkin, Nicholson, Redekop, Rigby, Sendzik, Steele, Ugulini, Villella, Whalen, Witteveen.

No (2): Heit, Zalepa.

Carried

9.1.2 Balance of the recommendations from Corporate Services Committee

The Regional Chair called the vote on the balance of the recommendations from the Corporate Services Committee, and declared it,

Carried

9.2 Planning and Economic Development Committee

Minutes PEDC 9-2020, Monday, November 9, 2020

Moved by Councillor Huson
Seconded by Councillor Darte

That Report PEDC 9-2020 being the Open Session minutes of the Planning & Economic Development Committee meeting held on Monday, November 9, 2020, **BE RECEIVED** and the recommendations contained therein **BE APPROVED**.

Carried

9.3 Public Works Committee

Minutes PWC 10-2020, Tuesday, November 10, 2020

Moved by Councillor Rigby
Seconded by Councillor Edgar

That Report PWC10-2020 being the Open Session minutes of the Public Works Committee meeting held on Tuesday, November 10, 2020, **BE RECEIVED** and the recommendations contained therein **BE APPROVED**.

9.3.1 Minute Item 5.3 respecting Recommendations for Consideration from the Linking Niagara Transit Committee Meeting held on October 21, 2020

The motion contained in Minute Item 5.3 was considered separately as follows:

That Correspondence Item PWC-C 44-2020, being a memorandum from A.-M. Norio, Regional Clerk, dated November 10, 2020, respecting Recommendations for Consideration from the Linking Niagara Transit Committee meeting held October 21, 2020, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That Report LNTC-C 4-2020 **BE FORWARDED** to the Clerks of Niagara's twelve (12) local area municipalities and that they **BE REQUESTED** to have the Council's of the twelve (12) local area municipalities consider the resolution outlined in Appendix 1 to Report LNTC-C 4-2020, advising the Regional Clerk of any municipal feedback, no later than February 28, 2021; and
2. That Council **DIRECT** staff to undertake an assessment of the proposed resolution outlined in Appendix 1 to Report LNTC-C 4-2020 and **REPORT BACK** to the Public Works Committee, no later than February 28, 2021, evaluating the expected impacts to Niagara Region Transit, Niagara Specialized Transit, Niagara Region Transit OnDemand, and the Regional tax levy from the proposed resolution.

Carried

9.3.2 Balance of the Recommendations from Public Works Committee

The Regional Chair called the vote on the balance of the recommendations from the Public Works Committee and declared it,

Carried

9.4 Public Health and Social Services Committee

Minutes PHSSC 10-2020, Tuesday, November 10, 2020

Moved by Councillor Chiocchio
Seconded by Councillor Greenwood

That Report PHSSC 10-2020 being the Open Session minutes of the Public Health & Social Services Committee meeting held on Tuesday, November 10, 2020, **BE RECEIVED** and the recommendations contained therein **BE APPROVED**.

Carried

10. CHIEF ADMINISTRATIVE OFFICER'S REPORT(S)

10.1 CAO 21-2020

COVID-19 Response and Business Continuity in Public Health & Emergency Services (November 2020)

This item was considered at the Special Regional Council meeting held on November 18, 2020.

10.2 CAO 22-2020

Liquid Biosolids and Residuals Program Management

Moved by Councillor Heit
Seconded by Councillor Rigby

That Memorandum CAO 22-2020, dated November 19, 2020, respecting Liquid Biosolids and Residuals Program Management, **BE RECEIVED** for information.

Recorded Vote:

Yes (21): Butters, Bylsma, Campion, Chiocchio, Disero, Easton, Edgar, Foster, Gibson, Greenwood, Heit, Huson, Ip, Jordan, Redekop, Rigby, Sendzik, Steele, Ugulini, Witteveen, Zalepa.

No (8): Darte, Diodati, Fertich, Gale, Junkin, Nicholson, Villella, Whalen.

Carried

11. **MOTIONS**

11.1 Miller's Creek Marina/Resort Development

Moved by Councillor Redekop
Seconded by Councillor Gale

Whereas the Niagara Parks Commission ("NPC") has considered options for the operation or closing of its marina on the Niagara River in Fort Erie, near Miller's Creek;

Whereas in 2005, the NPC agreed to work with the Town of Fort Erie to permit the Fort Erie Economic Development & Tourism Corporation ("EDTC") to undertake a Request for Proposals process for the expansion and enhancement of the marina and potential development of the lands between the Niagara Parkway and Cairns Crescent ("the adjacent lands");

Whereas as a result of the cooperative efforts of the NPC, Town of Fort Erie and the EDTC, submissions were received for expansion and enhancement of the marina and the development of a resort on the adjacent lands;

Whereas since 2012, the NPC has embarked on a number of processes with a view to proceed with a marina/resort development at the Miller's Creek Marina, including consultations with the Town of Fort Erie and Niagara Region;

Whereas the NPC's most recent initiative resulted at the end of August 2017 in no proponent submitting a response to the NPC's Request for Proposals for development at the marina;

Whereas the NPC continues to be committed to marina enhancements and development on the adjacent lands;

Whereas the Council of the Region of Niagara understands that there remains developer interest in proceeding to develop the marina and adjacent lands at Miller's Creek Marina.

NOW THEREFORE BE IT RESOLVED:

1. That the Council of the Region of Niagara **REITERATES** its continuing support for the expansion and enhancement of the marina and a resort development on the adjacent lands at the Niagara Park Commission's Miller's Creek Marina;

2. That Council **URGES** the Niagara Parks Commission to continue its discussions with the Province of Ontario regarding the transfer of a portion of the adjacent lands to facilitate redevelopment of the marina and development of a resort;
3. That Council **REQUESTS** the Niagara Parks Commission to review the realignment of the Niagara Parkway to allow for the marina and resort development;
4. That Council **REQUESTS** that the Niagara Parks Commission work with the Town of Fort Erie and the Region of Niagara in the preparation and circulation of a public Request or Call for Proposals (RFP) that maintains the integrity of the mandate of the Niagara Parks Commission;
5. That a copy of this resolution **BE FORWARDED** to the Chair of the Niagara Parks Commission for action;
6. That a copy of this resolution **BE FORWARDED** to the Premier of the Province of Ontario, the Minister of Tourism, Culture and Sport, the Minister of Infrastructure, the Chair of the Region of Niagara, local area MPPs, and the Honourable Tony Baldinelli, MP; and
7. That a copy of this resolution **BE CIRCULATED** to the Councils of the local municipalities in Niagara for their support.

Carried

11.2 Liquid Biosolids Procurement Process

Moved by Councillor Gale
Seconded by Councillor Dart

Whereas the bio-solids program, a multi-million-dollar, multi-year-service contract was subject to the Region's Procurement By-law;

Whereas the procurement was abruptly cancelled;

Whereas in January 2020, staff recommended a non-competitive, sole source contract regarding the bio-solids program, be awarded to Thomas Nutrients;

Whereas Council received a delegation from Terrapure Environmental in January 2020, that alleged the staff procurement process related to the bio-solids program was "faulty and unfair", that the report contained inaccurate information, and that Council was being "misled" by staff;

Whereas on April 6, 2020 the Acting CAO and 4 Councillors, under the Council initiated Whistleblower Policy, actually received two whistleblower complaints in regards to issues within the Water and Wastewater division, which included the bio-solids program;

Whereas the Whistleblower Policy complaint requires that complaints be investigated expeditiously, and the current investigation has been delayed;

Whereas, due to the investigation delays, Council was made aware of the delay on July 30, 2020, and were assured by staff that the investigation would be initiated;

Whereas the whistleblower complaint investigation was further delayed, as senior management initially hired a labour law firm, and then terminated the firm, and hired an another investigative firm;

Whereas Council unanimously rejected the recommended sole source contract to Thomas Nutrients, and directed staff to conduct a competitive process for the multi-year, multi-dollar bio-solids program;

Whereas, even though the whistleblower complaint investigation was not complete, staff proceeded to recommend the awarding the bio-solids program to Thomas Nutrients;

Whereas the award to Thomas Nutrients, via a competitive process, was approximately \$2 million (over 5 years) less than the initial recommended sole source contract back in January;

Whereas the staff report that recommended the contract be awarded to Thomas Nutrients, did not contain the results (points and costs of each applicant) of the competitive process;

Whereas the Procurement By-law permits the results of the procurement process to be made public, that applications become property of the corporation, and applicants agree to have the results published;

Whereas, a local media report disclosed that the second place bidder was approximately \$900,000 per year lower in costs than the Thomas Nutrients bid, representing approximately \$4.5 million (over 5 years) of the contract;

Whereas the global pandemic has placed a financial strain on municipalities and families across Niagara, and every taxed dollar spent by Niagara should be reviewed;

Whereas Council received public advice from staff that the bio-solids contract should be awarded to the incumbent vendor or face the possibility of lawsuits;

Whereas the procurement process included a Fairness Commissioner, however the Fairness Commissioner was not involved in the scoring evaluation completed by staff;

Whereas a local media report has revealed that one of the unsuccessful applicants has challenged the procurement process, and the corporation may have to defend this challenge at additional costs;

NOW THEREFORE BE IT RESOLVED:

1. That staff **BE DIRECTED** to:

- a. Provide an interim report of the current status and preliminary results of the whistleblower complaint investigation, and that a representative from the initial law firm, and a representative from the current investigation firm, attend the Council meeting to answer any Council questions;
- b. Provide a public report to Council listing the procurement results (actual scores and prices), from the bio-solids procurement process, and a confidential appendix with the actual scoring sheets completed by staff; and
- c. Retain an external legal firm to provide Council advice on the legal aspects of the current contract and the current challenge of one of the vendors;

2. That this direction to staff **BE COMPLETED** by the next Council meeting.

Moved by Councillor Rigby
Seconded by Councillor Huson

That the motion **BE DEFERRED** until the completion of the whistleblower investigation.

Recorded Vote:

Yes (10): Bylsma, Disero, Foster, Gale, Heit, Huson, Redekop, Rigby, Villella, Whalen.

No (18): Butters, Campion, Chiocchio, Darte, Diodati, Easton, Edgar, Fertich, Gibson, Greenwood, Ip, Jordan, Junkin, Nicholson, Steele, Ugulini, Witteveen, Zalepa.

Defeated

The following friendly **amendment** was accepted by the Regional Chair, and the mover and seconder of the motion to remove clause 1(c):

~~c. Retain an external legal firm to provide Council advice on the legal aspects of the current contract and the current challenge of one of the vendors.~~

The Regional Chair called the vote on the motion, as amended, as follows:

Whereas the bio-solids program, a multi-million-dollar, multi-year-service contract was subject to the Region's Procurement By-law;

Whereas the procurement was abruptly cancelled;

Whereas in January 2020, staff recommended a non-competitive, sole source contract regarding the bio-solids program, be awarded to Thomas Nutrients;

Whereas Council received a delegation from Terrapure Environmental in January 2020, that alleged the staff procurement process related to the bio-solids program was "faulty and unfair", that the report contained inaccurate information, and that Council was being "misled" by staff;

Whereas on April 6, 2020 the Acting CAO and 4 Councillors, under the Council initiated Whistleblower Policy, actually received two whistleblower complaints in regards to issues within the Water and Wastewater division, which included the bio-solids program;

Whereas the Whistleblower Policy complaint requires that complaints be investigated expeditiously, and the current investigation has been delayed;

Whereas, due to the investigation delays, Council was made aware of the delay on July 30, 2020, and were assured by staff that the investigation would be initiated;

Whereas the whistleblower complaint investigation was further delayed, as senior management initially hired a labour law firm, and then terminated the firm, and hired an another investigative firm;

Whereas Council unanimously rejected the recommended sole source contract to Thomas Nutrients, and directed staff to conduct a competitive process for the multi-year, multi-dollar bio-solids program;

Whereas, even though the whistleblower complaint investigation was not complete, staff proceeded to recommend the awarding the bio-solids program to Thomas Nutrients;

Whereas the award to Thomas Nutrients, via a competitive process, was approximately \$2 million (over 5 years) less than the initial recommended sole source contract back in January;

Whereas the staff report that recommended the contract be awarded to Thomas Nutrients, did not contain the results (points and costs of each applicant) of the competitive process;

Whereas the Procurement By-law permits the results of the procurement process to be made public, that applications become property of the corporation, and applicants agree to have the results published;

Whereas, a local media report disclosed that the second place bidder was approximately \$900,000 per year lower in costs than the Thomas Nutrients bid, representing approximately \$4.5 million (over 5 years) of the contract;

Whereas the global pandemic has placed a financial strain on municipalities and families across Niagara, and every taxed dollar spent by Niagara should be reviewed;

Whereas Council received public advice from staff that the bio-solids contract should be awarded to the incumbent vendor or face the possibility of lawsuits;

Whereas the procurement process included a Fairness Commissioner, however the Fairness Commissioner was not involved in the scoring evaluation completed by staff;

Whereas a local media report has revealed that one of the unsuccessful applicants has challenged the procurement process, and the corporation may have to defend this challenge at additional costs;

NOW THEREFORE BE IT RESOLVED:

1. That staff **BE DIRECTED** to:

- a. Provide an interim report of the current status and preliminary results of the whistleblower complaint investigation, and that a representative from the initial law firm, and a representative from the current investigation firm, attend the Council meeting to answer any Council questions;
- b. Provide a public report to Council listing the procurement results (actual scores and prices), from the bio-solids procurement process, and a confidential appendix with the actual scoring sheets completed by staff; and

2. That this direction to staff **BE COMPLETED** by the next Council meeting.

Recorded Vote:

Yes (9): Campion, Chiocchio, Darte, Diodati, Fertich, Gale, Nicholson, Villella, Whalen.

No (18): Butters, Bylsma, Disero, Easton, Edgar, Foster, Gibson, Greenwood, Heit, Huson, Ip, Jordan, Redekop, Rigby, Steele, Ugulini, Witteveen, Zalepa.

Defeated

12. NOTICES OF MOTION

12.1 COVID 19 Act – Schedule 6 - Conservation Authorities Act

Moved by Councillor Steele

Seconded by Councillor Bylsma

That the notice requirements under Section 18.1 of the Procedural By-law **BE WAIVED** to permit the consideration of a motion from Councillor Foster with respect to *COVID-19 Act - Schedule 6 - Conservation Authorities Act*.

Two-thirds majority having been achieved, the Regional Chair declared the motion,

Carried

Moved by Councillor Foster

Seconded by Councillor Huson

WHEREAS Bill 229, Protect, Support and Recover from COVID 19 Act - Schedule 6 – Conservation Authorities Act introduces changes and new sections that could significantly impact conservation authorities' mandate of watershed-based natural resource management; alter good governance standards recommend by Ontario's Auditor General; and, in the case of the Region of Niagara, weaken Niagara Peninsula Conservation Authority's (NPCA) ability to serve its municipal partners and communities in the protection from natural hazards and conserving natural resources through its planning, permitting and enforcement activities;

WHEREAS the proposed amendments have the potential to add significant delays in the planning and permitting process, add costs for all parties involved, and ultimately have the potential for significant impacts on the Province's ability to provide flooding and natural hazards management contrary to the Special Advisor's Report on Flooding and Ontario's Flooding Strategy;

WHEREAS the NPCA has already made significant investments to establish a very high standard of governance, transparency, accountability and progressive enforcement based on the Ontario Auditor General's recommendations and streamlining our permitting and land use planning reviews through Conservation Ontario's Client Service and Streamlining Initiative;

WHEREAS the NPCA and other Conservation Authorities take pride in being a science-based community-focused delivery partner to the Province and municipalities for over seven decades in supporting sustainable growth and green economy for the future of Ontario's taxpayers;

WHEREAS the NPCA passed at its Full Authority Board of November 19 2020 the motion FA-63-20 outlining the NPCA concerns.

NOW THEREFORE BE IT RESOLVED:

1. That the Region of Niagara **SUPPORT** the motion from the NPCA Board of Directors and the request to the Government of Ontario to remove the proposed Schedule 6 from Bill 229 and continue to work with conservation authorities on regulations proposed under previous Bill 108 to achieve desired improvements in the planning process; and
2. That the Regional Chair **BE DIRECTED** to send a letter to the Premier, Minister of Environment, Conservation and Parks, the Minister of Natural Resources and Forestry, the Minister of Municipal Affairs and Housing, the Minister of Finance, the Auditor General; partner municipalities, and Conservation Ontario voicing the Region of Niagara's position.

The following friendly **amendment** was accepted by the Regional Chair, and the mover and seconder of the motion:

2. That the Regional Chair **BE DIRECTED** to send a letter to the Premier, Minister of Environment, Conservation and Parks, the Minister of Natural Resources and Forestry, the Minister of Municipal Affairs and Housing, the Minister of Finance, the Auditor General; partner municipalities, and Conservation Ontario **and the local area Members of Provincial Parliament** voicing the Region of Niagara's position.

The following friendly **amendment** was accepted by the Regional Chair, and the mover and seconder of the motion:

2. That the Regional Chair **BE DIRECTED** to send a letter to the Premier, Minister of Environment, Conservation and Parks, the Minister of Natural Resources and Forestry, the Minister of Municipal Affairs and Housing, the Minister of Finance, the Auditor General; partner municipalities, and Conservation Ontario and the local area Members of Provincial Parliament **and the Association of Municipalities of Ontario** voicing the Region of Niagara's position.

The Regional Chair called the vote on the motion, as amended, and declared it,

Carried

12.2 Lobbyist Registry

Councillor Ip advised that she would be bringing forward a motion to the next Council meeting respecting the creation of a lobbyist registry.

12.3 Service Delivery Review

Councillor Zalepa advised that he would be bringing forward a motion to the next Council meeting respecting service delivery review opportunities.

13. OTHER BUSINESS

13.1 Double Duty Councillors

Moved by Councillor Diodati
Seconded by Councillor Disero

That staff **BE DIRECTED** to provide a report respecting Double Duty Councillors as outlined in Correspondence Item CL-C 105-2020 received from the City of Niagara Falls.

Recorded Vote:

Yes (17): Butters, Bylsma, Campion, Chiocchio, Darte, Diodati, Disero, Easton, Fertich, Gale, Gibson, Jordan, Junkin, Nicholson, Rigby, Steele, Zalepa.

No (10): Edgar, Foster, Greenwood, Heit, Huson, Ip, Redekop, Villella, Whalen, Witteveen.

Carried

Councillor Information Request(s):

Provide information respecting any public consultation completed by the City of Niagara Falls regarding double duty councillors. Councillor Huson.

14. CLOSED SESSION

Council did not resolve into closed session.

15. BUSINESS ARISING FROM CLOSED SESSION

Council did not resolve into closed session.

16. BY-LAWS

Moved by Councillor Edgar
Seconded by Councillor Fertich

That the following Bills **BE NOW READ** and **DO PASS**:

Bill 2020-82

A by-law to approve the submission of an application to Ontario Infrastructure and Lands Corporation ("OILC") for the long-term financing of certain capital works(s) of The Regional Municipality of Niagara to authorize the entering into of a rate offer letter agreement pursuant to which the municipality will issue debentures to OILC.

Bill 2020-83

A by-law to appoint by-law enforcement officers for the purposes of enforcing the Outdoor Second-Hand Smoking and Vaping By-law.

Bill 2020-84

A by-law to amend By-law No. 2019-79 being a by-law to define budget planning requirements for the Regional Municipality of Niagara.

Bill 2020-85

A by-law to adopt, ratify and confirm the actions of Regional Council at its meeting held on November 19, 2020.

Carried

17. ADJOURNMENT

There being no further business, the meeting adjourned at 10:22 p.m.

Jim Bradley
Regional Chair

Matthew Trennum
Deputy Regional Clerk

Ann-Marie Norio
Regional Clerk

Subject: COVID-19 Cash Flow Update Report - December

Report to: Regional Council

Report date: Thursday, December 17, 2020

Recommendations

1. That this report **BE RECEIVED** for information.

Key Facts

- The purpose of this report is to provide Council with an update on Niagara Region's cash flow position and forecast for November with specific reference to the impacts of concessions made to Local Area Municipalities (LAMs) to align with their concessions to the taxpayers in Niagara.
- Monthly cash flow updates are provided to Council in response to report CSD 31-2020, which generally approved deferrals of LAM tax and water and wastewater remittances to the Region, as well as waiving interest charges on late payments.
- Overall the amount due from the LAMs for general and special purposes tax levies and water and wastewater payments in Q4 is approximately \$146 million.
- Cash flow forecasting is an important tool to ensure that sufficient funds are available to meet the Region's operating and capital payment obligations.

Financial Considerations

The COVID-19 pandemic has caused a strain on a number of financial resources. Niagara Region cash balances are impacted by increased spending for pandemic relief services, as well as by deferred and/or reduced revenue collections.

The Region's cash flows are monitored to ensure sufficient liquidity to provide for ongoing operations. Balances have increased compared to forecast; this is the result primarily of improved collection experienced by the LAMs and reduced outflows compared to forecast. Graph 1 provides an illustration of the updated cash flow forecast for the Niagara Region for the remainder of the year.

Graph 1: 2020 Cash Flow Forecast



The following are updates since the October cash flow report CSD 72-2020 – 2020 COVID-19 Cash Flow Update Report – November:

- Water and Wastewater remittances of \$9.6 million, versus the total billed \$9.9 million (for October flows, due November 30), represent 3% arrears (\$0.3 million)
- Water and Wastewater February through September flows have remittances outstanding of \$2.8 million, which is unchanged from the last report.
- Water flows continue to be down, however the most recent flow information indicates a decline of 1.6% over the three-year average.
- The transition of responsibility for managing the construction of the Canada Summer Games Park continues, updates to the cash flow forecast will be made once finalized.

Analysis

The Region conducts cash flow forecasts to ensure sufficient operating liquidity by estimating the available cash deposits, expected inflows, and required disbursements. Common inflows include tax and rate remittances from the LAMs, grant revenue from other levels of government, debenture proceeds, interest revenue from investments and other revenue from fees and services. Outflows typically represent employee payroll and benefits, anticipated payments such as debt service and payments to vendors for goods and services for both operating and capital costs. COVID-19 implications have

had an adverse impact on the Region's cash flow forecast; however, the Region has taken measures to mitigate financial impacts.

Impacts on Niagara Region Cash Flows:

LAM remittances:

The largest impact to the Region's cash flow forecast is the implementation of the concessions approved through report CSD 31-2020, including partial payments for the general tax and special purpose levy amounts as well as amendments to the water and wastewater collections.

The fourth levy instalment has been remitted in full from all LAMs, with no interest charges applied.

Water and Wastewater billings are completed on the 15th of the following month and due by the end of that month; January through October have been billed and due dates passed. Ten municipalities have paid October billings in full, and one has made a partial payment; this represents \$0.3 million outstanding or 3% in arrears of the total \$9.9 million. The total unpaid balance has increased to \$3.1 million from \$2.8 million. Billings for the November water and wastewater charges occurs mid December and is due at the end of December.

Conclusion: Concessions approved in CSD 31-2020 are now limited to water and wastewater payments; any outstanding arrears are due December 31st, with interest charges are being waived for the whole of 2020.

Capital Project activity:

Capital projects continue to progress to the extent possible acknowledging any staff and industry constraints. Capital project spending has an impact on cash flows; it does not affect the operating budget, as the cost of capital has been previously approved in prior year budgets, either through contributions to capital reserves, debt issuances, or from external contributions. There are currently 563 approved capital projects with budget remaining as at the end of November of \$763 million.

Conclusion: Capital spending continues to be less than forecasted resulting in a positive impact on the cash flow to date; this has not affected strategy. The capital projects that were deemed non-urgent previously continue to be delayed with the exception of the Canada Summer Games Project. Spending on these projects will extend into next year and possibly beyond based on the scope of the project.

Incremental COVID – 19 costs:

Incremental costs associated with COVID-19 are affecting the Region's cash flows. Staff have used cost analysis information from report CSD 76-2020 – Q3 2020 Financial Update that captures and models financial impacts to the end of the year on the cost of COVID-19.

Conclusion: Incremental COVID-19 costs are negatively affecting the Region's cash flow; however, savings, mitigation efforts, and provincial support provide relief to cash flows.

Treasury activities:

Since the pandemic started, the Niagara Region has seen no increase to the investment portfolio, to address uncertainty surrounding projected and outstanding collections, at the risk of reduced investment income. The Region is issuing \$54.4 million in debentures through Infrastructure Ontario in December to finance completed capital projects.

Conclusion: The delay in planned investments has provided cash flow relief in the short term, however it has negatively impacted investment income.

Summary:

Staff have monitored the Region's cash flow position throughout 2020 and took appropriate action to ensure sufficient liquidity to fund operating and capital payment obligations. Based on the updated information, it is projected that the Region's cash flow will remain positive to the end of the year.

Alternatives Reviewed

No alternatives are offered for this report.

Relationship to Council Strategic Priorities

This report highlights how the Niagara Region is supporting the Council Priority of Sustainable and Engaging Government.

Other Pertinent Reports

CSD 31-2020	Concessions to Local Area Municipalities regarding Taxes and Wastewater Billings
CSD 72-2020	COVID-19 Cash Flow Update Report - November

CSD 76-2020 Q3 2020 Financial Update

Prepared by:

Margaret Murphy, CPA, CMA
Associate Director, Budget Planning &
Strategy
Corporate Services

Recommended by:

Todd Harrison, CPA, CMA
Commissioner, Corporate Services/
Treasurer

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

This report was prepared in consultation with Helen Chamberlain, Director, Financial Management and Planning, Deputy Treasurer.

MEMORANDUM

CL-C 111-2020

**Subject: Appointment to Southwestern Integrated Fibre Technology
(SWIFT) Board**

Date: December 17, 2020

To: Regional Council

From: Ann-Marie Norio, Regional Clerk

The Southwestern Integrated Fibre Technology (SWIFT) Board has requested Regional Council appoint a member to its Board of Directors (attached as Appendix 1).

The primary role of the SWIFT Board of Directors is to govern and foster the development of SWIFT to ensure long-term organizational stability by providing strategic direction and oversight for the corporation. The board plays a key role in helping build #broadbandforeveryone in Southwest Ontario, Caledon and Niagara.

Applicants must demonstrate a commitment to dedicate the time required to attend Board meetings, participate on committees when required and attend annual events such as the Annual Strategic Planning session and AGM.

Councillor Foster was appointed as Niagara Region's representative on the SWIFT Board by Regional Council on January 17, 2019 and has expressed an interest in continuing in this role. Should Council be supportive of Councillor Foster continuing as Niagara Region's representative on the SWIFT Board the following motion would be required:

That Councillor Foster **BE APPOINTED** as Niagara Region's representative on the SWIFT Board of Directors for a two-year term ending at the SWIFT Board Annual General Meeting in 2023.

Respectfully submitted and signed by

Ann-Marie Norio
Regional Clerk



789 Broadway Street
Wyoming, ON | N0N 1T0

519.914.1308

swiftruralbroadband.ca

October 28, 2020

Sent VIA Electronic Mail

Regional Chair Jim Bradley and Members of Niagara Region Council

RE: 2021 SWIFT Board Member Representation

At the October 9th board meeting the SWIFT Board of Directors set the 2021 Annual General Meeting (AGM) date to April 9, 2021. At the end of the 2021 AGM Niagara Region's representative on the SWIFT board, Robert Foster, will end his current two-year term.

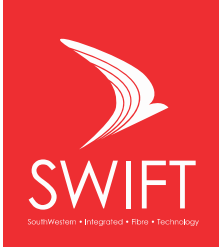
At this time, SWIFT asks that Niagara Region either reappoint the current SWIFT representative to the SWIFT Board or nominate a member of council for consideration as a Contributing member representative. This appointment is a two-year term ending at the 2023 AGM. As noted in the attached Board of Directors Selection Whitepaper *"If a Director is appointed for a 2-year term and is not re-elected after the municipal election their term will end at the next AGM"*.

We respectfully ask that nominees/re-appointees confirm their availability for the April 9, 2021 AGM and Inaugural Board meeting and submit, along with the supporting council resolution, a completed [online application form](#) for SWIFT's consideration.

We ask that Niagara Region Council confirm support for their council nominee through resolution, and that such supported applications be submitted by January 29, 2021 to SWIFT's Executive Assistant Deb Fawcett deb.fawcett@swiftruralbroadband.ca.

Please find below important dates for the SWIFT Board of Director selection process:

DATE	DESCRIPTION
29-Jan-21	Contributing Director applications & supporting council resolution due date
12-Feb-21	SWIFT Executive Committee meeting to review applications for eligibility
26-Mar-21	Approval of SWIFT Contributing Director candidates
6-Apr-21	SWIFT New Directors Orientation
9-Apr-21	SWIFT AGM and Directors confirmation vote
9-Apr-21	SWIFT Inaugural Board meeting



Should you have any questions regarding the Director selection process, please contact either myself or Executive Assistant Deb Fawcett.

The SWIFT Board and staff extend their sincere appreciation for Niagara Region's continuing support.

Thank you for your attention to this matter.

Regards,

Barry Field

SWIFT Executive Director

519-319-1112

barry.field@swiftruralbroadband.ca

Cc:

Robert Foster, SWIFT Board of Director

Ron Tripp, Niagara Region CAO

[Deb Fawcett](#), SWIFT Executive Assistant

Encl:

Board of Directors Terms of Reference

Board of Directors Selection Whitepaper

[Board of Directors Application](#)

SWIFT BOARD OF DIRECTOR SELECTION WHITEPAPER

Joining the SWIFT Board

Contribution to Southwestern Ontario, Caledon and Niagara Region

SWIFT Board Directors have the opportunity to:

- a) Serve a two-year term with the objective of helping SWIFT achieve its vision.
- b) Apply their skills and expertise to help develop the strategic direction of SWIFT.
- c) Gain valuable insight and experience developing and implementing policies that promote the region's economic success.
- d) Help build a better region by supporting the ongoing development of broadband infrastructure.
- e) Have an impact on the day-to-day lives of Ontarians by enhancing the quality of their experiences online.

Board Director Role

The role of the SWIFT Board Directors is to help foster the development of SWIFT. The board provides strategic direction and oversight for the corporation. As well, the board plays a key role in helping build broadband in southwest Ontario, Caledon and Niagara.

A SWIFT Board Director is responsible to:

- a) Provide strategic direction and oversight for the SWIFT Project.
- b) Help develop and implement policies that support the SWIFT vision.
- c) Attend four to six in-person weekday meetings in various locations across southwest Ontario, Caledon and Niagara and the Annual General Meeting (travel and expenses are reimbursed).
- d) Participate in committee work and associated conference calls.
- e) Approve SWIFT's corporate plan and annual budget.

Directors are expected to serve on committees and attend board meetings regularly.

If elected to the board, successful candidates are expected to attend the Annual General Meeting (AGM) and the inaugural board meeting in April of each year.

Desired Skills & Experience

The SWIFT board has a board skills matrix (see Appendix A) that outlines the skills and experience SWIFT looks for when reviewing applications.



SWIFT seeks members who have:

- a) A passion for community;
- b) Experience in the telecommunications industry;
- c) Finance, accounting and audit experience;
- d) Legal experience;
- e) Senior organization leadership;
- f) Experience with and understanding of the board's oversight role with respect to risk management; and
- g) Previous board experience with solid understanding of board governance.

Director Classes

The SWIFT board is broken into three classes:

- a) **WOWC Directors** - up to fifteen (15) directors elected by the WOWC (Western Ontario Wardens Caucus) Member class that includes the 15 upper and single tier municipalities of the WOWC.
- b) **Contributing Directors** - up to five (5) directors elected by the Contributing Member class that includes the other municipalities that have funded the project and are not members of the Western Ontario Wardens Caucus (WOWC).
- c) **Non-Governmental Directors** - up to five (5) directors elected by the WOWC and Contributing Members.

Board Director Term Length

The term length for open WOWC and Contributing Directors is two years.

Term limits have been set to eight (8) years total for all classes of director.

Director Qualifications

To be eligible to become a director, an individual must:

- a) Consent to be a candidate, and, if elected, a director;
- b) Must not be a direct employee or director of a Telecom Service Provider (example, Municipal Utility-Telcom, Telecom Cooperative, etc.); and
- c) On application due date:
 - I. is 18 years of age or older;
 - II. has not been declared incapable by a court in Canada or in another country; and
 - III. does not have the status of a bankrupt.



How to Join the Board as a WOWC Director

Joining the board as a WOWC Director is open to individuals who are members of the board of directors of the Western Ontario Wardens' Caucus and/or an elected official of a WOWC Member.

Becoming a WOWC Director can be achieved by following these steps:

- a) Each WOWC Member will nominate a representative to the board via a resolution of council.
- b) Member nominee will complete SWIFT's online application.
- c) SWIFT Executive Committee reviews each application for eligibility. Candidates may be contacted by the Executive Committee with follow-up questions to help make their decision. The list of eligible candidates is then forwarded to WOWC for review and approval.
- d) WOWC reviews the candidates and presents the slate to the WOWC Caucus for approval.
- e) Formal appointment of the WOWC member slate at the SWIFT AGM.

How to Join the Board as a Contributing Director

Joining the board as a Contributing Director is open to elected officials of a municipality that is (i) not a member of the Western Ontario Wardens' Caucus and (ii) a member of the Corporation. Contributing Directors must be an elected official of a municipality that is a Contributing Member of the Corporation.

Becoming a Contributing Director can be achieved by following these steps:

- a) Each Contributing Member will nominate a representative to the board via a resolution of council.
- b) Member nominee will complete SWIFT's online application.
- c) SWIFT Executive Committee reviews each application for eligibility. Candidates may be contacted by the Executive Committee with follow-up questions to help make their decision.
- d) The slate will be confirmed by a vote at the SWIFT AGM.

Director Compensation

Remuneration for elected directors is based on an annual resolution passed by the Board of Directors. This remuneration includes an annual base salary, per meeting per diem and reimbursed expenses.



Which Directors Are Eligible for Compensation?

All three classes of elected directors of SWIFT are given remuneration to recognize their time and effort and to help the organization attract and retain experienced and knowledgeable members to its board.

What Compensation Do Directors Receive?

Directors are compensated based on their role within the board of directors, the number and types of meetings they attend, and any additional committee work performed.

Appendix A – Board Skills Matrix

Following is the board skills matrix.



DIRECTOR KEY STRENGTHS	COMPETENCY
Previous Board of Directors Experience	Experience in serving on public, private, or not-for-profit Boards operating with strong governance policies and practices.
Not-for-Profit and Public-Sector Experience	Not-for-Profit and Public-sector experience including knowledge of how governments operate, and the Canadian regulatory regime in which SWIFT operates.
Organizational Strategic Planning	Experience with planning, evaluating, and developing organizational strategic plans, and allocating resources to achieve desired outcomes. This includes a demonstrated ability to focus on longer-term goals and strategic outcomes, as separate from day-to-day management and operational experience.
Business/Corporate Planning	Experience in business/corporate planning for public, private, or not-for-profit sectors.
Financial Management Knowledge	Understanding of financial operational management and the proper application of internal controls for public, private, or not-for-profit sectors.
Accounting and Audit Experience	Financial literacy and knowledge of financial reporting, and knowledge of the considerations and issues associated with the auditing requirements for public, private or not-for-profit sectors.
Risk Management Experience	Experience in the process of identifying principal enterprise-wide corporate risks and to ensure that management has implemented the appropriate systems to mitigate and manage risk.
Legal Background	Background, experience, and understanding of the areas of law related to SWIFT's business, such as contract, Telecom, IT, privacy, trademark, patent, etc.
Human Resources Experience	Understanding of human resource considerations and issues such as executive recruitment, succession planning, total compensation, performance management and organizational development.
Telecommunications Industry Experience	Telecommunications experience related to SWIFT's line of business and mandate, including an understanding of emerging industry trends.
Technical Knowledge	Experience and understanding of telecommunications technology including wireline and wireless technologies.
Marketing and Communications Experience	Experience in marketing and communications.

Subject: Chief Administrative Officer (CAO) Recruitment – Regional Councillor
Appointments to the CAO Recruitment Committee

Report to: Regional Council

Report date: Thursday, December 17, 2020

Recommendations

1. That a Chief Administrative Officer (CAO) Recruitment Committee **BE FORMED**;
2. That, in accordance with the Terms of Reference in Procedure C-HR-026-00, four (4) Regional Councillors **BE APPOINTED** to the CAO Recruitment Committee; and
3. That the rules of procedure **BE SUSPENDED** to permit Regional Chair Bradley to hold the position of Committee Chair of the CAO Recruitment Committee; and
4. That the process for selecting members of Regional Council to serve on the CAO Recruitment Committee **BE CONDUCTED** at this time.

Key Facts

- The purpose of this report is to obtain Council's approval to appoint four (4) members of Regional Council to serve on the CAO Recruitment Committee along with the Regional Chair.
- On February 20, 2020, Council approved C-HR-026 – CAO Recruitment Selection Offer and Performance Management Policy (the "Policy") and the corresponding C-HR-026-001 – CAO Recruitment Selection Offer of Employment Procedure (the "Procedure") – both are attached as appendices to this report.
- The Policy outlines the roles and responsibilities of those in the recruitment process, and the Procedure further details the recruitment process for the position of CAO through the Terms of Reference therein.
- The Terms of Reference include the formation of a CAO Recruitment Committee that will be comprised of the Regional Chair, who will serve as Committee Chair, and four (4) members of Regional Council to be appointed by Regional Council.
- Members who are appointed to the CAO Recruitment Committee must be able to commit to full and active participation over the course of the CAO recruitment, including mandatory attendance at all meetings, interviews, etc. as noted herein.

- On November 19, 2020, through Report CHR 6-2020, Council approved to undertake a formal recruitment process for the CAO and to extend the employment contract of the Acting CAO until such time that a permanent CAO is in the role.

Financial Considerations

There are no financial implications associated with this report concerning the appointment of Regional Councillors to the CAO Recruitment Committee, save and except staff time to undertake the work, and members of Council time to sit on the Committee.

Moving forward, any costs related to CAO recruitment activities in 2021, including costs incurred for the services of an external executive search firm selected by the CAO Recruitment Committee, will be funded through the upcoming Council approved 2021 budget.

Analysis

The role of CAO is a critical leadership position and provides strategic direction at Niagara Region, as per responsibilities outlined in the *Municipal Act, 2001*, and is accountable to all of Regional Council. A transparent, competitive, and comprehensive recruitment process, in alignment with Niagara Region policies and in consideration of the recommendations from the Ontario Ombudsman Report “Inside Job”, is essential to fill the role of CAO in a proper and timely manner as described in this report and its appendices.

On February 20, 2020, Regional Council approved Report HR 1-2020 *REVISED* – Chief Administrative Officer (CAO) Recruitment, Selection, Offer of Employment and Performance Management Policy and Procedures which included, attached as Appendix 1, Policy C-HR-026 – CAO Recruitment Selection Offer and Performance Management (the “Policy”) and, attached as Appendix 2, the corresponding C-HR-026-001 – CAO Recruitment Selection Offer of Employment Procedure (the “Procedure”).

The Policy and Procedure outline the recruitment process for the position of CAO through the associated Terms of Reference included in the Procedure. The Terms of Reference include the formation of a CAO Recruitment Committee that will be comprised of the Regional Chair, who will serve as Committee Chair, and four (4) members of Regional Council to be appointed by Regional Council. The process for appointing members of Regional Council to serve on the CAO Recruitment Committee

will take place at the Regional Council meeting on December 17, 2020. The Procedure outlines the following as it pertains to attendance:

...It is mandatory that members of the CAO Recruitment Committee actively participate in all stages of the CAO recruitment process, with specific attention paid to attending all CAO candidate interviews, at any/all steps of the process, specifically as follows:

- (1) CAO Recruitment Committee member attendance at all candidate interview(s) is mandatory. A member of the Recruitment Committee who is absent for any candidate interview shall be deemed to have resigned from the committee and Regional Council will be notified.*
- (2) A member of the CAO Recruitment Committee who is absent for two (2) consecutive non-interview meetings shall be deemed to have resigned from the committee and Regional Council will be notified.*

Upon notification of a vacancy on the Committee as a result of the above, Council may consider the appointment of a new member to the Committee or not replacing the member, depending on the stage the recruitment process has reached. The aforementioned does not preclude Council from re-appointing the Committee member in question.

Furthermore, there are a number of commitments expected by members of Council who are appointed to the CAO Recruitment Committee; in addition to attending meetings as called by the Chair, it is expected that members of the Recruitment Committee will, with the support of Region staff:

- Be orientated to By-laws, Policies, and Procedures relevant to the recruitment of a CAO.
- Be educated on the roles, responsibilities and accountabilities of their role including confidentiality and ethics based expectations.
- Hold in strict confidence all confidential information concerning matters dealt with by the Committee; members will be required to execute a confidentiality acknowledgement (attached as Appendix 3) at the outset of the recruitment and selection process.
- Approve the scope of work and select the External Executive Search Firm (ESF) to work with the Recruitment Committee on the recruitment and selection process.
- Engage in a thorough and comprehensive analysis of the position requirements of Senior Leader competencies, skills, experience, knowledge and qualifications of the role of CAO.

- Engage in consultation with the Corporate Leadership Team, other relevant staff, including community stakeholders that may be included in the recruitment and selection process.
- Support the ESF in providing detailed updates to Council concerning the recruitment and selection process, along with responding to any inquiries made by members of Council.
- Approve the recruitment methodology inclusive of any testing and/or evaluations.
- Review short list of candidates recommended to the Recruitment Committee by the ESF.
- Interview and assess selected candidates with the intent to identify preferred candidate(s).
- Make a recommendation on preferred candidate(s) to Regional Council for consideration.

Upon completion of the appointment of four (4) members of Regional Council to the CAO Recruitment Committee, in consultation with the Chair of the CAO Recruitment Committee (the Regional Chair) an initial CAO Recruitment Committee meeting will be scheduled at the earliest opportunity in 2021. In consultation with the Director, Human Resources, and the support of Regional staff, in accordance with the Policy and Procedure, the CAO Recruitment Committee will proceed to approve the scope of work and commence the process to select an ESF.

Additionally, in accordance with the Procedure, regular, detailed written updates will be provided to Regional Council throughout the CAO recruitment and selection process up to and including particulars of preferred candidate(s) being presented to Regional Council for approval, which will include participation of the ESF representative.

Alternatives Reviewed

No alternatives were reviewed as this report is as a result of Regional Council approval of Report HR 01-2020 *REVISED* – Chief Administrative Officer (CAO) Recruitment, Selection, Offer of Employment and Performance Management Policy. This report included the approval of C-HR-026 - CAO Recruitment Selection Offer and Performance Management Policy and corresponding procedure, which outlines the formation of a CAO Recruitment Committee. Additionally, through Report CHR 6-2020, Regional Council approved to undertake a formal recruitment process for the CAO.

Relationship to Council Strategic Priorities

Regional Council's prior approval of Report HR 01-2020 *REVISED* – Chief Administrative Officer (CAO) Recruitment, Selection, Offer of Employment and Performance Management Policy and corresponding Procedure aligns with Council's Strategic Priority of Sustainable and Engaging Government.

Other Pertinent Reports

- HR 01-2020 *REVISED* – Chief Administrative Officer (CAO) Recruitment, Selection, Offer of Employment and Performance Management Policy and Procedures
- CHR 6-2020 Options for Consideration Regarding the Selection of the Chief Administrative Officer

Prepared and Recommended by:

Franco Meffe
Director, Human Resources

Submitted by:

Ron Tripp, P.Eng.
Acting, Chief Administrative Officer

This report was prepared in consultation with Ann-Marie Norio, Regional Clerk and Daryl Barnhart, Executive Officer to the Regional Chair.

Appendices

Appendix 1 – C-HR-026 CAO Recruitment Selection Offer and Performance Management Policy

Appendix 2 – C-HR-026-001 CAO Recruitment Selection Offer of Employment Procedure

Appendix 3 – Recruitment Process Confidentiality Acknowledgment – Non-Employee

<i>Policy Category</i>	<i>Name of Policy</i>
Human Resources	Chief Administrative Officer – Recruitment, Selection, Offer of Employment, and Performance Management

Page 1 of 5

Policy Owner	Corporate Administration, Human Resources, Director Human Resources
Approval Body	Regional Council
Approval Date	February 20, 2020
Effective Date	February 25, 2020
Review by Date	February 2022

1. Policy

Regional Council is committed to engaging in good governance through approved policy and procedures for both the recruitment (attraction, selection and offer of employment) and performance management (performance appraisal, objective setting and development plan) for the position of Chief Administrative Officer (CAO).

2. Purpose

The CAO is the senior appointed official of the Regional Municipality and provides leadership in all operational areas, policy, government affairs, business/service delivery, and implementation of Council's strategic priorities. Ensuring the CAO is qualified for the role; that the terms and conditions of their employment are appropriate; that their annual performance is properly aligned to key priorities; and that the incumbent is functioning at an appropriate level, is a key accountability of Council.

3. Scope

This policy applies to the role of the CAO, Council, and key designated external vendors and staff roles accountable for execution of the policy.

There are to be no acts of favouritism or discrimination in the CAO recruitment process. Members of Council, staff, external vendors, and anyone else approved to be part of the recruitment process shall not attempt to influence the hiring of any applicant in a manner that is inconsistent with this policy. This includes that no one shall engage in any behaviour that provides an unfair advantage to a candidate during the CAO recruitment process to assist any candidates by providing inside information, such as but not necessarily limited to, interview questions and suggested answers, presentation materials, information about other candidates, or any information gathered in meetings, conversations, email or any other form of communication or discussion.

<i>Policy Category</i> Human Resources	<i>Name of Policy</i> Chief Administrative Officer – Recruitment, Selection, Offer of Employment, and Performance Management
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3.1. Roles and Responsibilities

3.1.1. CAO New Hire Recruitment, Selection and Offer of Employment

- Regional Chair:** Serves as Chair of the Recruitment Committee and oversees performance management process; ensures the requirements of C-HR-026 Policy is fulfilled. Includes establishing Council approved Recruitment Committee membership, working with any external Executive Search Firm (ESF), enforcement of roles and responsibilities, provide regular detailed updates in writing to Council concerning the recruitment and selection process including particulars of preferred candidate(s), along with integrity and confidentiality requirements. Oversees hiring process through Recruitment Committee and ESF selection, to Council approval of candidate offer of employment.
- Recruitment Committee Member:** Acts on behalf of members of Council in the recruitment and selection process. Engages in all procedural elements as outlined in respective C-HR-026-001 Procedure. Includes mandatory attendance at all meetings and interviews, engaging in the development of selection criteria and position profile development as required, collaborating with the Chair and ESF on providing regular detailed updates in writing to Council concerning the recruitment and selection process including particulars of preferred candidate(s). Requires alignment to all integrity and confidentiality requirements.
- Director, Human Resources:** Facilitates the recruitment process on behalf of the Regional Chair and Recruitment Committee, and the performance management process. Serves as primary contact point for any ESF; provides guidance and advice to the Chair and Recruitment Committee members ensuring best practices and legal interests of the corporation are upheld, supports the Chair and Recruitment Committee in the preparation of regular detailed written update(s) to Council, leads the procurement of an ESF, facilitates Legal consultation and candidate offer of employment and/or offer letter creation, and any amendment to the employment contract; is required to attend all meetings with the Recruitment Committee and with Council, and any other meetings upon request of the Chair.
- Executive Search Firm (ESF):** An external firm or specialized consultant who works with the Chair and Recruitment Committee to confirm the CAO profile, position competencies, and search, selection and offer strategy. ESF accountabilities will align with the defined scope of work, which may include but not necessarily limited to – attraction, screening of prospective candidates, development of short list of candidates to be interviewed by the Committee, including they may support the interview, reference checking and offer of employment process as required. Required to attend meeting(s) of Council to provide detailed updates to members of Council concerning the recruitment and selection process, be prepared to present to Council on its processes to short list candidates, provide candid feedback on the recruitment process, provide observation(s) on any short listed candidates, along with responding to any inquiries made by members of Council.

<i>Policy Category</i>	<i>Name of Policy</i>
Human Resources	Chief Administrative Officer – Recruitment, Selection, Offer of Employment, and Performance Management

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- Acting/Interim CAO: A member of the Region's Corporate Leadership Team or an external person appointed by Council to fulfil the duties of the CAO on an acting or temporary basis. The appointment of the Acting CAO does not preclude their candidacy in the selection process for a permanent CAO. If they are not a candidate for the permanent role, they may participate as a member of the Recruitment Committee if approved by the Chair and Recruitment Committee. However, if they are a candidate for the position as permanent CAO, they are not permitted to participate or influence the recruitment process and must excuse themselves from all business associated with same.
- Regional Clerk: Ensures required governance related supports and advice to ensure effective completion of the process; provides agenda and meeting management functions; is required to attend all meetings with the Recruitment Committee and with Council, and any other meetings upon request of the Chair.
- Regional Council: Responsible for the hiring of the CAO and all associated approvals noted within this Policy and its Procedures. Attendance at any meeting of Council where matters pertaining to the CAO recruitment, selection, and offer of employment are being discussed.

3.1.2. Performance Management

- Regional Chair: Ensures the mandate of the C-HR-026-001 Procedure is fulfilled annually. Includes development and execution of annual performance management schedule, providing feedback to CAO; enforcement of roles and responsibilities, annual rating selection, report creation to Council, annual objective and development plan setting with the CAO as well as integrity and confidentiality requirements.
- Chief Administrative Officer: Completing annual assessment; engaging in all aspects of the process as laid out in this C-HR-026 policy and the procedure document. Engaging in the performance appraisal process, and development of annual objectives and development plan.
- Director, Human Resources: Initiates and facilitates the performance appraisal process and creation of annual objective and development plan on behalf of the Regional Chair in accordance with the Region's Non-Union Performance Management Program. Sources and serves as primary point of contact for additional resources or supports such as Legal or Consultants. Provides guidance and advice to the Chair as required, is required to attend all meetings with Council, and any other meetings upon request of the Chair.
- Regional Clerk: Ensures required governance related supports and advice to ensure effective completion of the process; provides agenda and meeting management functions; is required to attend all meetings with Council, and any other meetings upon request of the Chair.
- Regional Council: Responsible for the evaluation of the performance of the CAO and all associated approvals noted within this Policy and Procedures. Attendance at any

<i>Policy Category</i>	<i>Name of Policy</i>
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meeting of Council where matters pertaining to CAO performance management are being discussed.

4. References and Related Documents.

List related legislation, directives, By-laws and associated procedures

4.1. Legislation, By-Laws and/or Directives

- Municipal Act, 2001
- Employment Standards Act, 2000
- CAO By-law 2020-09

4.2. Procedures

- C-HR-026-001 – Chief Administrative Officer Recruitment, Selection, Offer of Employment
- C-HR-026-002 – Chief Administrative Officer Performance Management

5. Related Policies

- Non-Union Compensation C-HR-001
- Employment and Staffing C-HR-010

<i>Policy Category</i>	<i>Name of Policy</i>
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6. Document Control

The electronic version of this document is recognized as the only valid version.

Approval History

Approver(s)	Approved Date	Effective Date
Regional Council	February 20, 2020	February 25, 2020

Revision History

Revision No.	Date	Summary of Change(s)	Changed by

<i>Procedure Category</i>	<i>Name of Procedure</i>
Human Resources	Chief Administrative Officer – Recruitment, Selection, and Offer of Employment

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Procedure Owner	Corporate Administration, Human Resources, Director Human Resources
Parent Policy	C-HR-026 – Chief Administrative Officer Recruitment, Selection, Offer of Employment, and Performance Management
Approval Body	Regional Council
Approval Date	February 20, 2020
Effective Date	February 25, 2020
Review by Date	February 2020

The following procedure outlines the Chief Administrative Officer (CAO) Recruitment, Selection, and Offer of Employment.

When a permanent vacancy for CAO occurs, the Regional Chair (Chair) notifies the Director, Human Resources (HR) to initiate the recruitment process to fill the permanent CAO vacancy in accordance with the C-HR-026 Policy and C-HR-026-001 Procedure.

The Director HR, in consultation with the Chair, will initiate the CAO selection process in accordance with the CAO Recruitment Committee Terms of Reference as follows:

Chief Administrative Officer Recruitment Committee Terms of Reference

Mandate / Scope

The mandate of the Chief Administrative Officer (CAO) Recruitment Committee is to facilitate the recruitment process for the CAO and recommend to Regional Council a preferred candidate for the role of CAO.

Goals / Purpose

1. Formation of a CAO Recruitment Committee

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- a. The Committee will be comprised of the Regional Chair, who will serve as Committee Chair, and four (4) members of Regional Council to be appointed by Regional Council. Members must be able to commit to full and active participation over the course of the CAO recruitment, including mandatory attendance at all meetings, interviews, etc. as noted herein.
- b. CAO Recruitment Committee will be governed by the Region's Procedural By-law.

2. Engagement of an External Executive Search Firm (ESF)

- a. CAO Recruitment Committee, in consultation with Director Human Resources, to determine scope of work and select ESF, as per the Niagara Region Procurement By-law.
- b. ESF to develop the key CAO character traits and competencies required, in consultation with the CAO Recruitment Committee, to drive results forward in Niagara.
- c. ESF to undertake CAO candidate search, with active engagement of the CAO Recruitment Committee.
- d. ESF, in consultation with the Recruitment Committee, to provide detailed updates to Council concerning the recruitment and selection process, be prepared to present to Council on its processes to short list candidates, provide candid feedback on the recruitment process, observation(s) on any short listed candidates, along with responding to any inquiries made by members of Council.

3. CAO Recruitment Process

- a. CAO Recruitment Committee members actively participate in a transparent, competitive, and comprehensive recruitment process, while holding in strict confidence all confidential information concerning matters dealt with by the Committee.
- b. CAO Recruitment Committee, with ESF, to provide detailed updates to members of Council concerning the recruitment and selection process.
- c. Upon completion of the recruitment process, the CAO Recruitment Committee to present up to three (3) preferred candidate(s) to Regional Council for approval of a preferred candidate and approval on presented associated terms and conditions of employment.
- d. Upon Regional Council's approval of the preferred candidate, Council authorizes the Director, HR, to extend the approved terms of employment to the preferred candidate, in a form satisfactory to the Director Legal and Court Services, in consultation with any external legal counsel as required, ensuring all legal requirements are met.

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4. Recruitment Committee Membership

The membership structure of the CAO Recruitment Committee will be comprised of not more than five (5) members of Regional Council, including the Regional Chair, who will serve as Committee Chair. All members of the Recruitment Committee, including the Regional Chair, shall have the right to vote.

5. Privacy Considerations

The CAO Recruitment Committee will comply with all open meeting provisions. Information provided to the CAO Recruitment Committee, specifically pertaining to applicants for the position of the CAO, will be held in strict confidence and managed in accordance with the principles of protection of personal information as defined by the *Municipal Freedom of Information and Protection of Personal Privacy Act* (MFIPPA).

The CAO Recruitment Committee shall hold in strict confidence all confidential information concerning matters dealt with by the Committee, members of the Recruitment Committee, and any approved staff who support the recruitment process, will be required to execute a confidentiality agreement at the outset of the recruitment and selection process.

6. Attendance

A recruitment best practice is that all candidates are interviewed by a consistent interview panel, in support of a fair, transparent, and comprehensive recruitment process. It is mandatory that members of the CAO Recruitment Committee actively participate in all stages of the CAO recruitment process, with specific attention paid to attending all CAO candidate interviews, at any/all steps of the process, specifically as follows:

- (1) CAO Recruitment Committee member attendance at all candidate interview(s) is mandatory. A member of the Recruitment Committee who is absent for any candidate interview shall be deemed to have resigned from the committee and Regional Council will be notified.
- (2) A member of the CAO Recruitment Committee who is absent for two (2) non-interview meetings shall be deemed to have resigned from the committee and Regional Council will be notified.

Upon notification of a vacancy on the Committee as a result of the above, Council may consider the appointment of a new member to the Committee or not replacing the member, depending on the stage the recruitment process has reached. The aforementioned does not preclude Council from re-appointing the Committee member in question.

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7. Staff Support to Committee

The Director, HR, Director, Legal and Court Services, and the Regional Clerk, or their respective designates, will function in an advisory capacity to the CAO Recruitment Committee, and the selected ESF. Involvement of any staff not noted herein will require Recruitment Committee approval prior to being engaged to provide any support to the Committee or be in attendance at meetings. In any event, any staff engaged to support the Recruitment Committee shall hold in strict confidence all confidential information concerning matters dealt with by the Committee, including all such staff will be required to execute a confidentiality agreement prior to engaging in support of the Committee. The Director HR, and the Regional Clerk, or their respective designates, are required to attend all Recruitment Committee and Council meetings.

8. Financial Resources

The CAO Recruitment Committee will consult with the Director, HR, to secure the required financial resources to fulfill the direction of the committee to facilitate the CAO recruitment.

9. Frequency of Reporting

Regular, detailed written updates will be provided to Regional Council throughout the CAO recruitment and selection process up to and including particulars of preferred candidate(s) being presented to Regional Council. This will include participation of ESF representative, as defined in C-HR-026 Policy.

10. Termination of CAO Recruitment Committee

The CAO Recruitment Committee shall cease at the conclusion of a successful recruitment of a new CAO.

11. Meetings

Meetings shall be governed by Niagara Region's Procedural By-law as may be amended from time to time.

The following is intended to provide further clarity concerning the above Terms of Reference in support of the CAO recruitment process:

1. The Recruitment Committee will be orientated to By-laws, Policies, and Procedures relevant to the recruitment of a CAO. They will be educated on the roles, responsibilities and accountabilities of their role including confidentiality and ethics based expectations, along

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with executing a confidentiality agreement at the outset of the recruitment and selection process.

2. The Recruitment Committee, with the support of the Director HR and ESF, will engage in a thorough and comprehensive analysis of the position requirements of Senior Leader Competencies, skills, experience, knowledge and qualifications of the role. Due to the importance of this position, consultation with the Corporate Leadership Team, other relevant staff, and community stakeholders may be initiated and incorporated into the recruitment and selection process.
3. The recruitment methodology inclusive of any testing and/or evaluations will be determined by the Recruitment Committee through consultation with the ESF and Director HR, and will be aligned to Regional Policy. The position will be advertised both internally and externally.
4. In consultation with the Recruitment Committee and Director HR, the ESF will undertake CAO recruitment activities within the approved scope of work, which may include but not be limited to: posting the vacant position through appropriate channels, targeted recruitment, review of all applicant resumes and follow up to clarify applicant experience for short listing purposes, screen prospective candidates and develop a formal short list of candidates to be recommended to the Recruitment Committee, leadership assessment, reference checking, and preparation of a written summary of a specific number of candidates as agreed to with the Recruitment Committee for consideration for short listing.
5. The Recruitment Committee and the ESF will interview and assess selected candidates with the intent to identify preferred candidates.
6. Based on the results of interview(s), any testing, evaluation, or assessment, reference checking, etc., the Recruitment Committee will make a recommendation on preferred candidate(s) in a report to Regional Council for consideration.
7. The Director, HR will be responsible for the preparation of the Council approved terms of the offer of employment to the preferred candidate, including the responsibility to engage the Director Legal and Court Services, and any external Legal Counsel when preparing the offer of employment, and negotiation with the preferred candidate, if any. The Offer of Employment documentation will align to corporate practice and meet all legal requirements, including ensuring compensation is aligned to the Non-Union Compensation Policy and Salary Administration Procedures.
8. Any report to Council as noted above will include a detailed summary of the recruitment and selection process undertaken by the Recruitment Committee.

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Definitions

Regional Chair: Serves as Chair of the Recruitment Committee; ensures the requirements of C-HR-026 Policy is fulfilled. Includes establishing Council approved committee membership, working with Director HR and the ESF, enforcement of roles and responsibilities, provides regular detailed updates in writing to Council during the recruitment and selection process including particulars of preferred candidate(s), along with integrity and confidentiality requirements. Oversees hiring process through Recruitment Committee and ESF selection, to Council approval of preferred candidate offer of employment.

Recruitment Committee Member: Acts on behalf of members of Council in the recruitment and selection process. Engages in all procedural elements as outlined in C-HR-026-001 Procedure. Includes mandatory attendance at all meetings and interviews, engaging in the development of selection criteria and position profile development as required, collaborating with the Chair and ESF on providing regular detailed updates in writing to Council concerning the recruitment and selection process including particulars of preferred candidate(s). Requires alignment to all integrity and confidentiality requirements.

Director, Human Resources: Facilitates the recruitment process on behalf of the Regional Chair and Recruitment Committee. Serves as primary contact point for any ESF; provides guidance and advice to the Chair and Recruitment Committee members ensuring best practices and legal interests of the corporation are upheld, supports the Chair and Recruitment Committee in the preparation of regular detailed written update(s) to Council, leads the procurement of an ESF, facilitates Legal consultation and candidate offer of employment and/or offer letter creation, and any amendment to the employment contract; is required to attend all meetings with the Recruitment Committee and with Council, and any other meetings upon request of the Chair.

Executive Search Firm (ESF): An external firm or specialized consultant who works with the Chair and Recruitment Committee to confirm the CAO profile, position competencies, and search, selection and offer strategy. ESF accountabilities will align with the defined scope of work, which may include but not necessarily limited to – attraction, screening of prospective candidates, development of short list of candidates to be interviewed by the Committee, including they may support the interview, reference checking and offer of employment process as required. Required to attend meeting(s) of Council to provide detailed updates to members of Council concerning the recruitment and selection process, be prepared to present to Council on its processes to short list candidates, provide candid feedback on the recruitment process, provide observation(s) on any short listed candidates, along with responding to any inquiries made by members of Council.

Regional Clerk: Ensures required governance related supports and advice to ensure effective completion of the process and provides agenda and meeting management functions; is required

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to attend all meetings with the Recruitment Committee and with Council, and any other meetings upon request of the Chair.

Regional Council: Responsible for the hiring of the CAO and all associated approvals noted within this Policy and its Procedures. Attendance at any meeting of Council where matters pertaining to the CAO recruitment, selection, and offer of employment are being discussed.

Competencies: In addition to high character traits, are the attitudes and behaviours required at a high level of performance for an individual to be successful in a role.

Appendices

None

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Document Control

The electronic version of this document is recognized as the only valid version.

Approval History

Approver(s)	Approved Date	Effective Date
Regional Council	February 20, 2020	February 25, 2020

Revision History

Revision No.	Date	Summary of Change(s)	Changed by
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RECRUITMENT PROCESS CONFIDENTIALITY ACKNOWLEDGMENT
(NON-Employee)

WHEREAS Niagara Region has commenced a recruitment process for the position of

Chief Administrative Officer, which requires the involvement of

_____ (the “Participant”);

AND WHEREAS, during the recruitment process the Participant may be exposed to Confidential Information, as defined below;

AND WHEREAS Niagara Region is committed to maintaining the confidentiality of such Confidential Information to protect individual privacy and preserve the fairness and integrity of the recruitment process;

NOW THEREFORE the Participant agrees as follows:

1. “Confidential Information” shall mean all information related to the recruitment process that is not generally ascertainable from public or published information, including, but not limited to, candidate information, employee information, job requirements, interview questions, information disclosed through the job interview process, and information relating to the business, operations, and assets of Niagara Region that it treats as confidential or proprietary, such as location and analysis data, environmental data, production data, personal (health) information, technology (including information technology), research, and strategies.

“Confidential Information” shall not include information which:

- (i) was already known to the Participant prior to the date of disclosure by Niagara Region as having been publicly available;
 - (ii) at the time of disclosure or thereafter becomes public knowledge through no fault or omission of the Participant; or
 - (iii) is required to be disclosed by law, or order of any court, administrative tribunal or governmental authority having jurisdiction over the Participant.
2. The Participant shall keep all Confidential Information in strict confidence, and shall not use or disclose, or permit the use or disclosure, of any Confidential Information other than for the purpose of facilitating the recruitment process as directed by Niagara Region.
3. The Participant shall not transfer any Confidential Information to, or store any Confidential Information in, any repository, electronic database, or network not authorized by Niagara Region for such a purpose without Niagara Region’s prior written permission.

4. The Participant acknowledges that all Confidential Information shall at all times be the property of Niagara Region, and, upon completion of the recruitment process or at such other time as Niagara Region may request, the Participant shall promptly return to Niagara Region all hard copy Confidential Information, whether it be in the form of blueprints, documents, or otherwise, and any and all electronic copies of data such as blueprints or documents.
5. The Participant acknowledges that Niagara Region and/or individual candidates for employment or advancement could be irreparably injured by a breach of confidentiality.
6. The Participant has read, understands, and accepts the above terms.

DATED this _____ day of _____, _____.

Participant Signature: _____

Minute Item No. 5.1

AC-C 10-2020

2021 Audit Committee Schedule

That Correspondence Item AC-C 10-2020, being a memorandum from H. Chamberlain, Deputy Treasurer/Director, Financial Management & Planning, and F. Marcella, Manager, Internal Audit, dated December 7, 2020, respecting 2021 Audit Committee Schedule, **BE RECEIVED** and the following recommendation **BE APPROVED**:

1. That the Audit Committee meetings **BE HELD** Mondays at 1:00 p.m. on the following dates in 2021:

February 8, May 10, September 20 and December 6.

Minute Item No. 5.2

AC-C 16-2020

2021 Audit Workplan

That Report AC-C 16-2020, dated December 7, 2020, respecting 2021 Audit Workplan, **BE RECEIVED** and the following recommendation **BE APPROVED**:

1. That the 2021 Internal Audit Plan **BE APPROVED**.

Minute Item No. 6.1

AC-C 11-2020

Final Report on Non-Competitive Procurement Audit

That Report AC-C 11-2020, dated December 7, 2020, respecting Final Report on Non-Competitive Procurement Audit, **BE RECEIVED** for information; and

That staff **BE DIRECTED** to provide a report at the Audit Committee meeting being held February 8, 2021, respecting staff training on procurement processes and further analysis of the examples provided in the KPMG audit including justification, comparison to budget and contact splitting.

Minute Item No. 6.2

AC-C 15-2020

Supplemental Information Report to the KPMG Final Audit Report on Non-Competitive Procurement Audit (AC-C 11-2020)

That Report AC-C 15-2020, dated December 7, 2020, respecting Supplemental Information Report to the KPMG Final Audit Report on Non-Competitive Procurement Audit (AC-C 11-2020), **BE RECEIVED** for information.

Minute Item No. 6.3

AC-C 9-2020

**Councillor Information Request (CIR) Response to Niagara Peninsula
Conservation Authority (NPCA) 2019 Financial Statements**

That Correspondence Item AC-C 9-2020, being a memorandum from H. Chamberlain, Deputy Treasurer/Director, Financial Management & Planning, dated December 7, 2020, respecting Councillor Information Request (CIR) Response to Niagara Peninsula Conservation Authority (NPCA) 2019 Financial Statements, **BE RECEIVED** for information.

Minute Item No. 6.4

AC-C 12-2020

Management Action Plan Update

That Report AC-C 12-2020, dated December 7, 2020, respecting Management Action Plan Update, **BE RECEIVED** for information

Minute Item No. 8.1

Confidential AC-C 14-2020

**A Matter of Litigation or Potential Litigation under s.239(2)(e) of the Municipal Act,
2001: Burgoyne Bridge Financial Update**

That Confidential Item AC-C 14-2020, being a memorandum from M. Steele, Associate Director, Reporting & Analysis, dated December 7, 2020, respecting A Matter of Litigation or Potential Litigation under s.239(2)(e) of the *Municipal Act, 2001*: Burgoyne Bridge Financial Update, **BE REFERRED** to the Corporate Services Committee meeting being held on January 13, 2020.

**THE REGIONAL MUNICIPALITY OF NIAGARA
AUDIT COMMITTEE
OPEN SESSION**

**AC 3-2020
Monday, December 7, 2020
Council Chamber / Video Conference
Niagara Region Headquarters, Campbell West
1815 Sir Isaac Brock Way, Thorold, ON**

Committee Members Rigby (Committee Chair)
Present in the
Council Chamber:

Council Members Foster, Gale, Redekop, Whalen (Committee Vice-Chair)
Present via Video
Conference:

Other Members Zalepa
Present via Video
Conference:

Absent/Regrets: Bradley (Regional Chair)

Staff Present in the H. Chamberlain, Deputy Treasurer/Director, Financial
Council Chamber: Management & Planning, S. Guglielmi, Technology Support
Analyst, T. Harrison, Treasurer/Commissioner, Enterprise
Resource Management Services, A. Jugley, Commissioner,
Community Services, F. Marcella, Manager, Internal Audit, B.
Menage, Director, Procurement & Strategic Acquisitions, A.-M.
Norio, Regional Clerk, M. Steele, Associate Director, Reporting
and Analysis, R. Tripp, Acting Chief Administrative Officer, B.
Zvaniga, Interim Commissioner, Public Works

Staff Present via E. Amirault, Associate Director, Finance, Operations and
Video Conference: Systems, J. Brunet, Associate Director, Water Operations
Maintenance, T. Cimino, Associate Director, Water &
Wastewater Engineering, C. Courteau, Associate Director,
Water & Wastewater Integrated Systems, D. Gibbs, Director,
Legal and Court Services, C. Habermehl, Director, Waste
Management Services, R. Pinder, Associate Director, Water &
Wastewater Asset Management, C. Ryall, Director,
Transportation Services, J. Tonellato, Director, Water and
Wastewater, M. Trennum, Deputy Regional Clerk

1. **CALL TO ORDER**

Committee Chair Rigby called the meeting to order at 1:00 p.m.

2. **DISCLOSURES OF PECUNIARY INTEREST**

There were no disclosures of pecuniary interest.

3. **PRESENTATIONS**

There were no presentations.

4. **DELEGATIONS**

There were no delegations.

5. **ITEMS FOR CONSIDERATION**

5.1 **AC-C 10-2020**

2021 Audit Committee Schedule

Moved by Councillor Whalen

Seconded by Councillor Gale

That Correspondence Item AC-C 10-2020, being a memorandum from H. Chamberlain, Deputy Treasurer/Director, Financial Management and Planning, and F. Marcella, Manager, Internal Audit, dated December 7, 2020, respecting 2021 Audit Committee Schedule, **BE RECEIVED** and the following recommendation **BE APPROVED**:

1. That the Audit Committee meetings **BE HELD** Mondays at 1:00 p.m. on the following dates in 2021:

February 8, May 10, September 20 and December 6.

Carried

5.2 **AC-C 16-2020**

2021 Audit Workplan

Moved by Councillor Foster

Seconded by Councillor Gale

That Report AC-C 16-2020, dated December 7, 2020, respecting 2021 Audit Workplan, **BE RECEIVED** and the following recommendation **BE APPROVED**:

1. That the 2021 Internal Audit Plan **BE APPROVED**.

Carried

6. **CONSENT ITEMS FOR INFORMATION**

6.1 **AC-C 11-2020**

Final Report on Non-Competitive Procurement Audit

N. Rolfe, Partner, and R. Hacking, Manager, Advisory Services, KPMG, provided information respecting Final Report on Non-Competitive Procurement Audit. Topics of the presentation included:

- Scope
- Key Findings:
 - Areas of good practice
 - Opportunities for improvement
 - Action plan highlights

Moved by Councillor Foster
Seconded by Councillor Whalen

That Report AC-C 11-2020, dated December 7, 2020, respecting Final Report on Non-Competitive Procurement Audit, **BE RECEIVED** for information.

Moved by Councillor Redekop
Seconded by Councillor Foster

That the motion **BE AMENDED** to include the following:

That staff BE DIRECTED to provide a report at the Audit Committee meeting being held February 8, 2021, respecting staff training on procurement processes and further analysis of the examples provided in the KPMG audit including justification, comparison to budget and contract splitting.

Carried

The Committee Chair called the vote on the motion, as amended, as follows:

That Report AC-C 11-2020, dated December 7, 2020, respecting Final Report on Non-Competitive Procurement Audit, **BE RECEIVED** for information; and

That staff **BE DIRECTED** to provide a report at the Audit Committee meeting being held February 8, 2021, respecting staff training on procurement processes and further analysis of the examples provided in the KPMG audit including justification, comparison to budget and contract splitting.

Carried

6.2 AC-C 15-2020

Supplemental Information Report to the KPMG Final Audit Report on Non-Competitive Procurement Audit (AC-C 11-2020)

Moved by Councillor Gale
Seconded by Councillor Whalen

That Report AC-C 15-2020, dated December 7, 2020, respecting Supplemental Information Report to the KPMG Final Audit Report on Non-Competitive Procurement Audit (AC-C 11-2020), **BE RECEIVED** for information.

Carried

Councillor Information Request(s):

Provide information at the February 8, 2021 Audit Committee meeting respecting determining other areas to be reviewed as part of the 2021 work plan as a result of the findings of the KPMG Non-Competitive Procurement Audit. Committee Members

6.3 AC-C 9-2020

Councillor Information Request (CIR) Response to Niagara Peninsula Conservation Authority (NPCA) 2019 Financial Statements

Moved by Councillor Foster
Seconded by Councillor Redekop

That Correspondence Item AC-C 9-2020, being a memorandum from H. Chamberlain, Deputy Treasurer/Director, Financial Management & Planning, dated December 7, 2020, respecting Councillor Information Request (CIR) Response to Niagara Peninsula Conservation Authority (NPCA) 2019 Financial Statements, **BE RECEIVED** for information.

Carried

6.4 AC-C 12-2020

Management Action Plan Update

Moved by Councillor Whalen

Seconded by Councillor Gale

That Report AC-C 12-2020, dated December 7, 2020, respecting Management Action Plan Update, **BE RECEIVED** for information.

Carried

7. **CLOSED SESSION**

Committee did not resolve into closed session.

8. **BUSINESS ARISING FROM CLOSED SESSION**

8.1 Confidential AC-C 14-2020

A Matter of Litigation or Potential Litigation under s.239(2)(e) of the Municipal Act, 2001: Burgoyne Bridge Financial Update

Moved by Councillor Gale

Seconded by Councillor Redekop

That Confidential Item AC-C 14-2020, being a memorandum from M. Steele, Associate Director, Reporting & Analysis, dated December 7, 2020, respecting A Matter of Litigation or Potential Litigation under s.239(2)(e) of the *Municipal Act, 2001*: Burgoyne Bridge Financial Update, **BE REFERRED** to the Corporate Services Committee meeting being held on January 13, 2021.

Carried

9. **OTHER BUSINESS**

There were no items of other business.

10. **NEXT MEETING**

The next meeting will be held on Monday, February 8, 2021 at 1 p.m.

11. ADJOURNMENT

There being no further business, the meeting adjourned at 3:03 p.m.

Tim Rigby
Committee Chair

Matthew Trennum
Deputy Regional Clerk

Ann-Marie Norio
Regional Clerk

MEMORANDUM

AC-C 10-2020

Subject: 2021 Audit Committee Schedule
Date: December 7, 2020
To: Audit Committee
From: Helen Chamberlain, Director, Financial Management and Planning
Frank Marcella, Manager, Internal Audit

The following is a list of proposed dates in 2020 that have been identified to hold meetings of the Audit Committee:

February 8, 2021

May 10, 2021

September 20, 2021

December 6, 2021

Of particular note is the meeting scheduled for May 10 as it will ensure the timely approval of the 2020 Niagara Region consolidated financial statements. The Niagara Region's current audit services agreement term ends with financial reports dated March 31, 2021. Staff plan to undertake an RFP process following the approval of financial statements for the selection of external auditors. It is expected the results of that RFP will be presented at the September Audit Committee meeting. Additional Audit Committee meetings may be called by the Chair as required, and changes to planned agenda items may occur depending on direction from Audit Committee.

A resolution of Committee is required to approve the meeting dates. Suggested wording is as follows:

That the Audit Committee meetings, **BE HELD** on Mondays at 1:00 p.m. on the following dates in 2021:

February 8, May 10, September 20 and December 6.

Respectfully submitted and signed by

Frank Marcella, Manager
Internal Audit

Helen Chamberlain, Director
Financial Management &
Planning

Subject: 2021 Audit Workplan
Report to: Audit Committee
Report date: Monday, December 7, 2020

Recommendations

1. That the draft 2021 Internal Audit Plan **BE APPROVED.**

Key Facts

- The 2021 Internal Audit Plan was developed following consultation with Senior Management and previous interviews with Audit Committee members and other Councillors.
- Internal Audit also conducted a scan of other peer municipalities to determine the audit trends in formulating this plan.
- A final plan will be presented at the initial Audit Committee meeting in 2021 including an implementation schedule.
- The objective of this 2021 Internal Audit Plan is to provide independent, objective assurance and advisory services designed to add value and improve the organization's operations and system of internal controls.

Financial Considerations

The consulting budget to acquired external support is set at \$200,000 with ability to complete follow-up audits internally to ensure all audits are completed within budget.

Analysis

The following internal audits are being considered with additional projects to be added in the new year as requested by Audit Committee and CLT.

- IT Cyber Audit – focus on access controls and vulnerability testing (proposed Q1 start date)
- IT Penetration Testing –evaluation of network access, IT gateways, external access controls and SCADA testing (proposed start Q3)
- PCard follow-up – review of the impact of MAP action plans on improving the overall control framework of managing PCard usage (proposed start Q2)

- BioSolids Value for Money – Evaluation of the BioSolids with a focus on efficiency and effectiveness (proposed start Q3)
- Non-competitive Procurement Follow-up Audit – review of the impact of MAP action plans on improving the overall control framework of managing non-competitive audits (proposed start Q4)

Alternatives Reviewed

For the majority of audits an external audit firm will be engaged. It is proposed based on available funding that the two follow-up audits be conducted internally by the Manager, Internal Audit.

Relationship to Council Strategic Priorities

Internal Audit along with related audit functions such as Value-for-money (VFM) audits and compliance reviews were identified and approved within the current Council's Strategic Priority – Sustainable and Engaging Government. The goal of this strategic initiative is a commitment to high quality, efficient, fiscally sustainable and coordinated core services through enhanced communication, partnerships and collaborations with the community.

Other Pertinent Reports

N/A

Prepared by:

Frank Marcella, Manager
Internal Audit

Recommended by:

Todd Harrison, CPA, CMA
Commissioner, Corporate Services/
Treasurer

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

Non-Competitive Procurement Audit Presentation

Audit Committee

AC-C 11-2020

December 7, 2020

Rob Hacking, Manager Advisory Services, KPMG LLP



The Regional Municipality of Niagara

Audit Committee – Presentation of Non-Competitive Procurement Audit

December 7, 2020

Niagara Region – Audit Committee Presentation

Key findings from Non-Competitive Procurement Audit

Scope: To determine whether adequate and sufficient documentation is provided which supports non-competitive procurement decisions. This included a review of the justification provided within PeopleSoft to ensure justifications were thorough, fulsome and in line with the relevant sections of the procurement by-law, and whether appropriate approvals were provided. We selected a sample of 245 non-competitive and 30 competitive procurement transactions to test as part of our review.

Areas of good practice	<ul style="list-style-type: none">• Approval workflows exist within the PeopleSoft system, which have been created based on the authorities listed in the Procurement By-law. Our testing identified no exceptions around the approval of transactions.• Procurement PO analytics is undertaken periodically to identify and monitor high spend across the Region.• Training is scheduled for Region staff on Procurement, which is due to be delivered in December 2020.
Opportunities for improvement	<ul style="list-style-type: none">• Justification for non-competitive procurements were not always sufficiently detailed when recorded on PeopleSoft.• Our testing noted a number of instances where purchase orders were raised after receipt of an invoice.• We noted purchases procured through the competitive route however were deemed non-competitive procurement transactions from our testing.• We noted inconsistencies between the Procurement By-law and current practices, in particular around reporting and publishing of purchases.• We identified additional analytics Procurement could use to monitor procurement activity, including the timeliness of purchase order raising.
Action plan highlights	<ul style="list-style-type: none">• Procurement to consider including justification requirements within PeopleSoft or through use of a separate justification form.• Upcoming training in December 2020 should include training on recording justification for non-competitive procurements, timeliness of purchase order raising, which procurement routes to select, and retention of documentation.• Procurement to incorporate additional items to their current monitoring and analytics. Actions are already underway to identify reports showing where invoices have been received in advance of the requisition being created. These will be sent to Directors/Commissioners on a periodic basis.

Subject: Non-Competitive Procurement Audit Final Report

Report to: Audit Committee

Report date: Monday, December 7, 2020

Recommendations

1. That the final audit report and presentation on Non-Competitive Procurements **BE RECEIVED** for information.

Key Facts

- At the January 2020 Audit Committee it was approved that an external firm be retained to complete an internal audit of all non-competitive procurements.
- Through a competitive process, KPMG was the successful proponent at a price of \$19,250.
- The audit commenced in mid-October and a draft report submitted on November 20, 2020.

Financial Considerations

The audit was completed within the prescribed timeframe and within the accepted bid price.

There are no financial impacts related to the recommendations and related management action plans are being implemented.

Analysis

The purpose of the audit was to provide assurance to Management and Niagara Region's Audit Committee on the effectiveness of the management control framework to support non-competitive procurement activities. The audit tested purchasing activities to evaluate the current controls and processes related to non-competitive transactions as prescribed in the Regional purchasing and procurement by-law. Finally, the audit attempted to determine the effectiveness of current procedures to ensure consistency, compliance and fairness/transparency throughout the corporation.

Alternatives Reviewed

No other alternatives were reviewed at this time.

Relationship to Council Strategic Priorities

Internal Audit along with related audit functions such as Value-for-money (VFM) audits and compliance reviews were identified and approved within the current Council's Strategic Priority – Sustainable and Engaging Government. The goal of this strategic initiative is a commitment to high quality, efficient, fiscally sustainable and coordinated core services through enhanced communication, partnerships and collaborations with the community.

Other Pertinent Reports

- AC-C 3-2020 – Non-Competitive Procurement Audit
- AC-C 2-2020 – Procurement Audit Final Report

Prepared by:

Frank Marcella
Manager, Internal Audit

Recommended by:

Todd Harrison, CPA, CMA
Commissioner, Corporate Services/
Treasurer

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

Appendices

Appendix 1 AC-C 11-2020 – Non-Competitive Procurement Audit Final Report



Regional Municipality of Niagara

Non-Competitive Procurement Audit

December 2020

KPMG LLP

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Executive summary

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Appendix A – Summary of Non-Competitive testing results

Appendix B – Summary of Competitive testing results

Appendix C – Data Analytics on Non-Competitive procurement

Appendix D – Staff Involvement and Documentation Reviewed

Status of Report

Discussion draft issued

November 23, 2020

Management responses received

November 27, 2020

Final report issued

December 3, 2020

Distribution

Bart Menage – Director, Procurement and Acquisitions

Todd Harrison – Commissioner of Corporate Services

Frank Marcella – Internal Audit Manager

This report has been prepared solely to assist the Regional Municipality of Niagara. Our report is not intended for general use, circulation or publication outside of the Region, unless otherwise agreed. For the avoidance of doubt, our report may not be disclosed, copied, quoted or reference to in whole or in part, without our prior written consent in each specific instance. Such consent not to be unreasonably withheld, if given, may be on conditions, including without limitation an indemnity against any claims by third parties arising from release of any part of our reports. We will not assume any responsibility or liability for any costs or damages, losses, liabilities, or expenses incurred by anyone else as a result of circulation, publication, reproduction, use of or reliance upon our report.



Executive summary

Introduction: We have undertaken an audit of the non-competitive procurement process across the Regional Municipality of Niagara ("The Region") assessing compliance with the Procurement By-law ("The By-law")

Summary of findings

As part of our audit we assessed the processes and controls in place around non-competitive procurement transactions, specifically those coded as single source, negotiation, special circumstances and Schedule A under the Procurement By-law. Further details of our audit objectives can be seen on slide four. We have summarized our findings below.

Our testing of a sample of 245 (deemed to be a statistically significant sample size) non-competitive procurement transactions noted 163 cases (67%) without clear justification for procuring through the non-competitive route recorded on PeopleSoft, which included justification for initial requisitions and for changes to purchase orders. Justification recorded was varied and while sometimes detailed in nature, it often did not include any sufficient reasoning as to why purchases were being procured non-competitively. A justification form should be completed and uploaded to PeopleSoft for all purchases of this nature.

Our testing of non-competitive transactions also noted instances where purchase orders had been raised after receipt of invoices, with no explanation recorded on the system. As part of the planned training for Region staff, Procurement should remind staff of the requirement to raise purchase orders in advance of receipt of invoices, therefore showing a commitment to the purchase on the system, and perform analytics on a periodic basis to identify instances of non-compliance for follow up with the respective operating units/departments. Our testing of non-competitive transactions also identified exceptions around the justification for changes in procurement routes and reporting requirements in line with the Procurement By-law. See Appendix A for further details.

We also reviewed a sample of 30 purchases procured through the competitive route between \$10,000 and \$25,000 to ensure they had sufficient supporting documentation and justification for being procured through that route. We identified exceptions around the storage of documents on the system, and identified eight cases which should have been procured through the non-competitive process. As noted above, Procurement is in the process of rolling out mandatory training for staff on procurement, and should ensure this provides guidance on when to procure through the competitive and non-competitive routes, and what documentation should be stored in PeopleSoft. See Appendix B for further details of our testing of competitive procurement transactions.

As part of our audit we also undertook data analytics on non-competitive procurement transactions between 2017 and 2020. This included analytics of instances where multiple purchases had been raised on the same day by the same operating unit for the same supplier, and purchases with values slightly below the authorization limits in the Procurement By-law, both of which may be an indication of purchase splitting (where purchases are split to fall beneath thresholds). Procurement should review and follow up the cases identified in our analytics, and undertake similar analysis going forward.

Executive summary (cont.)

Objectives

The overall objective of this audit is to determine whether non-competitive transactions (SNG, NGN, SPE, SCA) complied with the Region's Procurement By-laws and related purchasing policies and procedures. Below we set out the agreed specific objectives:

#	Objective	Description of work undertaken
1	To determine if adequate and sufficient documentation is provided which supports non-competitive purchasing decisions.	From our 245 samples selected, we tested each sample for adequate and sufficient supporting documentation, including quality of justification and evidence of supporting documents.
2	To confirm that the justifications provided are thorough, fulsome and tie the single source circumstance to the allowable exceptions identified within the relevant sections of the procurement by-law.	From our 245 samples selected, we tested each sample to validate whether the justification provided for the purchase requisition as well as the purchase order change (if applicable) are thorough, fulsome and in line with by-law requirements.
3	Within the non-competitive purchase population (shown in Tables 1 and 2), identify and prioritize risk areas/categories.	Based on the non-competitive transactions raw data (Jan 2017 to Oct 2020) provided, we performed data analytics and exercised judgement to identify high-risk transactions, which are subsequently selected as part of our sample.
4	To develop and execute statistically significant testing. Specifically testing approximately 50 purchase orders in each of 2017 and 2018 and approximately 60 purchase orders in each 2019 and 2020.	We selected and tested 245 samples for non-competitive transactions throughout the four years, which represented a 95% confidence level. We also tested 30 samples for transactions within \$10,000 to \$25,000 range not coded as non-competitive. Please see Appendix B.
5	To provide an opinion or recommendations to mitigate potential risks or issues related to non-competitive purchases.	We have developed our recommendations regarding the non-competitive procurement transactions based on our findings from the audit testing (as shown in the following slides). Potential solutions have been proposed to allow for improved tracking and reporting on non-competitive procurements.
6	To identify potential solutions, which would enable staff to identify, track and report out on non-competitive procurements within the Region.	

Recommendations

#	Findings and Recommendation	Management Response, action plan & owner, due date
1	<p>Policies and procedures</p> <p>Our review of the Region's Procurement By-laws & procedures as well as audit testing noted the following:</p> <ol style="list-style-type: none"> 1) The by-law requires all single source awards to be published on the Regions bidding system, however this is not currently being done. 2) The by-law requires special circumstance purchases to be reported to the Procurement & Strategic Acquisitions within one business day, however this is currently not being done. (Although Procurement are aware through their approval on PeopleSoft, they are not reported separately) 3) There are currently no procedures in place outlining the key steps to follow as part of the procurement process, in particular around the storage of documentation (e.g. the need to record justification for purchases and quotes on the system) and that purchase orders should be raised in advance of receipt of invoices. <p>We recommend:</p> <ul style="list-style-type: none"> • Procurement ensure practices are carried out in compliance with the Procurement By-law for the items noted above. Procurement should ensure alignment between the By-law and current practices. • As part of the upcoming training, Procurement should ensure that this includes training on the timeliness of raising purchase orders and the recording and retention of information in the PeopleSoft system (including justification for purchases and quotes). • Procurement should also consider adopting more standardized procedures to accompany the training for staff to access and refer to on an on-going basis throughout the year. 	<p>Agreed</p> <p>Procurement will provide a link on the bids and tenders site, which links back to the Region website where a listing of the non-competitive awards will reside</p> <p>Procurement is the recipient of reports from the Operational Department outlining special circumstance purchases. The onus is on the latter to advise Procurement. Procurement will develop communication to re-iterate the requirements and the responsibilities of Regional staff to ensure adherence.</p> <p>Training tools and mandatory leader training will address the criticality of recording and retaining information and reinforce the requirements to provide fulsome justification.</p> <p>The By-law represents a hybrid of policy and procedural content, with developed training programs reinforcing this. Procedural content also resides on the Finance and Procurement Vine page. Procurement will consider any additional procedures and guidance required after the training session in December 2020.</p> <p>Owner: Bart Menage Director (Procurement & Strategic Acquisitions, Corporate Services) and Regional Staff</p> <p>Due Date: November and December 2020</p>

Recommendations

#	Findings and Recommendation	Management Response, action plan & owner, due date
2	<p>Justification of purchases and PO increases</p> <p>Our testing of 245 non-competitive procurement transactions noted:</p> <ul style="list-style-type: none"> In 163/245 cases, the justification recorded on PeopleSoft for procuring non-competitively was either “partly clear” or “unclear”. Note that 108 of the 163 were below \$25,000 and so were not routed through procurement as part of the system workflow. For the 62 cases where a PO change approval was required, in six cases an appropriate justification was not recorded in PeopleSoft. While justifications are recorded in PeopleSoft, there is no guidance or justification form provided to staff. <p>For justifications deemed “partly clear” or “unclear” we were unable to fully determine whether the purchase was made under the correct non-competitive procurement route (single source, schedule A etc.) based on the information recorded on PeopleSoft.</p> <p><u>We recommend:</u></p> <p>To enhance the documentation in PeopleSoft and ensure valid and consistent justifications for non-competitive procurements, the Region should adopt a justification form which should include, at a minimum:</p> <ul style="list-style-type: none"> The transaction type (e.g. single source), supplier and value Specific reference to the Procurement By-law which indicates the purchase is applicable Thorough justification as to why the purchase is applicable under the by-law reference A clear reason as to why alternative vendors cannot be used 	<p>Agreed</p> <p>These recommendations are included in the training materials (Navigator and Essentials). The justification form which existed pre PeopleSoft was replaced with the current process (header text of requisition) when the ERP system was implemented in 2016. Procurement will assess whether PeopleSoft can be modified to include the justification requirements for staff to complete within the system. Alternatively, the Region will consider implementing a justification form to be uploaded into PeopleSoft.</p> <p>While Procurement is not in the workflow approval path for requisitions valued at less than \$25,000, we do have direct oversight over all requisitions in excess of this value and as such, we scrutinize these to confirm that an appropriate reference to the Procurement By-law is included along with ensuring that a fulsome justification is provided which ties into the By-law exception which is being leveraged</p> <p>Upon review of the exceptions identified during the audit, the Region has identified purchases coded as “single source” which should have been coded to “Schedule A”.</p> <p><i>(continued overleaf)</i></p>

Recommendations

#	Findings and Recommendation	Management Response, action plan & owner, due date
2	Justification of purchases and PO increases (cont.)	
	<p>In addition, Management should review and investigate the exceptions to identify any purchases which may have been coded incorrectly. Should this be the case, Procurement should ensure training is provided on when to apply the different non-competitive procurement routes as part of the upcoming training course in December 2020. In addition, random spot checks should be performed by Procurement going forward to confirm compliance with the by-law around the non-competitive procurement routes chosen.</p>	<p>Schedule A purchases do not require as detailed justification as opposed to other non-competitive procurement as the only requirement is that the purchase meets one of the listed goods or services in the by-law. As part of the upcoming training Procurement have included training around coding of different non-competitive procurement transactions. Additional spot checks of “single source” coded purchases to ensure they are correctly coded will be undertaken where necessary.</p> <p>Owner: Bart Menage Director (Procurement & Strategic Acquisitions, Corporate Services), Erin Amirault (Associate Director, Finance Operations and Systems) and Regional Staff.</p> <p>Due Date: Q1 of 2021</p>

Recommendations

#	Findings and Recommendation	Management Response, action plan & owner, due date
3	<p>Retaining evidence and justification for changing procurement routes</p> <p>Our sample testing of 245 non-competitive transactions noted 29 cases where the requisition was not approved appropriately in line with purchasing authorities in the Procurement By-law for non-competitive purchases.</p> <p>Through further investigation we noted that all cases were originally coded to the competitive procurement route, and so were approved appropriately under the informal quotation limits before being changed to the non-competitive route. However, we noted that there was no clear justification provided on PeopleSoft as to why the purchase was converted from the competitive route to the non-competitive route.</p> <p><u>We recommend</u></p> <p>As part of the upcoming training course, Procurement should ensure training is provided on when to procure through the competitive and non-competitive routes, the differences between each, and how they are recorded on PeopleSoft.</p> <p>Should there be a need to convert transactions to another procurement route then a clear justification should be recorded on the system.</p>	<p>Agreed</p> <p>The mandatory leader training will address the requirements for procuring through the competitive and non-competitive routes, and the criticality of recording and retaining information and justification for procurement decisions and purchases.</p> <p>Procurement will consider any additional procedures and guidance required after the training session in December 2020</p> <p>Owner: Bart Menage Director (Procurement & Strategic Acquisitions, Corporate Services) and Regional Staff</p> <p>Due Date: December 2020</p>

Recommendations

#	Findings and Recommendation	Management Response, action plan & owner, due date
4	<p>Timeliness of raising of purchase orders</p> <p>Our sample testing of 245 non-competitive transactions and 30 competitive transactions noted the following:</p> <ul style="list-style-type: none"> In 133/245 non-competitive transactions tested, the purchase order was raised after the receipt of the invoice. Where this occurred, the average time between the two events was 33.2 days. In 14/30 competitive transactions tested, the purchase order was raised after the receipt of the invoice. Where this occurred, the average time between the two events was 19 days. <p>Please see Appendix A for further details of our testing and the operating units where exceptions were noted.</p> <p><u>We recommend</u></p> <p>In some limited circumstances it may be necessary to carry out purchases at short notice or in emergency situations which may lead to invoices being received prior to the raising of a purchase order. In these instances, a purchase order should be raised as soon as possible and clear justification should be recorded on the system.</p> <p>As part of the upcoming training course, Procurement should specify the importance of raising purchase orders as soon as a purchase is committed to and prior to the receipt of an invoice.</p> <p>To ensure compliance is met, and to reiterate the messaging around timeliness of raising purchase orders, Procurement should perform periodic analytics to identify transactions where purchase orders are not raised in a timely manner and present these to Commissioners to show the rate of compliance for their department. Commissioners should ensure they follow up any cases where required.</p>	<p>Agreed</p> <p>The By-law and the recently developed training reinforce the requirement that appropriate approvals are obtained prior to the acquisition (Navigator available to all staff now and from December 2020 additional training on formal and informal procurement processes will be available for leaders and Project Managers via Essentials Leader training)</p> <p>ERP has already completed development of a query that identifies when an invoice was received in advance of the requisition being created. Procurement will generate these reports on a periodic basis to identify instances of non-compliance and share these with Directors and Commissioners of the Regional Department for review.</p> <p>Owner: Bart Menage Director (Procurement & Strategic Acquisitions, Corporate Services) and Regional Staff.</p> <p>Due Date: Q1 of 2021</p>

Recommendations

#	Findings and Recommendation	Management Response, action plan & owner, due date
5	<p>Competitive transaction testing – retention of quotes and eligibility of competitive process</p> <p>Our sample testing of 30 competitive procurement transactions noted the following:</p> <ul style="list-style-type: none"> In eight cases tested, purchases were deemed “single source” transactions and therefore had been coded incorrectly. The majority of these purchases were under a Council approved agreement, however the initial agreement was procured under the single source route and so purchases under the agreement should also be classified as single source purchases. In two cases tested, evidence of three quotes could not be found on PeopleSoft. We noted inconsistencies in the level of detail and information required to be stored on PeopleSoft for competitive transactions (quotes/contract references/Council approvals) <p><u>We recommend</u></p> <p>We understand a mandatory training course is soon to be rolled out by the Region. The Region should ensure that this includes training on the requirements around competitive and non-competitive transactions.</p> <p>In addition, in line with recommendation one, the Region should consider implementing standardized procedures outlining the requirements for storing documentation.</p>	<p>Agreed</p> <p>In addition to the By-law, the training programs identified herein address/provide detailed information on Formal and Informal procurement processes and the roles and responsibilities of all Staff who have been delegated the authority to undertake these processes. While the above does not provide procedural direction, Procurement will consider any additional procedures and guidance required after the training session in December 2020</p> <p>Procurement will further investigate whether a new requisition type which was developed for requisitions against PeopleSoft contracts could be implemented for unique purchases as part of a wider, Council Approved, purchasing agreement/contract.</p> <p>Owner: Bart Menage Director (Procurement & Strategic Acquisitions, Corporate Services) and Regional Staff.</p> <p>Due Date: Q1 of 2021</p>

Recommendations

#	Findings and Recommendation	Management Response, action plan & owner, due date
6	<p>Analytics over procurement transactions</p> <p>While Procurement undertake their own monitoring and analytics of non-competitive procurement transactions, we noted additional items which should be incorporated going forward, including:</p> <ul style="list-style-type: none"> • Reviewing those transactions with significant PO change values to ensure there is appropriate justification for the increase. • Reviewing instances where multiple purchase orders are raised on the same day for the same supplier by the same operating unit, to ensure purchases have not been purposely split to bypass approval limits. • Reviewing instances where purchase amounts are close to authorization limits as per the Procurement By-law (e.g. close to \$25,000/\$100,000 etc.) to ensure that purchases have not been purposely split. • Reviewing the timeliness of raising purchase orders and receiving invoices to ensure compliance is met. (see recommendation four for further details) <p>We also noted that PeopleSoft does not distinguish between “single” and “sole” sourced transactions.</p> <p>We recommend</p> <ul style="list-style-type: none"> • The Procurement team incorporate the above analytics into their regular monitoring of transactions and ensure they follow up on any cases where required. See Appendix C for our analytics performed. • Management assess whether “single” and “sole” source transactions can be differentiated for easier monitoring. 	<p>Agreed</p> <p>Procurement will expand on this current process of reporting PO data analytics. Procurement will consider preparing a report published immediately or deferred to the first Procurement Advisory Committee meeting scheduled for March 2021 and to each meeting thereafter</p> <p>As noted in our response to recommendation four, ERP has already completed development of a query that identifies when an invoice was received in advance of the requisition being created. Procurement will run this analysis periodically and share these with Directors and Commissioners of the Regional Department.</p> <p>Owner: Bart Menage Director (Procurement & Strategic Acquisitions, Corporate Services)</p> <p>Due Date: Q4 of 2020</p>

Disclaimer

This report has been prepared solely to assist the Regional Municipality of Niagara ("The Region"). Our report is not intended for general use, circulation or publication outside of the Region, unless otherwise agreed. For the avoidance of doubt, our report may not be disclosed, copied, quoted or reference to in whole or in part, without our prior written consent in each specific instance. Such consent not to be unreasonably withheld, if given, may be on conditions, including without limitation an indemnity against any claims by third parties arising from release of any part of our reports. We will not assume any responsibility or liability for any costs or damages, losses, liabilities, or expenses incurred by anyone else as a result of circulation, publication, reproduction, use of or reliance upon our report.



Appendices

Appendix A – Summary of Non-Competitive testing results

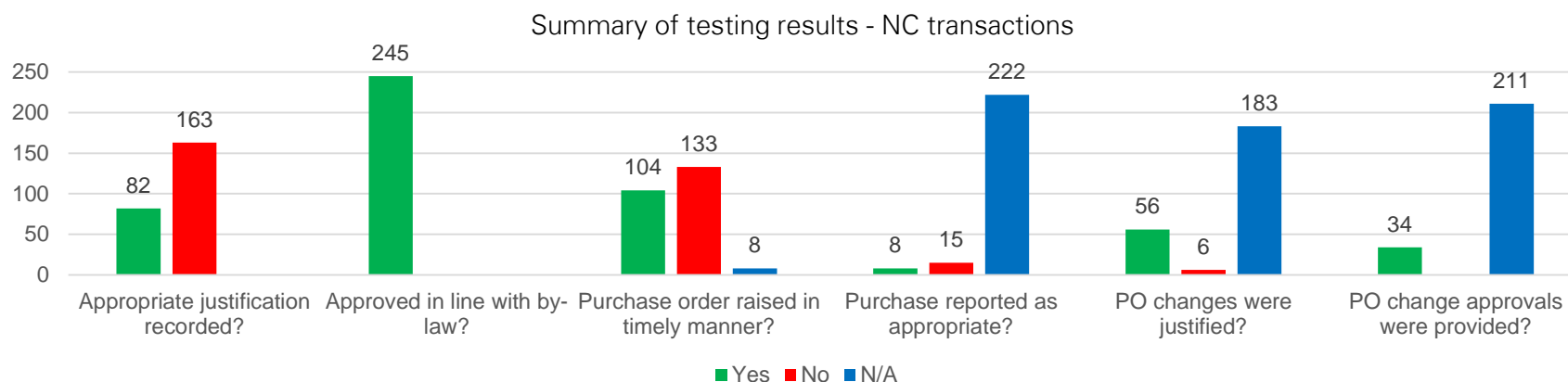
We selected a sample of 245 non-competitive procurement transactions from the 2017/2020 years. Our samples were selected across four non-competitive transaction sources as listed in the Procurement By-law:

- Single Source (SNG) – **205 samples**
- Negotiation (NGN) – **11 samples**
- Special Circumstances (SPE) – **15 samples**
- Schedule A (SCA) – **14 samples**

In our testing, we tested whether:

- Appropriate justification was recorded on PeopleSoft for procuring the goods
- Purchases were approved in line with the Procurement By-law
- Purchase orders were raised in advance of receipt of the invoice
- The purchase was reported as appropriate in the Procurement By-law, including to the Procurement team and Council
- Purchase order changes were appropriately justified where required
- Approvals to purchase order changes were provided where required

Non-Competitive transaction testing results



Appendix A – Summary of Non-Competitive testing results (cont'd)

KPMG Commentary on testing

- In 163/245 cases, a clear justification for procuring the goods through the non-competitive procurement process was not recorded on the system. To assess whether justification was appropriate, we distinguished between justification which was:
 1. “Clear”: By-law reference along with clear reasoning for procuring goods non-competitively
 2. “Partly clear”: By-law reference only
 3. “Unclear”: Insufficient and/or no reasoning provided, and no reference to the Procurement By-law163 cases fell under points two and three above. **(See Recommendation Two)**
- For all cases tested we were able to evidence the appropriate approval recorded on PeopleSoft. However, we noted 29 cases which were originally coded as competitive transactions but then changed to non-competitive, and as a result had been approved initially under the informal quotation procurement limit. We noted there was no clear justification for purchases being converted to a non-competitive transaction recorded on the system. **(See Recommendation Three)**
- In 133/245 cases the purchase order was raised after the receipt of the invoice. Note that eight cases were marked as “n/a” as an invoice had not yet been received. **(See Recommendation Four)**
- Reporting to Council or the Procurement team was required in 23 cases, however in 15 cases no evidence was provided. In all 15 cases, purchases were classed as “special circumstances” and were required to be reported to Procurement. We were informed that purchases are reported through the approval process on Peoplesoft however not in line with the Procurement By-law which requires reporting to Procurement within one business day (i.e. reported separately and outside of the system.) **(See Recommendation One)**
- PO change justifications and approvals are recorded on Peoplesoft. For 6/62 cases, change justifications were not provided. **(See Recommendations Two)**

On the following slides we have provided some analytics showing our testing results, and further information around our testing exceptions.

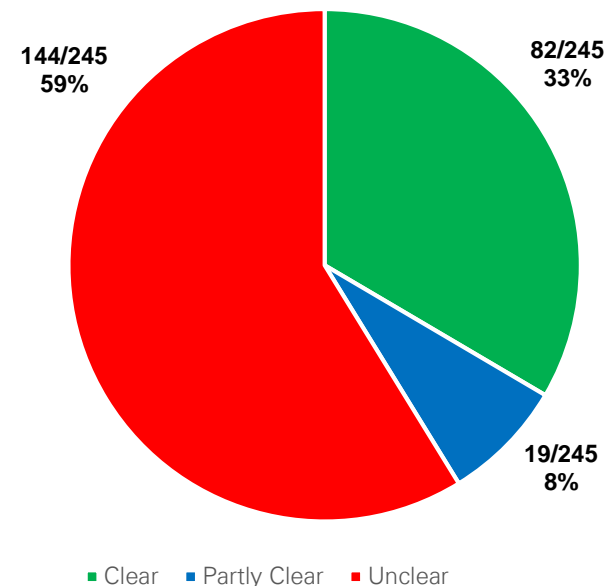
Appendix A – Summary of Non-Competitive testing results (cont'd)

Justification of non competitive procurement

163 out of the 245 samples did not have justification for procuring non-competitively recorded on PeopleSoft. We have broken these down by operating unit below:

Operating Unit	Exceptions (partly clear or unclear)	Sample selected per operating unit
Waste Management Services	44	54
Community Services	35	70
Water and Wastewater services	27	47
Public Works Levy	19	22
Corporate Services	19	27
Emergency Services	10	11
Public Works Transit Levy	3	3
Public Health Department	3	5
Corporate Administration	2	4
Corp IT (Corporate Services, Water & Wastewater services)	1	1
TOTAL	163	

Quality of justification of purchase



Waste Management Services had the highest number of exceptions, with 44 of our 163 exceptions coming from that operating unit. We selected 54 samples from Waste Management Services and 44 of these were exceptions (81%).

In total, 163 cases were identified as either partly clear or unclear, making up 67% of our total sample of 245.

Appendix A – Summary of Non-Competitive testing results (cont'd)

Justification of non competitive procurement (cont.)

163 out of the 245 samples did not have justification for procuring non-competitively recorded on PeopleSoft. We have shown these by source type below.

	Single Source	Negotiation	Special Circumstances	Schedule A	TOTAL
Clear	72	2	5	3	82
Partly Clear	14	0	0	5*	19
Unclear	119	9	10	6*	144
TOTAL	205	11	15	14	245

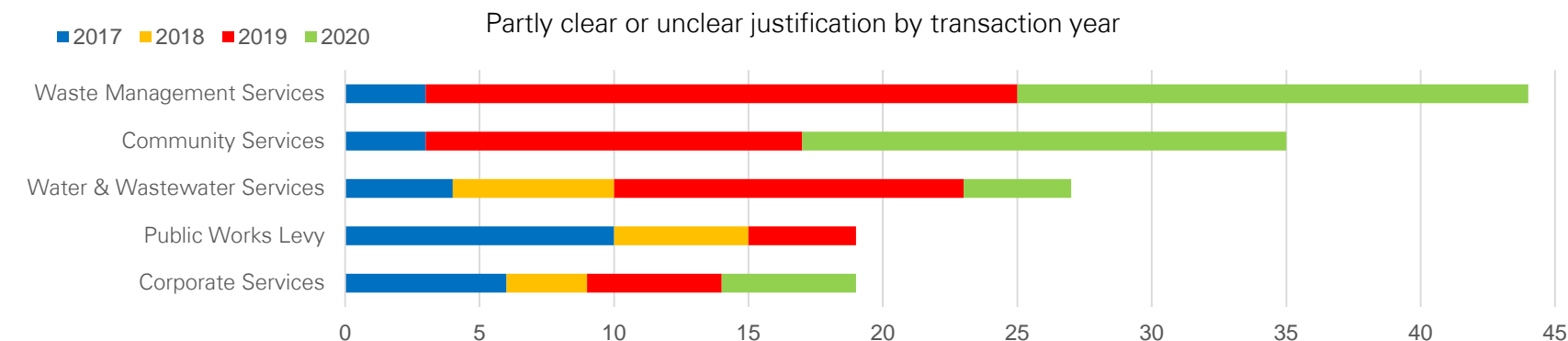
From our samples selected, 133 single source purchases were classified as having “partly clear” or “unclear” justification recorded on PeopleSoft. This represented 65% of the single source purchases tested.

*Schedule A purchases do not require as detailed justification as other non-competitive procurements as the only requirement is that the purchase meets one of the listed goods or services in the By-law. Despite this, we noted inconsistencies in the level of detail recorded on the system for these purchases. Procurement should consider adopting a justification form to help ensure consistency in the level of detail provided in the PeopleSoft system.

Appendix A – Summary of Non-Competitive testing results (cont'd)

Justification of non competitive procurement (cont'd)

Below we have broken down the 163 exceptions by operating unit (top 5) and year in which the transaction occurred.

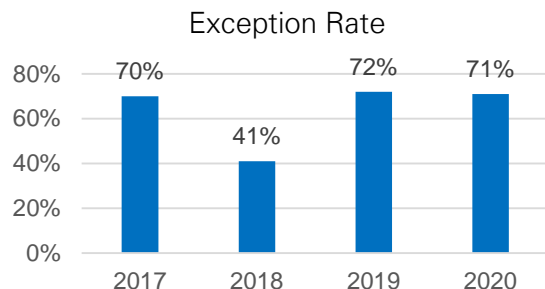


	2017		2018		2019		2020	
	Exceptions	Tested	Exceptions	Tested	Exceptions	Tested	Exceptions	Tested
Waste Management Services	3	3	0	0	22	28	19	23
Community Services	3	13	0	11	14	19	18	27
Water & Wastewater Services	4	5	6	10	13	24	4	8
Public Works Levy	10	11	5	7	4	4	0	0
Corporate Services	6	6	3	5	5	8	5	8

Of the 28 Waste Management Services samples selected in 2019, 22 were exceptions (i.e. justification recorded in PeopleSoft was either “partly clear” or “unclear”). We also noted a high exception rate in 2020, where 19 out of 23 samples were exceptions (82%). Exceptions were also noted in 2019 and 2020 for Community Services, with 14 exceptions from the 19 samples selected in 2019 and 18 exceptions from the 27 samples selected in 2020.

Appendix A – Summary of Non-Competitive testing results (cont'd)

Justification of non competitive procurement (cont'd)



The graph opposite shows the number of exceptions (instances of “partly clear” or “unclear” justification recorded on PeopleSoft) across all 245 samples by year .

28 of our 40 samples selected in 2017 had partly clear or unclear justification (70% exception rate). Rates remained consistent in 2017, 2019 and 2020. 41% of our sample selected in 2018 identified exceptions, the lowest percentage rate.

Purchases converted from competitive to non-competitive procurement routes

As per our commentary on slide 15, we noted 29 cases which were originally marked as competitive but then converted to non-competitive, and so were approved under the competitive procurement limits in the Procurement By-law. Through review of these 29 cases, we noted that clear justification for the change was not provided. The 29 instances where purchases were converted between the two procurement routes fall under the following operating units.

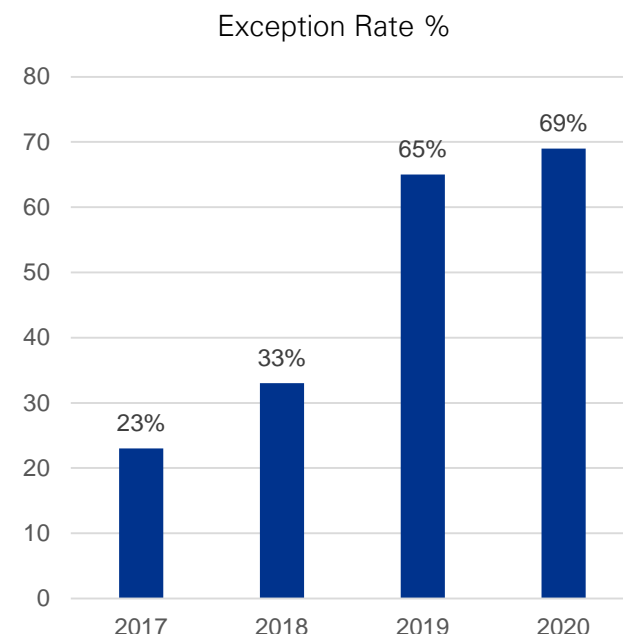
Operating Unit	Procurement route converted
Community Services	12
Water and Wastewater services	8
Emergency Services	4
Corporate Services	3
Waste Management Services	2
TOTAL	29

Appendix A – Summary of Non-Competitive testing results (cont'd)

Timeliness of raising purchase orders

133 out of our 245 samples noted a purchase order being raised after receipt of an invoice, increasing the risk of inappropriate or invalid payments being made. We have shown these by operating unit and by year below.

Operating Unit	Purchase order raised after invoice	Sample selected per operating unit
Waste Management Services	50	54
Community Services	38	70
Water and Wastewater Services	17	47
Corporate Services	8	27
Public Works Levy	6	22
Emergency Services	5	11
Public Health Department	4	5
Public Works Transit Levy	3	3
Corporate Administration	2	4
TOTAL	133	



Waste Management Services had the highest number of exceptions, with 50 instances identified where a purchase order had been raised after receipt of an invoice. We noted exceptions in 50 of our 54 samples from Waste Management Services, which equates to 93%. Exceptions were also noted in Community Services (38) and Water & Wastewater Services (17).

The graph on the right shows the number of exceptions (purchase order raised after invoice received) across all 245 samples by year. From our 40 samples selected in 2017 we noted exceptions in nine cases (23% exception rate). The exception rate increased year on year between 2017 and 2020, rising from 23% in 2017 to 69% in 2020.

Appendix A – Summary of Non-Competitive testing results (cont'd)

PO change justification

For the 62 cases which required PO change justifications to be recorded in Peoplesoft, in 6 cases no justification had been recorded. We have shown these by operating unit and year below

Operating Unit	Exceptions	2018	2019	2020
Community Services	4	0	3	1
Emergency Services	1	1	0	0
Waste Management Services	1	0	1	0
TOTAL	6	1	4	1

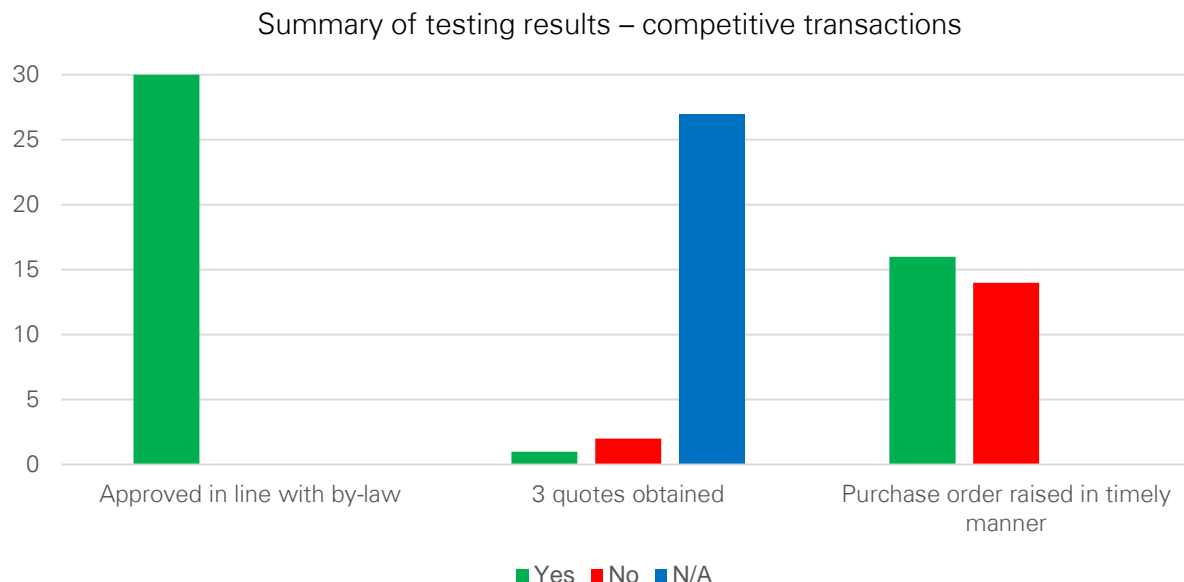
Community Services had the highest number of exceptions, making up four of the six exceptions identified during our testing.

Appendix B – Summary of Competitive testing results

We selected a sample of 30 competitive procurement transactions between \$10,000 - \$25,000 from the 2017-2020 years to test the following:

- Whether purchases were approved in line with the Procurement By-law
- Whether three quotes were obtained for the works in line with the requirements for procuring competitively
- Whether purchase orders were raised in advance of receipt of the invoice

Competitive transaction testing results



Appendix B – Summary of Competitive testing results (cont'd)

Competitive transaction testing results (cont'd)

KPMG Commentary on testing

- In all 30 cases tested, the relevant approval had been recorded on PeopleSoft for the purchase.
- In two cases tested (Public Works Levy and Community Services), we were unable to evidence three quotes recorded on PeopleSoft. **(See Recommendation Five)**
- For the 27 cases marked as “n/a”, eight (all within Community Services) were deemed to be “single source” purchases however had been recorded as competitive transactions. The remaining 19 cases were purchases made as part of a contract which were awarded through an RFP process. Evidence of this and the contract numbers was provided, however this was not always recorded on the system. **(See Recommendation Five)**
- In 14/30 cases tested, a purchase order was raised after receipt of an invoice. **(See Recommendation Four)**

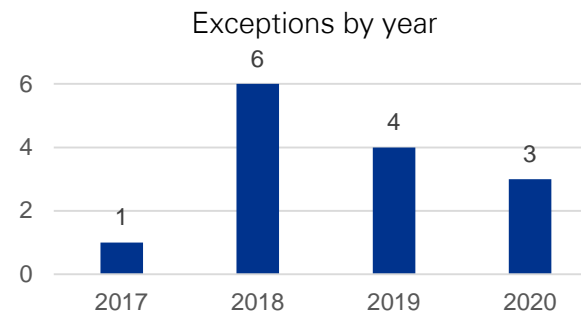
On the following slides we have provided some analytics showing our testing results, and further information around our testing exceptions.

Appendix B – Summary of Competitive testing results (cont'd)

Competitive transaction testing results (cont'd)

In 14 cases a purchase order was raised after the invoice was received. These are shown by operating unit and year below.

Operating Unit	Purchase order raised after invoice
Community Services	8
Waste Management Services	3
Water and Wastewater Services	2
Public Health Department	1



Appendix C – Data Analytics on Non-Competitive Procurement

We have performed data analytics across the data provided to us as part of the audit. Data was provided for the 2017-2020 years, showing all purchase orders raised across the four non-competitive procurement transaction listings in our scope of work (Single source, negotiation, special circumstances and schedule A purchases) for all values over \$10,000. The total number of transactions was 2380.

Top 5 suppliers by year (based on value of PO's raised)

Supplier	PO's raised in 2017
City of St. Catharines	\$5,656,693
N-Viro Systems Canada Inc.	\$4,573,275
Walker Environmental Group Inc.	\$4,318,207
Thomas Nutrient Solutions	\$4,199,049
City of Welland	\$3,878,211

Supplier	PO's raised in 2019
Municipal Property Ass'mt Corp.	\$6,132,487
Minister of Finance - Oshawa	\$5,279,560
Thomas Nutrient Solutions	\$3,643,064
N-Viro Systems Canada Inc.	\$3,300,000
City of St. Catharines	\$3,199,071

Supplier	PO's raised in 2018
Steed & Evans	\$4,593,036
Thomas Nutrient Solutions	\$4,422,853
N-Viro Systems Canada Inc.	\$3,390,000
Demers, Manufacturer inc.	\$2,824,512
Walker Environmental Group Inc.	\$1,969,986

Supplier	PO's raised in 2020
Municipal Property Ass'mt Corp.	\$6,229,772
Minister of Finance - Oshawa	\$4,724,017
N-Viro Systems Canada Inc	\$3,750,000
Thomas Nutrient Solutions	\$3,744,278
City of Niagara Falls	\$1,726,608

For the last two years, Municipal Property Assessment Corporation has seen the highest spend based on PO's raised by the Region, totaling over \$12m. Spending in the last four years has also been common with N-Viro Systems Canada and City of St. Catharines.

Appendix C – Data Analytics on Non-Competitive Procurement

Top 5 Operating Units per year (based on value of PO's raised)

Operating Unit	PO's raised in 2017
Water and Wastewater Services	\$25,572,622
Public Works Levy	\$10,916,315
Waste Management Services	\$7,530,852
Corporate Services	\$5,226,433
Community Services	\$3,658,400

Operating Unit	PO's raised in 2019
Water and Wastewater Services	\$24,679,362
Public Works Levy	\$13,068,219
Net Revenue Budget	\$6,147,641
Community Services	\$4,535,595
Corporate Services	\$3,838,635

Operating Unit	PO's raised in 2018
Water and Wastewater Services	\$19,761,364
Public Works Levy	\$13,763,901
Corporate Services	\$6,649,264
Emergency Services	\$4,007,298
Waste Management Services	\$2,981,428

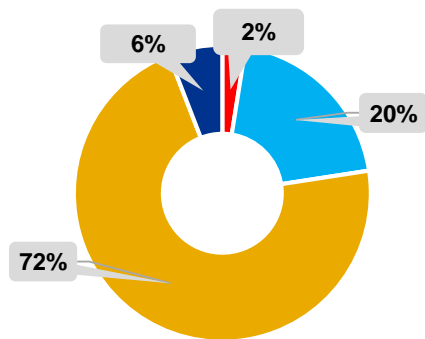
Operating Unit	PO's raised in 2020
Water and Wastewater Services	\$11,765,392
Public Works Levy	\$9,071,350
Net Revenue Budget	\$6,245,230
Community Services	\$5,845,769
Corporate Services	\$2,878,885

Water & Wastewater Services and Public Works Levy have been the highest spending operating units based on PO's raised over the last four years, with amounts totaling roughly \$80m and \$45m respectively. Spending has also been consistently high within Corporate Services and Community Services.

Appendix C – Data Analytics on Non-Competitive Procurement

Non Competitive transaction types

Non-competitive Transaction Type



“Single Source” was the most frequent transaction type over the four year period, making up 72% of all the transactions. 20% of all transactions were “schedule A” transactions and 6% “special circumstances”. “Negotiation” was the least frequent transaction type, only making up 2% of the entire population.

■ Negotiation ■ Schedule A ■ Single Source ■ Special Circumstance

Operating Unit (top 4 by \$)	Transactions	% Single S.	% Schedule A	% Special C.	% Negotiation
Water and Wastewater Services	638	77	12	9	2
Public Works Levy	359	64	20	6	10
Corporate Services	237	89	8	2	1
Community Services	304	81	5	14	0

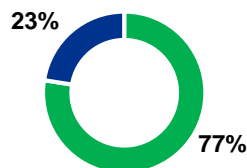
Corporate Services had the highest % of Single Source transactions at 89%. Overall, the top four operating units by spend followed a similar % split of transaction type as the total population. Some minor outliers were Public Works Levy (10% negotiation compared with the total population split of 2%) and Community Services (5% Schedule A compared with population split of 20%).

Appendix C – Data Analytics on Non-Competitive Procurement

Analytics on the following three slides highlight instances of multiple PO changes, PO's raised close to authorization limits and PO's raised on the same day by the same department and supplier. Note that this information has been included for information purposes to show the types of analytics available to Procurement. We have not confirmed whether these purchases are appropriate or not, and acknowledge that they may be fully justified.

Non –Competitive transactions with PO changes

Non-competitive Transactions
with PO Change



■ No change ■ One or more change

77% of transactions in the four year period did not have any changes from the initial purchase amount. The remaining 23% had one or more change, with changes ranging between 2 and 8 over the period.

Operating Unit	Type	PO Changes	PO Total*
Public Works	Single Source	8	\$513,617
Public Works	Single Source	6	\$598,950
Community Services	Single Source	5	\$304,580
Corporate Services	Single Source	5	\$101,923
Community Services	Single Source	4	\$213,500
Emergency Services	Single Source	4	\$51,000
Water & Wastewater Services	Single Source	4	\$75,000

A transaction within Public Works Levy had the highest number of PO changes at 8 changes. The top 7 PO changes were all single source transactions. As part of on-going monitoring of procurement transactions, the Region should ensure those with multiple PO changes are monitored to ensure appropriate justification has been provided. **(See Recommendation Six)**

Appendix C – Data Analytics on Non-Competitive Procurement

Multiple PO's raised on the same date for the same supplier and operating unit

The table below shows instances where multiple purchase orders had been raised on the same day by the same operating unit for the same supplier. The table shows all instances of five or more PO's raised on the same day.

Operating Unit	Type	Date	PO's raised	PO Total	Supplier
Economic Incentives	Schedule A	7/03/2017	11	\$654,485*	City of St Catharines
Community Services	Single Source	3/20/2017	7	\$208,346*	Arjohuntleigh Canada Inc.
Water and Wastewater Services	Schedule A	7/20/2018	7	\$629,203*	City of Welland
Waste Management	Single Source	6/24/2020	6	\$92,383	Source Warehousing
Community Services	Single Source	2/21/2018	6	\$257,563	J. Oulton & Associates
Community Services	Single Source	1/10/2019	6	\$500,606*	Gordon Food Service
Water and Wastewater Services	Single Source	12/7/2017	5	\$492,157*	City of Niagara Falls
Water and Wastewater Services	Schedule A	8/29/2019	5	\$454,200*	City of Welland
Water and Wastewater Services	Single Source	1/11/2017	5	\$390,000*	City of Welland

While there may be appropriate reasoning for the above cases, having multiple purchase orders raised on the same day for the same supplier and operating unit may give an indication of purchase splitting. Those marked as * were noted as having rounded PO amounts, such as \$100,000 or \$9,000. The Region may wish to investigate these further. In addition, as part of on-going monitoring of procurement transactions, the Region should ensure that a similar review of multiple purchase orders raised on the same day is undertaken. **(See Recommendation Six)**

In addition to the above, we also noted six instances where four PO's had been raised on the same date (by the same operating unit and for the same supplier), 27 instances where three PO's had been raised on the same day and 107 cases where two PO's had been raised on the same day.

Appendix C – Data Analytics on Non-Competitive Procurement

PO's raised close to authorization limits

As part of our testing, we also reviewed PO's with amounts slightly below the approval limits as per the Procurement By-law. The table below shows all instances where values were within \$1,000 of an approval limit (\$25,000, \$100,000, \$250,000 and \$1m) and were numbers which were rounded (e.g. \$100,000, \$9,500 or \$18,250)

Operating Unit	PO ID	Amount
Capital Financing Costs	42874	\$24,500
Community Services	36953	\$24,500
Corporate Services	52155	\$24,500
Emergency Services	41662	\$24,900
Water and Wastewater Services	30561	\$24,925
Water and Wastewater Services	75924	\$24,600
Water and Wastewater Services	76273	\$24,700
Water and Wastewater Services	65208	\$24,500
Water and Wastewater Services	76143	\$24,750
Water and Wastewater Services	29902	\$24,900
Water and Wastewater Services	79657	\$24,500
Planning and Development	79188	\$99,000
Water and Wastewater Services	65606	\$99,200
Community Services	73756	\$99,000

While there may be appropriate reasoning for these cases, amounts close to approval limits may suggest PO's have been split to avoid going to the next approval limit. The Region may wish to investigate these further. In addition, as part of on-going monitoring of procurement transactions, the Region should ensure that a similar review of amounts close to authorization limits is undertaken.

(See Recommendation Six)

Appendix D – Staff involvement and documentation reviewed

Staff involvement

We undertook interviews and email communication in November 2020 to inform this work, including:

- Bart Menage, Director of Procurement & Strategic Acquisitions, Corporate Services
- Helen Chamberlain, Director of Financial Management and Planning
- Erin Amirault, Associate Director, Finance Operations and Systems, Corporate Services
- Frank Marcella, Manager, Internal Audit
- Tim Richards, Senior ERP Business Analyst
- Nora Charette, Manager ERP Business Support
- Support Staff (purchase requesters and managers) across departments

Documentation reviewed

We received the following documentation over the course of our fieldwork:

- Procurement By-Laws (Bill 02-2016)
- Detailed procurement transactional data file (Jan 2017 to Oct 2020)
- PeopleSoft system: Purchase requisitions, purchase orders, associated invoices, council approvals, contracts
- PeopleSoft Financials requisition review guide
- Completed Internal Audit reports on Procurement (2018)
- Workflow Approval Process Matrix (2019-07-08)



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Subject: Supplemental Information Report to the KPMG final audit report on Non-Competitive Procurement Audit (AC-C 11-2020)

Report to: Audit Committee

Report date: Monday, December 7, 2020

Recommendations

1. That this supplemental information report to the KPMG final audit report on Non-Competitive Procurement Audit (AC-C 11-2020) **BE RECEIVED** for information.

Key Facts

- Niagara Region hired KPMG to audit staff's correct use of electronic systems and processes when sourcing contracts.
- The KPMG report identified several areas in need of improvement when documenting and selecting the appropriate requisition type based on the type of purchase. The audit found staff incorrectly documented or mislabelled procurements in 163 instances.
- To ensure compliance moving forward, the Region has developed tools, training sessions, enhanced reporting and will perform subsequent audits to track improvement and ongoing compliance.

Financial Considerations

At the January 2020 Audit Committee, staff were directed to retain the services of an external firm to undertake an audit of all non-competitive procurements.

KPMG completed the audit within the prescribed timeframe at their bid price of \$19,250.00. Staff are confident that there will be no financial impact associated with the implementation of the management action plans, which address the recommendations contained within their report.

Analysis

The purpose of the audit was to provide assurance to Management and Niagara Region's Audit Committee on the effectiveness of the management control framework to support non-competitive procurement activities. The audit tested purchasing activities

to evaluate the current controls and processes related to non-competitive transactions as prescribed in the Procurement By-law. Finally, the audit attempted to determine the effectiveness of current procedures to ensure consistency, compliance, fairness and transparency throughout the corporation.

Supplemental Management Response

In accordance with the Procurement By-law (By-law), Niagara Region continually strives to obtain the best value for the Corporation when procuring goods and services. The By-law prescribes a variety of acquisition methods and staff endeavour to utilize the most appropriate method based on the particular circumstances related to the acquisition. KPMG reviewed the variety of non-competitive procurement options identified in the By-law to determine if an appropriate justification was provided which justified undertaking a non-competitive procurement process.

As defined in the By-law, non-competitive processes include:

- Schedule A: The methods of procurement set out in the By-law shall not apply to purchase of specific goods and services;
- Sole Source: There is only one source of the goods and/or services that meets the requirement of the Corporation;
- Single Source: A non-competitive procurement process to acquire goods and/or services from a specific supplier even though there may be more than one supplier capable of delivering those goods and/or services; and
- Special Circumstances: Where an event that is exceptional or could not be foreseen and is likely to pose a threat to the health, safety or welfare of the public (e.g. COVID-19).

KPMG reviewed 245 non-competitive procurements and concluded that 163 had inadequate documentation within PeopleSoft (PS) ERP which is the Region's financial management and procurement system to justify a non-competitive process.

Following completion of KPMG's testing, Procurement worked with program staff to gather additional information related to the 163 PO (Purchasing Order) cases identified in recommendation 2 of the KPMG report.

The following table provides further explanation of these 163 PO cases of which:

- 30 represent clerical errors in the selection of the PO type or where no justification within PS is required;
- 126 had justification residing outside of PS; and
- 7 have yet to be verified by staff at the time of authoring the report.

These 7 cases, which are still to be verified total \$124,500 or 1 per cent of the total dollars associated with the 163 cases.

Dollars	% of total	# of Procurements	legend	Explanation
\$ 1,749,704	8%	14	A	Schedule A – no documentation required
\$ 2,504,389	11%	3	B	Coding error, competitive process did take place either formal or informal
\$ 1,748,886	8%	13	C	Should have been Schedule A, coding error
\$ 397,000	2%	20	D	Special Circumstance
\$ 3,503,224	16%	36	E	Sole Source (only one source for good or service)
\$ 4,570,898	21%	11	F	Sole source with a contract and council approval
\$ 6,807,496	31%	51	G	Single Source with Council approval
\$ 382,614	2%	8	H	Single Source with staff approval
\$ 124,500	1%	7	I	Non-competitive process under review
\$ 21,788,711	100%	163		

With reference to the table above:

- 14 cases where Schedule A was coded, these transactions require a by-law reference only, as per the Procurement By-law. Examples of these types of purchases include memberships, utility costs, legal fees and CN railway costs.
- 3 cases were coding errors and should have been coded resolved as per a competitive procurement process; Specifically, this case dealt with the winter maintenance contract and extension. A reminder that only informal quotes are required for procurements valued at between \$10,000 and \$25,000 for goods or services.
- 13 cases should have been coded as Schedule A; therefore, transactions would have required a reference only to the Procurement By-law. The incorrect selection was simply an administrative error. Again, examples of these types of purchases include memberships, utility costs, and legal fees.
- 20 cases of Covid-19-related POs. Due to the expediency, these purchase orders should have been coded as Special Circumstance but were coded incorrectly.

Special Circumstance would have required a different level of documentation and justification. In this case, examples related to COVID-related screeners for long-term care (LTC) homes and in instances related to emergency water-wastewater repairs.

- E. 36 cases of Sole Source transaction. While the By-law does include separate definitions for Single and Sole Source, currently, PeopleSoft does not distinguish between them in terms of requisition type; (treated as single source). KPMG, in their report, recommends this distinction be considered for the future. The By-law defines Sole Source as instances where only one supplier is able to provide a good and/or service. Examples of the types of transactions identified were lease payments, purchase of cardboard for recycling, vendor maintenance agreement and a cooperative procurement with St. Catharines Transit.
- F. 11 cases of Sole source with a contract and council approval.
- G. 51 cases of Single Source with Council Contract. As stated above, the By-law does distinguish between single and sole source, in many cases a sole source contract was approved by Council. Examples included specialized chemical purchases, an ambulance purchase, sludge removal with N-VIRO, emergency property repair for water wastewater, and source warehousing waste management.
- H. 8 case of Single Source with staff approval: Specifically, some occurrences were related to food supply in LTC homes wherein the original transaction was below \$10,000 but the scope expanded, therefore staff increased the dollar amount for service. Another example was in Homelessness Services, where services were acquired to meet immediate need (Housing Help Centre for Hamilton-Wentworth)
- I. 7 cases of Non-competitive process are in the process of being reviewed.

As a matter of practice, staff are required at the time of requisitioning goods and/or services, to justify the selection of a non-competitive route (option) although no formal template exists that would track such justification. While there are fields within the requisition document to provide justification however as noted by KPMG there is an opportunity to improve the documentation of justifications for these transactions. The Region is in the process of strengthening these protocols via training to ensure staff provide sufficient information and are consistent in following procedure.

Management accepts and acknowledges the KPMG recommendations for areas to improve and as noted in the management responses, Niagara Region has already actively initiated solutions (some of which have been implemented: Procurement Navigator), which will improve our practices via training, communication, system enhancements, reporting and auditing,

Alternatives Reviewed

No other alternatives were reviewed or considered.

Relationship to Council Strategic Priorities

Value-for-money (VFM) audits were identified and approved as the previous term of Council's Strategic Priority – Advancing Organizational Excellence. The goal of this Strategic Priority was to “Build a strong internal foundation for Niagara Region to enable a more prosperous Niagara.”

Other Pertinent Reports

- AC-C 3-2020 – Non-Competitive Procurement Audit
- AC-C 2-2020 – Procurement Audit Final Report
- AC-C 11-2020 - Final Report on Non-Competitive Procurement Audit

Prepared by:

Bart Menage, CSCMP, CRM, C.P.M
Director, Procurement & Strategic
Acquisitions

Recommended by:

Todd, Harrison, CPA, CMA
Commissioner, Corporate Services/
Treasurer

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

MEMORANDUM

AC-C 9-2020

Subject: CIR Response to NPCA 2019 Financial Statements
Date: December 7, 2020
To: Audit Committee
From: Helen Chamberlain, Director, Financial Management & Planning/Deputy Treasurer, Corporate Services

At the September 21, 2020 meeting of the Audit Committee the following request was made:

Provide information respecting the reported variance in the Niagara Peninsula Conservation Authority (NPCA) 2019 Financial Statements (Correspondence Item AC-C 8-2020) in comparison to 2018. Councillor Redekop.

To that end the NPCA staff have provided Appendix 1 which was presented to the NPCA Board on May 21, 2020. The link to the complete package presented to the Board is provided below with pages 199-244 specifically referencing the audited financial statements, audit findings and variance analysis.

[https://npca.ca/images/uploads/board_files/Full_Authority_Agenda - May 21%2C 2020.pdf](https://npca.ca/images/uploads/board_files/Full_Authority_Agenda_-_May_21%2C_2020.pdf)

Respectfully submitted and signed by

Helen Chamberlain, CPA, CA
Director, Financial Management & Planning
Corporate Services

Appendix 1- Niagara Peninsula Conservation Authority December 31, 2019 Variance Explanations

NIAGARA PENINSULA CONSERVATION AUTHORITY

Statement of Operations

Year ended December 31, 2019, with comparative information for 2018

Appendix 3 - Report No. FA-24-20

	2019 Budget	2019 Actual	2018 Actual	Actual Variance	Comments
Revenues:					
Government transfers					
Province of Ontario – MNRF	\$ 174,496	\$ 90,083	\$ 174,496	-\$ 84,413	Reduction in MNRF funding for 2019 (48.37%)
Province of Ontario – Other	302,500	223,482	267,038	- 43,556	Niagara River RAP funding for 2019 - \$0 in Q1
Government of Canada	100,000	100,000	132,705	- 32,705	Niagara River RAP funding 2019 / 2018 incl deferred revenue from 2017
Municipal levies					
General	6,416,084	6,416,084	6,246,119	169,965	Regular levy Increase of 2.72% over 2018
Special	2,252,166	635,001	2,252,166	- 1,617,165	Niagara Region - \$1.1M from capital/\$500K land acquisition reserve
Authority generated					
User fees, sales and admissions	1,892,600	2,148,195	1,936,971	211,224	Improved operating performance in 2019 at campgrounds, and Festival
Administration fees	314,850	401,000	417,690	- 16,690	Variance not material (4%), and performance exceeds budget
Interest	60,000	214,063	155,013	59,050	Interest on bank balances + investments
Other	235,200	445,261	701,053	- 255,792	2018 - land donation (\$145K) + hazard tree removal (\$135K)
OPG - Welland river watershed		195,432		195,432	Recognition of deferred revenue from \$1.262M for approved projects
	11,747,896	10,868,601	12,283,251	- 1,414,650	
Expenses:					
CAO and Administration	2,002,676	3,068,776	2,019,335	- 1,049,441	Legal fees and settlements (incl all Board approved decisions)
Watershed	5,257,856	1,868,308	1,557,677	- 310,631	Corporate realignment - Restoration moved to Corp Resources
Corporate Resources	2,077,585	7,121,476	5,629,051	- 1,492,425	\$1.284M levy differential payout / corp realignment (Restoration)
	9,338,117	12,058,560	9,206,063	- 2,852,497	
Annual (deficit) surplus	2,409,779	- 1,189,959	3,077,188		
Accumulated surplus, beginning of year	27,542,991	27,542,991	24,465,803		
Accumulated surplus, end of year	\$ 28,335,605	\$ 26,353,032	\$ 27,542,991		

Subject: Management Action Plan Update

Report to: Audit Committee

Report date: Monday, December 7, 2020

Recommendations

1. That report AC-C 12-2020 regarding the current status of audit recommendations **BE RECEIVED.**

Key Facts

- The purpose of this report is to provide Audit Committee with a status update on management responses to audit recommendations since 2016 that are not fully implemented.
- This report will cover all audits completed and issued up to the previous Audit Committee meeting, September 21, 2020 and Corporate Services Committee meeting, June 17, 2020 that may have some action plans in progress.
- Management Action Plan (MAP) status updates are considered a best practice by the Institute of Internal Auditors (IIA) to ensure Audit Committee is aware of any outstanding risk areas within the corporation.
- A total of 15 outstanding high and medium risk audit recommendations and related management responses are detailed in this audit report.

Financial Considerations

There are no immediate budgetary considerations associated with this report. The audit recommendations and subsequent Management Action Plans (MAPs) had budgetary implications associated with their implementation and which are accommodated within current operating budgets.

Analysis

Many of the program areas have continued the implementation of management action plans as noted in the attached summary. Since the last report three management action plans have been completed and additionally, an update to the Burgoyne Bridge

Audit action plan has been provided. A more detailed and updated summary is attached to this report.

Alternatives Reviewed

No other alternatives were reviewed at this time.

Relationship to Council Strategic Priorities

Internal Audit along with related audit functions such as Value-for-money (VFM) audits and compliance reviews were identified and approved within the current Council's Strategic Priority – Sustainable and Engaging Government. The goal of this strategic initiative is a commitment to high quality, efficient, fiscally sustainable and coordinated core services through enhanced communication, partnerships and collaborations with the community.

Management Action Plan status updates satisfy IIA Performance Standard 2500 – Monitoring Progress. “The Chief Audit Executive must establish a follow-up process to monitor and ensure that management actions have been effectively implemented.”

Other Pertinent Reports

AC-C 5-2020 – Management Action Plan Follow-up Report

Prepared by:

Frank Marcella, MPA, BEd
Manager,
Internal Audit

Recommended by:

Todd Harrison, CPA, CMA
Commissioner, Corporate Services/
Treasurer

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

Appendices: Appendix 1 – AC-C 12-2020 Management Action Plan Update

Observation Status for Management Action Plan as of November 2020

Report Title	Report Issue Date	High & Medium Observations	Closed	In Progress	Past Due	On Hold	Deadline	Follow-up Action Plan
Burgoyne Bridge Performance Assessment	Feb-16	8	6		2		Mar-21	The two past due observations pertain to project cost estimating and document management. The projects have scope has changed and thus the overall deadline has also changed from the original MAP report. Asset Management Office (AMO) has developed a work plan for cost estimating model based on three phases. The first phase is to develop a cost estimating process, which has already started.
VFM - Snow Plowing, Road Maintenance and Landscaping Services	Jun-16	13	13				n/a	Targeted follow-ups may be planned focussing on performance measures, contract management and expenditure management.
Fleet, Equipment Management & Replacement Process	Jan-17	4	4				Dec-20	Internal Audit should conduct a follow-up on Fleet Management in 2022.
Fleet Parts Inventory & Fuel Audit	Nov-17	2	1			1	n/a	The observation on hold pertains to research the cost and benefit associated with installation of automatic fuel pumps. The research is dependent on Council's direction on Niagara Region's role in Material Recycling Facilities (MRF)
P-Card Audit	Oct-17	10	10				n/a	Follow-up audit planned for 2021
Information Technology Security and Data Backup Controls Audit	Apr-18	16	15	1			Apr-20	The three observations in process pertain to security assessments, remote sites of infrastructure devices and investigation of CMDB tool. Internal Audit is currently scoping out plans to conduct audits next year focussing on cyber security, access and control measures and penetration testing.

Grants and Incentive Program	Jun-18	4		4			Dec-20	The four observations in process pertain to program rationalization, standardization of operating procedures, establishment of performance measures and improvement of administrative efficiency in regional grants program
Payroll Audit: Phase 1 - Timekeeping Process	Aug-18	2	2	0			Dec-20	Follow-up audit planned for 2022
Procurement Audit	Jan-20	4		4			Dec-20	All the recommendations are in the process of implementation
Non-competitive Procurement Audit	Jan-20	3		3			Jul-20	All the recommendations are in the process of implementation
Health Benefits Claims Audit	Mar-20	3		3			Dec-21	
		69	51	15	2	1		

Minute Item No. 5.1

PW 53-2020

Niagara Specialized Transit Service Agreement Amendment 2021

That Report PW 53-2020, dated December 8, 2020, respecting Niagara Specialized Transit Service Agreement Amendment 2021, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That the Chief Administrative Officer **BE AUTHORIZED** to execute the Niagara Specialized Transit (NST) Service Delivery Amending Agreement 2021 between The Regional Municipality of Niagara and The BTS Network Inc., such that the agreement meets the approval of the Director of Niagara Region Legal and Court Services; and
2. That the Chief Administrative Officer also **BE AUTHORIZED** to execute any necessary extensions such that those extensions support a potential transition to a single transit entity resulting from the ongoing Niagara Transit Governance Study.

Minute Item No. 5.2

PW 52-2020

Niagara Region Transit Service Agreement Renewal

That Report PW 52-2020, dated December 8, 2020, respecting Niagara Region Transit Service Agreement Renewal, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That Regional Council **APPROVE** the renewal of the Niagara Region Transit (NRT) 2018 Service Agreement using the terms and conditions contemplated in the original agreement, subject to the approval of the City of Niagara Falls, the City of Welland, and the St. Catharines Transit Commission; and
2. That the Regional Chair and the Regional Clerk **BE AUTHORIZED** to execute a renewal of the 2018 NRT Service Agreement between Niagara Region, the City of Niagara Falls, the City of Welland, and the St. Catharines Transit Commission (service providers), upon terms satisfactory to the Commissioner of Public Works, the Commissioner of Corporate Services/Treasurer, and the Director of Legal & Court Services.

Minute Item No. 5.3

PW 44-2020

Award of Contract 2020-T-116 Port Dalhousie Wastewater Treatment Plant (WWTP) Upgrades Contract 1

That Report PW 44-2020, dated December 8, 2020, respecting Award of Contract 2020-T-116 Port Dalhousie Wastewater Treatment Plant (WWTP) Upgrades Contract 1, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That Contract 2020-T-116 Port Dalhousie WWTP Upgrades Contract 1 in the City of St Catharines **BE AWARDED** to Maple Reinders Constructors Ltd., at their bid price of \$36,836,870 (including 13% HST); and
2. That the current approved contract amount of \$1,153,785.37 (including 13% HST) awarded to Hatch Corp. **BE INCREASED** by \$1,568,511.19 (including 13% HST), for a total revised contract of \$2,722,296.56 (including 13% HST) for Port Dalhousie WWTP Upgrades for the provision of contract administration and inspection services for Port Dalhousie WWTP Upgrades Contract 1.

Minute Item No. 5.4

PW 51-2020

Amendment to Purchase Order for Tender 2019-T-157 Regional Road 38 (Martindale Road)

That Report PW 51-2020, dated December 8, 2020, respecting Amendment to Purchase Order for Tender 2019-T-157 Regional Road 38 (Martindale Road), **BE RECEIVED** and the following recommendation **BE APPROVED**:

1. That the original contract amount of \$10,366,851.65 (including 13% HST) awarded to Rankin Construction Inc., **BE INCREASED** by \$1,300,000.00 (including 13% HST), for a total revised contract of \$11,666,851.65 (including 13% HST) for the reconstruction of Regional Road 38 (Martindale Road) from Fourth Avenue to Barton Street, in the City of St. Catharines.

Minute Item No. 5.5

PWC-C 50-2020

Recommendations for Consideration from the Linking Niagara Transit Committee meeting held November 25, 2020

That Correspondence Item PWC-C 50-2020, being a memorandum from A.-M. Norio, Regional Clerk, dated December 8, 2020, respecting Recommendations for Consideration from the Linking Niagara Transit Committee meeting held November 25, 2020, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That Correspondence Item LNTC-C 6-2020, being a memorandum from S. Fraser, Transportation Lead, GO Implementation Office, dated November 25, 2020, respecting Councillor Information Request: Niagara Transit Governance Study – Local Area Municipality Engagement, **BE RECEIVED** and **BE CIRCULATED** to the Local Area Municipalities; and
2. That staff **BE DIRECTED** to reach out to the local area municipalities to arrange to present to their Council when the Niagara Transit Governance Study is being considered.
3. That the Linking Niagara Transit Committee **BE DIRECTED** to review alternative funding options.

Minute Item No. 6.1

PWC-C 47-2020

COVID-19 Response and Business Continuity in Public Works

That Correspondence Item PWC-C 47-2020, being a memorandum from B. Zvaniga, Interim Commissioner, Public Works, dated December 8, 2020, respecting COVID-19 Response and Business Continuity in Public Works, **BE RECEIVED** for information.

Minute Item No. 6.2

PW 50-2020

Annual Water and Wastewater Quality Management System Update

That Report PW 50-2020, dated December 8, 2020, Annual Water and Wastewater Quality Management System Update, **BE RECEIVED** for information.

Minute Item No. 6.0
Consent Items for Information

That the following items **BE RECEIVED** for information:

PWC-C 46-2020

Short Form Offences and Set Fine Schedule

PWC-C 48-2020

Update on Waste Management Contract Implementation

PWC-C 49-2020

Response to Councillor Information Request re 2020-T-116 Port Dalhousie Wastewater Treatment Plant Upgrades

**THE REGIONAL MUNICIPALITY OF NIAGARA
PUBLIC WORKS COMMITTEE
MINUTES**

**PWC 11-2020
Tuesday, December 8, 2020
Council Chamber / Video Conference
Niagara Region Headquarters, Campbell West
1815 Sir Isaac Brock Way, Thorold, ON**

Committee Members Present in the Council Chamber: Rigby (Committee Chair)

Committee Members Present via Video Conference: Bradley (Regional Chair), Chiocchio, Diodati, Disero, Edgar (Committee Vice-Chair), Foster, Gale, Heit, Insinna, Ip, Junkin, Nicholson, Sendzik, Steele, Ugulini, Witteveen, Zalepa

Absent/Regrets: Fertich

Staff Present in the Council Chamber: T. Cimino, Associate Director, Water & Wastewater Engineering, E. Fabiani, Technology Support Analyst, A.-M. Norio, Regional Clerk, J. Tonellato, Director, Water & Wastewater Services, R. Tripp, Acting Chief Administrative Officer, B. Zvaniga, Interim Commissioner, Public Works

Staff Present via Video Conference: J. Brunet, Associate Director, Water Operations Maintenance, M. Evely, Legislative Coordinator, D. Gibbs, Director, Legal & Court Services, C. Habermebl, Director, Waste Management Services, T. Harrison, Commissioner/Treasurer, Corporate Services, D. Johnson, Associate Director, Water & Wastewater Operations Management & Laboratory services, B. Menage, Director, Procurement and Strategic Acquisitions, M. Robinson, Director, GO Implementation Office, C. Ryall, Director, Transportation Services, R. Salewysch, Transit Services Program Manager, M. Trennum, Deputy Regional Clerk, R. Whyte, Water & Wastewater Quality Management Specialist

1. CALL TO ORDER

Committee Chair Rigby called the meeting to order at 9:30 a.m.

2. DISCLOSURES OF PECUNIARY INTEREST

There were no disclosures of pecuniary interest.

3. **PRESENTATIONS**

There were no presentations.

4. **DELEGATIONS**

Moved by Councillor Gale

Seconded by Councillor Nicholson

That Omar Hammoud and Ed Pikovnik, APG Neuros, **BE PERMITTED** to appear before Committee to delegate respecting Correspondence Item PWC-C 49-2020 - Response to Councillor Information Request re 2020-T-116 Port Dalhousie Wastewater Treatment Plant Upgrades (Agenda Item 6.5).

Recorded Vote:

Yes (4): Chiocchio, Diodati, Gale, Nicholson.

No (13): Disero, Edgar, Foster, Heit, Insinna, Ip, Junkin, Rigby, Sendzik, Steele, Ugulini, Witteveen, Zalepa.

Defeated

5. **ITEMS FOR CONSIDERATION**

5.1 **PW 53-2020**

Niagara Specialized Transit Service Agreement Amendment 2021

Matt Robinson, Director, GO Implementation Office, provided information respecting Niagara Specialized Transit. Topics of the presentation included:

- Niagara Specialized Transit (NST)
- Service Levels - Statistics
- NST Timeline: 2006 - 2020
- Creating Social & Transit Equity
- Achieving Strategic Alignment

Moved by Councillor Insinna
Seconded by Councillor Nicholson

That Report PW 53-2020, dated December 8, 2020, respecting Niagara Specialized Transit Service Agreement Amendment 2021, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That the Chief Administrative Officer **BE AUTHORIZED** to execute the Niagara Specialized Transit (NST) Service Delivery Amending Agreement 2021 between The Regional Municipality of Niagara and The BTS Network Inc., such that the agreement meets the approval of the Director of Niagara Region Legal and Court Services; and
2. That the Chief Administrative Officer also **BE AUTHORIZED** to execute any necessary extensions such that those extensions support a potential transition to a single transit entity resulting from the ongoing Niagara Transit Governance Study.

Carried

5.2 PW 52-2020

Niagara Region Transit Service Agreement Renewal

Moved by Councillor Chiocchio
Seconded by Councillor Diodati

That Report PW 52-2020, dated December 8, 2020, respecting Niagara Region Transit Service Agreement Renewal, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That Regional Council **APPROVE** the renewal of the Niagara Region Transit (NRT) 2018 Service Agreement using the terms and conditions contemplated in the original agreement, subject to the approval of the City of Niagara Falls, the City of Welland, and the St. Catharines Transit Commission; and
2. That the Regional Chair and the Regional Clerk **BE AUTHORIZED** to execute a renewal of the 2018 NRT Service Agreement between Niagara Region, the City of Niagara Falls, the City of Welland, and the St. Catharines Transit Commission (service providers), upon terms satisfactory to the Commissioner of Public Works, the Commissioner of Corporate Services/Treasurer, and the Director of Legal & Court Services.

Carried

5.3 PW 44-2020

Award of Contract 2020-T-116 Port Dalhousie Wastewater Treatment Plant (WWTP) Upgrades Contract 1

Moved by Councillor Edgar
Seconded by Councillor Foster

That Report PW 44-2020, dated December 8, 2020, respecting Award of Contract 2020-T-116 Port Dalhousie Wastewater Treatment Plant (WWTP) Upgrades Contract 1, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That Contract 2020-T-116 Port Dalhousie WWTP Upgrades Contract 1 in the City of St Catharines **BE AWARDED** to Maple Reinders Constructors Ltd., at their bid price of \$36,836,870 (including 13% HST); and
2. That the current approved contract amount of \$1,153,785.37 (including 13% HST) awarded to Hatch Corp. **BE INCREASED** by \$1,568,511.19 (including 13% HST), for a total revised contract of \$2,722,296.56 (including 13% HST) for Port Dalhousie WWTP Upgrades for the provision of contract administration and inspection services for Port Dalhousie WWTP Upgrades Contract 1.

Recorded Vote:

Yes (13): Disero, Edgar, Foster, Heit, Insinna, Ip, Junkin, Rigby, Sendzik, Steele, Ugulini, Witteveen, Zalepa.

No (4): Chiocchio, Diodati, Gale, Nicholson.

Carried

5.4 PW 51-2020

Amendment to Purchase Order for Tender 2019-T-157 Regional Road 38 (Martindale Road)

Moved by Councillor Heit
Seconded by Councillor Sendzik

That Report PW 51-2020, dated December 8, 2020, respecting Amendment to Purchase Order for Tender 2019-T-157 Regional Road 38 (Martindale Road), **BE RECEIVED** and the following recommendation **BE APPROVED**:

1. That the original contract amount of \$10,366,851.65 (including 13% HST) awarded to Rankin Construction Inc., **BE INCREASED** by \$1,300,000.00 (including 13% HST), for a total revised contract of \$11,666,851.65 (including 13% HST) for the reconstruction of Regional Road 38 (Martindale Road) from Fourth Avenue to Barton Street, in the City of St. Catharines.

Carried

5.5 PWC-C 50-2020

Recommendations for Consideration from the Linking Niagara Transit Committee meeting held November 23, 2020

Moved by Councillor Insinna
Seconded by Councillor Steele

That Correspondence Item PWC-C 50-2020, being a memorandum from A.-M. Norio, Regional Clerk, dated December 8, 2020, respecting Recommendations for Consideration from the Linking Niagara Transit Committee meeting held November 25, 2020, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That Correspondence Item LNTC-C 6-2020, being a memorandum from S. Fraser, Transportation Lead, GO Implementation Office, dated November 25, 2020, respecting Councillor Information Request: Niagara Transit Governance Study – Local Area Municipality Engagement, **BE RECEIVED** and **BE CIRCULATED** to the Local Area Municipalities; and
2. That staff **BE DIRECTED** to reach out to the local area municipalities to arrange to present to their Council when the Niagara Transit Governance Study is being considered.

Moved by Councillor Zalepa
Seconded by Councillor Foster

That the motion **BE AMENDED** to add the following:

- 3. That the Linking Niagara Transit Committee BE DIRECTED to review alternative funding options.**

Carried

The Committee Chair called the vote on the motion, as amended, as follows:

That Correspondence Item PWC-C 50-2020, being a memorandum from A.-M. Norio, Regional Clerk, dated December 8, 2020, respecting Recommendations for Consideration from the Linking Niagara Transit Committee meeting held November 25, 2020, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That Correspondence Item LNTC-C 6-2020, being a memorandum from S. Fraser, Transportation Lead, GO Implementation Office, dated November 25, 2020, respecting Councillor Information Request: Niagara Transit Governance Study – Local Area Municipality Engagement, **BE RECEIVED** and **BE CIRCULATED** to the Local Area Municipalities; and
2. That staff **BE DIRECTED** to reach out to the local area municipalities to arrange to present to their Council when the Niagara Transit Governance Study is being considered.
3. That the Linking Niagara Transit Committee **BE DIRECTED** to review alternative funding options.

Carried

6. CONSENT ITEMS FOR INFORMATION

6.1 PWC-C 47-2020

COVID-19 Response and Business Continuity in Public Works

Moved by Councillor Ugulini
Seconded by Councillor Witteveen

That Correspondence Item PWC-C 47-2020, being a memorandum from B. Zvaniga, Interim Commissioner, Public Works, dated December 8, 2020, respecting COVID-19 Response and Business Continuity in Public Works, **BE RECEIVED** for information.

Carried

6.2 PW 50-2020

Annual Water and Wastewater Quality Management System Update

Rachel Whyte, Water & Wastewater Quality Management Specialist, provided information respecting Annual Water and Wastewater Quality Management System Update. Topics of the presentation included:

- Water Quality Management System (Water QMS)
 - Activities
 - Internal and External Audit
 - Water Systems Risk Assessment
 - Management Review
 - Changes Impacting Water QMS/Operational Plan
- Wastewater Quality Management System (Wastewater QMS)
 - Internal Audit
 - Wastewater Systems Risk Assessment
 - Management Review
 - Changes Impacting Wastewater QMS/Operational Plan

Moved by Councillor Edgar
Seconded by Councillor Heit

That Report PW 50-2020, dated December 8, 2020, Annual Water and Wastewater Quality Management System Update, **BE RECEIVED** for information.

Carried

6. **CONSENT ITEMS FOR INFORMATION**

Moved by Councillor Steele
Seconded by Councillor Zalepa

That the following items **BE RECEIVED** for information:

PWC-C 46-2020
Short Form Offences and Set Fine Schedule

PWC-C 48-2020
Update on Waste Management Contract Implementation

PWC-C 49-2020
Response to Councillor Information Request re 2020-T-116 Port Dalhousie
Wastewater Treatment Plant Upgrades

Carried

7. OTHER BUSINESS

7.1 Port Dalhousie Wastewater Treatment Plant (WWTP)

Moved by Councillor Gale
Seconded by Councillor Nicholson

That the Public Works Committee Chair in association with the Public Works Committee and the Director of Procurement, **CONDUCT** an investigation into the sole sourcing of the Port Dalhousie wastewater treatment plant (WWTP) blowers.

Recorded Vote:

Yes (4): Diodati, Gale, Junkin, Nicholson.

No (9): Edgar, Foster, Heit, Ip, Rigby, Sendzik, Steele, Witteveen, Zalepa.

Defeated

7.2 Water Samples

Councillor Foster expressed concern with the difficulty that members of the public are experiencing with the water testing process due to the pandemic and expressed the importance of re-instating this program. Committee Chair Rigby advised that as water testing is a Public Health program the matter should be brought to the Public Health and Social Services Committee.

8. NEXT MEETING

The next meeting will be held on Tuesday, January 12, 2021 at 9:30 a.m. in the Council Chamber, Regional Headquarters.

9. ADJOURNMENT

There being no further business, the meeting adjourned at 12:08 p.m.

Councillor Rigby
Committee Chair

Matthew Trennum
Deputy Regional Clerk

Ann-Marie Norio
Regional Clerk

Niagara Specialized Transit Timeline

Public Works Committee
PW 53-2020

December 8, 2020

Robert Salewytsch, Transit Services Program Manager

A background graphic featuring a network of interconnected nodes and lines, resembling a molecular or digital structure. The nodes are represented by circles of varying sizes, and the lines are thin and light gray. The overall color scheme is dark gray with teal accents.

MOVING TRANSIT FORWARD

CONNECTING MORE PEOPLE TO MORE POSSIBILITIES

Niagara Specialized Transit

PW 53-2020



**MOVING
TRANSIT
FORWARD**

CONNECTING MORE PEOPLE TO MORE POSSIBILITIES

135

Niagara  **Region**

Niagara Specialized Transit (NST)

- Hours of Operation – 7:00 a.m. to 10:00 p.m., Monday to Saturday
- Shared-ride, pre-booked subset of Niagara Region's transit services designed to provide inter-municipal transportation options to those riders who may require additional levels of accommodation
- The service was created at a time before conventional transit vehicles were mandated to have accessibility features such as wheelchair ramps/lifts, priority seating, and audio/visual announcement systems

Service Levels – Statistics

Details	2019 Budget	2019 Actual	2018 Actual	Var \$ 2019A vs 2019B FAV/(UNFAV)	Var % 2019A vs 2019B FAV/(UNFAV)	Explanation
# of Trips	31,200	28,680	30,057	(2,520)	(8%)	Renegotiated contract terms
Operator Payments	\$2,212,918	\$1,987,695	\$2,627,753	\$225,223	10%	
Fare Revenue	\$(132,600)	\$(120,670)	\$(151,123)	\$(11,930)	(9%)	
Net Expense	\$2,080,318	\$1,867,024	\$2,476,630	\$213,294	10%	

NST Timeline – 2006 - 2015

2006-2015

- Service Delivered by The Red Cross
 - Fleet owned and maintained by Niagara Region

2015

- Contract awarded to The BTS Network after competitive bid process (RFP)
 - Fleet owned and maintained by Service Provider

NST Timeline - 2017-2018

- Changes in AODA (i.e. fare parity, operating hours = conventional transit) lead to significant ridership growth (PW 51-2017)
- As a direct result, NST operating budget grew substantially year over year to accommodate spike in ridership
- Program still ran over-budget despite increases/program changes
- High Trip Threshold provision from Agreement met – triggering renegotiation (PW 40-2018)
- NST Operational Review + Specialized Transit Study began as part of Niagara Transit Governance Review (LNTC 9-2018)

NST Timeline - 2019

- Amending Agreement Authorized by Council (PW 40-2019)
 - New terms provide greater control and oversight thus resolving the budget crisis
 - Two-year agreement with option to extend four times (1 year per extension)
 - Strategically intended to align contract termination with future (potential) governance transition
- Specialized Transit Study recommends service improvements (PW 39-2019)
 - Remove need for applications
 - Allow same day booking
 - Enable online booking and payment
 - Co-mingling of riders (specialized and conventional)
- NRT OnDemand authorized by Council (PW 60-2019)

NST Timeline - 2020

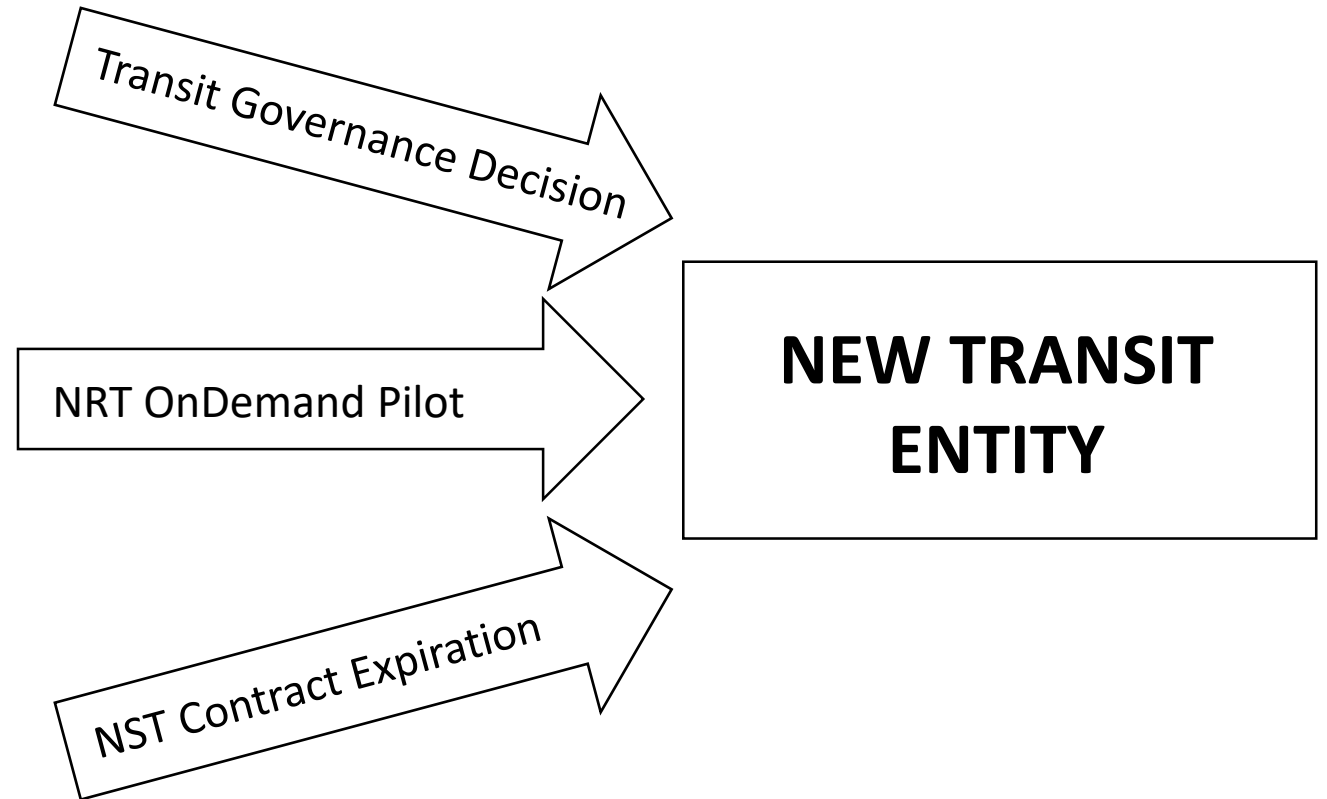
- COVID-19
 - Delays Niagara Transit Governance Study decision to 2021
 - Delays launch of NRT OnDemand from April to August
 - Delays implementation of fare payment technology to 2021
- NRT OnDemand Pilot launches August 17
 - Service includes recommendations from Specialized Transit Study
 - Service expansion into Niagara-on-the-Lake launches November 23

Creating Social & Transit Equity

- NRT OnDemand Pilot testing co-mingling of riders (mobility challenged and conventional users on the same service)
- Accessibility advocates long desire co-mingling to break down social and equity barriers
- Early NRT OnDemand results showing significant positive results
- If successful, would eliminate need for separate specialized division
- Vision is to enable a single service to meet social, financial and rider experience expectations employing a fully accessible fleet, booked and paid for with web-based, customizable profiles, using on-demand, co-mingled service delivery for all rural or underserved areas of Niagara

Achieving Strategic Alignment

Renew NST Amending Agreement per terms previously approved (PW 40-2019 & PW 53-2020) to allow transit governance decision/ transition, NRT OnDemand pilot and NST contract expiry to strategically align



Questions?

Subject: Niagara Specialized Transit Service Agreement Amendment 2021

Report to: Public Works Committee

Report date: Tuesday, December 8, 2020

Recommendations

1. That the Chief Administrative Officer **BE AUTHORIZED** to execute the Niagara Specialized Transit (NST) Service Delivery Amending Agreement 2021 between the Regional Municipality of Niagara and The BTS Network Inc. such that the Agreement meets the approval of the Director of Niagara Region Legal and Court Services.
2. That the Chief Administrative Officer also **BE AUTHORIZED** to execute any necessary extensions such that those extensions support a potential transition to a single transit entity resulting from the ongoing Niagara Transit Governance Study.

Key Facts

- The purpose of this report is to seek Council's approval to renew an extension to the NST Service Delivery Amending Agreement 2019-2020 for the year 2021.
- The 2019-2020 Service Delivery Agreement was compliant with the Region's Procurement By-law and was intended to ensure service continuity while a transit governance decision was sought in Q1/Q2 2020 (PW 4-2019).
- The onset of COVID-19 delayed the governance work with the new decision expected in Q2 2021.
- The 2019-2020 Service Delivery Agreement contained provisions to extend the contract four times for up to 12 months per extension.
- The terms and conditions of the current Agreement are favourable to Niagara Region as they place ceilings on maximum expenditures and permit the service to remain within budget and avoid any minimum spending thresholds.

Financial Considerations

Prior to the 2019-2020 Service Agreement, the NST service had been running over budget by as much as 30%. This was due to the fact that the service provider was paid on a per trip basis combined with the terms and conditions not placing a ceiling on the maximum number of trips that could be delivered in a single year, resulting in annual budget deficits. The original contract did include a trip threshold provision to trigger a

renegotiation. This exposure to the Region under the previous terms provision was triggered in 2018 which lead to an amending agreement to be signed for 2019 and 2020. This amending agreement contained terms and conditions which ensured that NST was delivered within budget and included some operational improvements for the service. Table 1 below illustrates how the terms of the current amending agreement changed the trajectory of this program.

Table 1: 2018-2019 NST Budget to Actual

Details	2019 Budget	2019 Actual	2018 Budget	2018 Actual
# of Trips	31,200	28,680	25,700	30,057
Operator Payments*	\$2,212,918	\$1,987,695	\$2,008,384	\$2,627,753
Fare Revenue	\$(132,600)	\$(120,670)	\$(101,336)	\$(151,123)
Net Expense	\$2,080,318	\$1,867,024	\$1,907,048	\$2,476,630

With COVID-19 reducing ridership significantly in 2020, the service is projecting a net savings of roughly \$750,000 (37%) due to the contract model currently employed. Transit agencies across Ontario are projecting extremely slow growth in the return to typical ridership, thus maintaining this agreement should allow NST to remain within budget for 2021 as well.

Analysis

The NST Service Delivery Amending Agreement 2019-2020 was structured as an amendment to the original Service Delivery Agreement (2015) as a means of simplifying the process, the expectations of both parties, and ensuring compliance with Niagara Region's Procurement By-law as that original Agreement was placed through a competitive bid process.

The Region recently launched NRT OnDemand, a dynamically routed, shared-ride transit pilot program in the western municipalities of Niagara, namely Grimsby, Lincoln, Pelham, Wainfleet and West Lincoln. A number of the features of the current NRT OnDemand service align with the recommendations from the Specialized Transit

Service Review (2018/2019) which is a component of the larger ongoing Transit Governance Study. Some examples of these features are:

- Same day booking
- App/Digital booking
- App/Digital payment
- Elimination of the need for applications
- Co-mingling of specialized passengers and non-specialized passengers

The NRT OnDemand pilot was originally intended to launch in 2019, but staff were directed to re-engage with local municipalities to seek out partnership opportunities to deliver both intra and inter-municipal trips. The pilot was then further delayed from April 2020 to August 2020 due to COVID-19's impact on the vehicle manufacturing industry.

Based on the early, positive trends seen with NRT OnDemand and the co-mingling of specialized and non-specialized riders using the Wheelchair Accessible Vehicle (WAV) shared-ride service, there is a strong potential for alignment between the NRT OnDemand pilot and the existing separate NST system. Accessibility advocates have long called for a transit system which provides social and transit equity – enabling both specialized and non-specialized riders to simultaneously utilize the same system, thereby eliminating social barriers and creating significant improvements to transit mobility and social determinants of health.

If NRT OnDemand remains on its current trajectory for the duration of the pilot, this alignment would likely yield a significant opportunity to leverage future long-term value and service delivery efficiencies rather than providing two distinct, but similar systems. However, the NRT OnDemand pilot has only been operating since August 2020 (three months at the time of writing) which is insufficient time to confirm its successes nor to identify concerns or areas for improvement.

Moreover, the Niagara Transit Governance Study (NTGS) was originally seeking a decision in Q2 of 2020; but due to COVID-19, the new timeline is approximately Q2 2021. With these two issues combined, staff feels that service continuity should be prioritized by renewing with the current provider so as to not potentially need to change service providers multiple times between now and when/if a new transit entity is formed. This would also ensure that when the new combined service does go through a competitive process, that staff is able to adequately articulate the desired parameters of the service. This strategy of not entering into long term agreements during the governance review has been agreed to, recommended and employed by all of the

transit properties that make up the Inter-Municipal Transit Working Group (IMTWG), including things such as labour relations, service contracts, and operating agreements.

Alternatives Reviewed

Only one alternative truly exists for the NST service delivery, and that would be to put out an RFP for the contract in a competitive bidding process. However, this option is fraught with significant challenges as outlined below, and thus not recommended by staff at this time.

Impacts of COVID-19 – The current contract with the service provider only requires payment for delivered trips, and thus is providing Niagara Region some much needed financial flexibility due to a significant drop in ridership since late March. In a scenario where an RFP is required, any potential bidders would almost certainly be seeking a minimum revenue to offset their operating costs, regardless of the amount of service delivered. It is also expected that due to the significant capital upstart costs for a new provider to bring new fleet and technology online, Niagara Region would likely need to front-load funds to a new provider. To offset this, private sector service providers typically seek a 5-10 year agreement in order to maximize asset lifecycle replacement and amortize their costs over a longer period of time. With transit consolidation under consideration, staff are not recommending any long-term agreements that would unnecessarily bind the new transit entity into any financially disadvantageous position.

Integration with NRT OnDemand – As outlined in the Analysis section of this report, the current NRT OnDemand pilot is testing a number of features which came as recommendations from the Specialized Transit Service Review. Ideally, staff would like to let the pilot run its course before attempting to integrate those features into specialized transit. Or as is more likely, integrate the two services together in order to leverage value and service delivery efficiencies rather than providing two distinct, but similar and overlapping systems. This value would be obtained through a competitive bidding process once a timeline is established through the governance work.

Transit Consolidation – When the terms of the current agreement with the service provider were negotiated, it was done so with the NTGS timeframe in mind. Staff was attempting to align the termination of the specialized transit contract with the governance decision. However, staff was mindful to include provisions which would allow that agreement to be extended so that the NST program would not have to undergo multiple changes in service providers prior to the governance decision should it be delayed. With COVID-19 impacting the work of the NTGS, and thus ultimately

delaying the decision from Q2 2020 to a projected Q2 2021, staff feels that renewing with the current provider using the terms set out in the current agreement is the appropriate choice.

In summary, the multi-year vision for the Region's specialized transit is to extend the current status quo NST program for another 12 months; enable the NRT OnDemand pilot to run its full 24 months; transit consolidation occurs in 2021 creating a single transit entity to govern and align all services – all three contracts/decisions intersecting at the same time to create an optimal situation whereby a new transit entity is able to create a combined on-demand and specialized service operating seamlessly either in-house or via a service provider under a multi-year long term contract.

Relationship to Council Strategic Priorities

Provision and extension of NST directly aligns with the Council Strategic Priority: Responsible Growth and Infrastructure Planning (Objective 3.1) through advancing regional transit and GO rail services and facilitating the movement of people and goods.

Other Pertinent Reports

- PW 40-2019 – NST Service Amending Agreement 2019-2020
- PW 39-2019 – NST Operations Review
- PW 23-2019 – NRT and NST 2018 Ridership and Revenue Summary
- LNTC 9-2018 – Niagara Specialized Transit Service Review Terms of Reference
- PW 40-2018 – NST Negotiations and Program Changes
- PW 51-2017 – NST Program Change Options
- CAO 8-2017 – Niagara Region's Transit Service Delivery and Governance Strategy

Prepared by:

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Program Manager – Transit Services
Public Works Department

Recommended by:

Bruce Zvaniga, P.Eng.
Commissioner of Public Works (Interim)
Public Works Department

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

This report was prepared in consultation with Catherine Lam, Program Financial Analyst; Brian McMahon, Program Financial Specialist; and reviewed by Heather Talbot, Financial and Special Projects Consultant, and Matt Robinson, Director, GO Implementation Office.

Appendices

None.

Subject: Niagara Region Transit Service Agreement Renewal

Report to: Public Works Committee

Report date: Tuesday, December 8, 2020

Recommendations

1. That Regional Council **APPROVE** the renewal of the Niagara Region Transit (NRT) 2018 Service Agreement using the terms and conditions contemplated in the original agreement, subject to the approval of the City of Niagara Falls, the City of Welland, and the St. Catharines Transit Commission; and
2. That the Regional Chair and the Regional Clerk **BE AUTHORIZED** to execute a renewal of the 2018 NRT Service Agreement between Niagara Region, the City of Niagara Falls, the City of Welland, and the St. Catharines Transit Commission (Service Providers), upon terms satisfactory to the Commissioner of Public Works, the Commissioner of Corporate Services/Treasurer, and the Director of Legal & Court Services.

Key Facts

- The purpose of this report to seek Council's endorsement to renew the current NRT 2018 Service Agreement to enable continued delivery of NRT service while the transit governance work continues.
- In 2010, Niagara Region entered into a Pilot Project Agreement with the City of Niagara Falls, the City of Welland, and the St. Catharines Transit Commission to facilitate an inter-municipal transit pilot project; the current agreement expires December 31, 2020.
- In July 2017, Niagara Region obtained jurisdiction to operate conventional, inter-municipal transit services on a non-exclusive basis through a triple majority process.
- In January 2018, all four aforementioned parties signed a Memorandum of Understanding to work collaboratively through governance discussions outlined in the *Niagara Transit Service Delivery and Governance Strategy* while maintaining, integrating and improving current transit services.
- In May 2018, all four parties signed a Service Agreement (PW 19-2018) extending the current inter-municipal transit service by three (2018, 2019 and 2020 inclusively) years with an option to renew for an additional 2 years.

- The renewal of the 2018 NRT Service Agreement for an additional two-year period will ensure that inter-municipal transit services continue while the current transit governance discussions are completed.

Financial Considerations

For 2021 and 2022, NRT service hours are not expected to increase beyond pre-COVID levels and thus the net cost to operate NRT is not expected to rise. Staff continue to work with the Service Providers to ensure that sufficient service is provided to meet ridership demand while also remaining within budget.

Future hourly rates are subject to negotiations by all four parties and are affected by inflation, fuel prices, and labour costs associated with collective agreement obligations.

Increases associated with anticipated contract payments will be accommodated within future year budgets.

Analysis

Since the inception of NRT, Niagara Region has maintained agreements with the St. Catharines Transit Commission, the City of Welland, and the City of Niagara Falls to deliver the service on the Region's behalf. These agreements were extended multiple times before expiring in 2018. With Regional transit being formalized via triple majority in 2017 and having completed the IMT Service Implementation Strategy with support from the Linking Niagara Transit Committee (LNTC), the parties collaboratively sought out to revise the terms of the agreement to better support the now permanent NRT service.

That new agreement, endorsed by Regional Council in PW 19-2018, carries the parties through to the end of 2020. It also contemplated a two-year extension using the same terms and conditions so that the governance discussion could be completed before potentially altering the way services are being delivered. As the governance work is well underway with a decision expected in 2021, maintaining the status quo carries the least amount of risk while also providing the most reliability in terms of service delivery, consistency, asset protection and customer service. The terms and conditions of this renewal remain the same as the current iteration of the agreement and thus meets the criteria of being extended as outlined in the current agreement.

Members of the Inter-municipal Transit Coordination Committee, representing the NRT delivery partners, have provided input into the consideration of this extension and jointly recommend proceeding under the terms outlined in this report.

Alternatives Reviewed

The only reasonable alternative option would be to bring all of the conventional transit operations in-house at the Region. As NRT is currently delivered by existing local transit providers, the Region is able to deliver services with limited amounts of capital infrastructure necessary to operate NRT. Inherent costs incurred by operating the Region's own in-house system includes operating dedicated maintenance facilities/garage, hiring/managing its own unionized bus operators, carrying fleet insurance, among others.

This alternative is not recommended due to the significant cross-departmental costs of bringing those items in-house. Beyond the prohibitive capital and operating costs to bringing operations in-house at this time, the recommended extension allows for continuation of the ongoing transit governance discussion as Niagara continues to consider a single entity to deliver transit. Any alternative to that would compromise the recommended trajectory to a single transit provider.

Exploration of other alternative methods of transit delivery beyond conventional services delivered by the Region's municipal partners through the NRT operating agreement remain active. Regional staff continue to review innovative, efficient alternative methods of transit service delivery, particularly in the current pandemic, with the deployment of the NRT OnDemand system in west Niagara in August 2020 as one example of innovative alternative transit delivery. Although early signs are the on-demand delivery model is very effective for the lower density, geographically distanced areas, transit riders and services found in more dense areas of Niagara – where moving significant volumes of ridership, requiring faster service and larger fleet accommodations are needed – conclude that NRT continues to warrant the conventional transit model employed through the NRT operating agreement for these areas of service.

Relationship to Council Strategic Priorities

Supporting NRT's continuation directly aligns with the Council Strategic Priority: Responsible Growth and Infrastructure Planning (Objective 3.1) through advancing regional transit and GO rail services and facilitating the movement of people and goods.

Other Pertinent Reports

- CAO 8-2017 Niagara Region's Transit Service Delivery and Governance Strategy
- LNTC-C 21-2018 Inter-Municipal Transit (IMT) Service Implementation Strategy
- LNTC-C 22-2018 Inter-Municipal Transit Financial Impact Analysis
- LNTC-C 23-2018 Inter-Municipal Transit Capital Plan, 2019
- PW 19-2018 Niagara Region Transit 2018 Service Agreement

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Recommended by:

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Submitted by:

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Acting Chief Administrative Officer

This report was prepared in consultation with Catherine Lam, Program Financial Analyst; Brian McMahon, Program Financial Specialist; and reviewed by Heather Talbot, Financial and Special Projects Consultant, and Matt Robinson, Director, GO Implementation Office.

Subject: Award of Contract 2020-T-116 Port Dalhousie WWTP Upgrades Contract 1

Report to: Public Works Committee

Report date: Tuesday, December 8, 2020

Recommendations

1. That Contract 2020-T-116 Port Dalhousie WWTP Upgrades Contract 1 in the City of St Catharines **BE AWARDED** to Maple Reinders Constructors Ltd. at their bid price of \$36,836,870 (including 13% HST); and
2. That the current approved Contract amount of \$1,153,785.37 (including 13% HST) awarded to Hatch Corp. **BE INCREASED** by \$1,568,511.19 (including 13% HST), for a total revised Contract of \$2,722,296.56 (including 13% HST) for Port Dalhousie WWTP Upgrades for the provision of Contract Administration and Inspection Services for Port Dalhousie WWTP Upgrades Contract 1.

Key Facts

- The purpose of this report is to seek Council's approval for the award of Contract 2020-T-116 Port Dalhousie WWTP Upgrades Contract 1 to Maple Reinders Constructors Ltd. at their bid price of \$32,599,000.00 (excluding 13% HST) and to seek Council's approval for the increase in the current approved contract amount of \$1,021,049 (excluding 13% HST) awarded to Hatch Corp. for 2016-RFP-14 Port Dalhousie WWTP Upgrades by \$1,388,063 (excluding 13% HST) for a total revised Contract of \$2,409,112 (excluding 13% HST).
- Schedule B of the Niagara Region Procurement By-law 02-2016 as amended February 28, 2019 requires Council approval for all tender awards in excess of \$5,000,000 (Recommendation 1) and for any Single Source award where the increase puts the total award value over \$1,000,000 (Recommendation 2).
- Proposed works include two new fine bubble aeration tanks with associated blower building, all associated yard piping, RAS pumping system upgrades, power supply & distribution system and process control & SCADA system upgrades including process control panels to support the process upgrades.
- Construction is scheduled from February 2021 to March 2023 with a contract completion date of March 3, 2023.
- Five (5) General Contractors were Prequalified in a competitive public pre-qualification process (2020-RFPQ-47) and were invited to bid on 2020-T-116 Port Dalhousie WWTP Upgrades Contract 1.

- On August 28, 2020, Niagara Region initiated a competitive public tender process (2020-T-116), to solicit bids from those prequalified companies to compete for these works. The tender closed on November 5, 2020 and four bid submissions were received and opened with the lowest compliant bid being received from Maple Reinders Constructors Ltd. in the amount of \$32,599,000.00 (excluding 13% HST).
- As part of a competitive bid process (2016-RFP-14), Hatch Corp was awarded the contract to provide engineering services for the Port Dalhousie WWTP Upgrades. Contract Administration and Inspection services were evaluated as provisional items in the 2016-RFP-14 bid process in the amount of \$696,441 but were not awarded. Hatch Corp. has provided revised fees for the provisional items for Contract Administration and Inspection services which increases the provisional amount by \$691,622 to include the extension in the contract duration, additional contract administration hours for proper oversight on a Tier 1 project as well as scope change requests for extra design efforts requested by Niagara Region for a total addition to the current Purchase Order of \$1,388,063.00 (excluding 13% HST). The Region has changed our construction services standards since 2016 to put more rigor into contract administration and inspection on Tier 1 projects to reduce risk during construction and improve oversight. The revised provisional fees for contract administration and inspection reflect our changed standards.

Financial Considerations

This project will be constructed in two phases; Contract 1 and Contract 2. The budget for Contract 1 has been previously approved under Project 20000201 Port Dalhousie WWTP Upgrades for a total of \$39,500,000.

Project 20000201 Port Dalhousie WWTP Upgrades has actual and committed expenses of \$1,426,308 as of November 6, 2020. The total estimated project cost after the award of Contract 2020-T-116 and contract amount increase for contract administration and inspection is \$39,500,000 (inclusive of 1.76% non-refundable HST), as detailed in Appendix 1 – Total Estimated Project Cost.

The total estimated project cost for Contract 2 is \$15,000,000. The funds for Contract 2 will be requested as part of the 2023 capital budget. The projected combined total cost for both contracts is \$54,500,000.

Analysis

The Port Dalhousie Wastewater Treatment Plant (WWTP) is owned and operated by Niagara Region and is located at 40 Lighthouse Road in the City of St. Catharines, north of Lakeshore Road. The plant was constructed in 1969 and has undergone various upgrades to provide a treatment capacity of 61,300 m³/d average flow, and a peak primary treatment capacity of 122,700m³/d. The plant services the City of St. Catharines and the City of Thorold. Refer to Appendix 3 for the Key Plan.

The Port Dalhousie WWTP requires sustainability improvements throughout the plant. Major components of the upgrades include replacement of the deteriorating plant inlet/overflow chamber, installation of a screening washer/compactor conveyance system, replacement of the aged aeration system with a new fine bubble diffuser system including new tanks, blower building and associated pumps and piping, refurbishment of the non-effective biofilter system, Master Control Centre (MCC) upgrades/replacements, plant-wide SCADA upgrades, construction of a new administration building and other miscellaneous process upgrades.

The construction of the works will be phased under two separate contracts. Contract 1 is scheduled for construction from 2021 to 2023 and Contract 2 construction is scheduled from 2023 to 2025.

The following scope of work is associated with Contract 1 of this project:

- Construction of two new aeration tanks consisting of fine bubble diffuser system, coarse bubble channel and chamber aeration, aeration tanks influent chamber, and aeration tanks Mixed Liquor Suspended Solids (MLSS) chamber;
- Construction of a new blower building and installation of new blowers and controls;
- Replacement of existing secondary clarifier 5 RAS pumps and associated piping and instrumentation with new;
- Modifications to existing primary clarifier distribution chamber;
- modifications to the existing power distribution system, addition of a new switchgear, transformer and generator;
- Installation of new Remote Programmable Unit (RPU) and SCADA upgrades;
- Decommissioning of the existing aeration system.

The following is the scope of work for Contract 2 of this project:

- Construction of new inlet/bypass channels with flow measurement;
- Modifications to existing screen building including installation of new screening conveyance system;
- Modifications to the chlorine contact tank inlet and gates;
- Refurbishment of the existing biofilter;
- Construction of a new administration building;
- Demolition of a portion of the existing administration building;
- Plant-wide MCC replacement/rehabilitation; and
- Plant-wide RPU replacement.

In accordance with Niagara Region Procurement By-law 02-2016 as amended on February 28, 2019 and under the guidance of the Region's Procurement Department, Niagara Region initiated a competitive public tender process (2020-T-116), on August 28, 2020 to solicit bids from those prequalified companies to complete these works. The tender closed on November 5, 2020 and four (4) bid submissions were received and opened with the lowest compliant bid being received from Maple Reinders Constructors Ltd. in the amount of \$32,599,000.00 (excluding 13% HST).

Niagara Region's Procurement Department has reviewed and checked all opened tenders to confirm they included acknowledgement of the correct number of Addenda and requisite Bid Security (tender deposit) and Surety (Agreement to Bond).

A summary of the bid submissions is included in Appendix 2.

Hatch Corp was retained by Niagara Region through a competitive bidding process, 2016-RFP-14, to complete the detailed design, tendering and contract administration and inspection services for the Port Dalhousie WWTP Upgrades project. Contract administration and inspection services were provisional items in the 2016-RFP-14 procurement. Fees for the provisional items were received and evaluated as part of the competitive bid process, however they were not awarded. Hatch has provided revised fees for contract administration and inspection services based on the current construction requirements as well as a scope change request for additional design efforts requested by Niagara Region.

The 2016 Request for Proposal (2016-RFP-14) stipulated a specific number of hours for Contract Administration for the construction period which amounted to 8 hours per week. Niagara Region's Water and Wastewater standards for construction support have since increased the required hours for contract administration and years of experience for the contract administrator and site inspector on Tier 1 projects. This

increase in support from the consultant provides the Region with proper oversight and inspection during construction to ensure that the project is constructed in compliance with the drawings and specifications.

The Port Dalhousie WWTP Upgrades project is a large, complex undertaking which includes the requirement for bypass pumping, groundwater dewatering, temporary power and careful construction sequencing to ensure the WWTP remains active and in-service throughout construction. The Region requested that Hatch update their original construction services provisional fees based on our new standards. Ensuring proper construction support by Hatch will reduce risk and help ensure a successful project completion.

The additional engineering fees associated with the increase in contract administration and inspection services is an extension of the work that was originally competitively bid. The fees now reflect the construction support and oversight required from the consultant based on the project's complexity. Extending the assignment to the current engineering firm rather than competitively procuring the additional services ensures consistency throughout the entire design phase; therefore, reducing any need for re-visiting the initial design and reducing the risk to the Region of inconsistency between designers. Risk is also reduced by having consistency from the design phase to the construction inspection and administration phase.

In addition to increases in the contract administration and inspection services required, additional design efforts are also necessary. Niagara Region identified operational flexibility concerns with the existing sludge piping and additional required process improvements which directly relate to the project. The process piping changes will allow the operator's flexibility to step-feed the aeration tanks during high storm flows to prevent an activated sludge washout. The additional process changes included modifications to the decommissioning plans and site drainage improvements in the area of the new aeration tanks. Hatch was requested to modify their design drawing set and contract documents to include the change.

Contract award requires resources from Legal Services and Corporate Services in order to execute the required contract documents and amending agreement. Water and Wastewater Engineering staff will be providing resources throughout the project in order to manage the contract with assistance from Corporate Services on contract/project payments.

Alternatives Reviewed

1. Proceed with the Contract Award and Proceed with Contract Amount Increase –
This alternative would enable staff to proceed with contract award to Maple Reinders Constructors Ltd. to construct Port Dalhousie WWTP Upgrades Contract 1 and to proceed with contract amount increase to Hatch Corp. to meet the Niagara Region's objective of providing proper treatment of sewage. The project will provide a sustainability upgrade to the existing process equipment, prolong the service life of the secondary treatment system, reduce energy consumption from obsolete equipment and ensure Niagara Region continues to meet or exceed the Ministry of Environment, Conservation and Parks (MECP) effluent quality requirements.
2. Do Nothing –This alternative does not adequately address the operation and maintenance issues currently experienced at the Port Dalhousie WWTP.

Staff recommend Alternative 1 to proceed with contract award to Maple Reinders Constructors Ltd. and contract amount increase to Hatch Corp.

Relationship to Council Strategic Priorities

This recommendation is related to the Responsible Growth and Infrastructure Planning, Objective 3.3: Maintaining Existing Infrastructure. Through asset management planning, the Port Dalhousie WWTP upgrades project is required to ensure sustainable investments in the infrastructure needed to provide proper treatment of wastewater which meets or exceeds MECP effluent quality requirements.

Other Pertinent Reports

Not Applicable

Prepared by:

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Recommended by:

Bruce Zvaniga, P.Eng.
Commissioner of Public Works (Interim)
Public Works Department

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

This report was prepared in consultation with Tony Cimino, C.E.T., Associate Director, W-WW Engineering; and Pamela Hamilton, Program Financial Specialist W-WW, and reviewed by Joseph Tonellato, P.Eng, Director W-WW and Dan Ane, Manager, Program Financial Support, Bart Menage, Director Procurement and Strategic Acquisitions.

Appendices

Appendix 1	Total Estimated Project Cost
Appendix 2	Summary of Bids
Appendix 3	Key Plan

PW 44 - 2020 APPENDIX 1
Total Estimated Project Cost
Contract Award

Contract 2020-T-116 - Port Dalhousie WWTP Upgrade Contract 1

	Council Approved Budget	Budget Increase/ Reallocation	Revised Council Approved Budget	Expended & Committed as of 11/06/20	Contract Award/ Forecast	Budget Remaining
	(A)	(B)	(C) = (A) + (B)	(D)	(E)	(F) = (C)-(D)-(E)
Total Estimated Project Cost (20000201)*						
(a) Construction (includes contract contingency)**	32,743,250	460,332	33,203,582	30,840	33,172,742	-
(b) Project Contingency	4,535,000	(1,557,066)	2,977,934	-	2,977,934	-
(c) Consulting Engineering Services (Design, Contract Administration, & Inspection) ***	1,350,000	1,496,733	2,846,733	1,334,240	1,512,493	-
(d) Project Management & Internal Costs	871,750	(400,000)	471,750	61,228	410,522	-
Total Estimated Project Cost	39,500,000	(0)	39,500,000	1,426,308	38,073,691	-

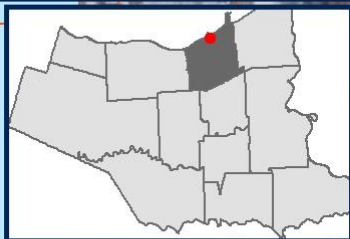
*All costs include 1.76% non-refundable HST

** Total Construction Contract Award is equal to i) \$32,599,000 before tax; ii) \$33,172,742 including 1.76% non-refundable HST; iii) \$36,836,870 including 13% HST

*** Total CA & Inspection Award is equal to i) \$1,388,063 before tax; ii) \$1,412,493 including 1.76% non-refundable HST; iii) \$1,568,511 including 13% HST. In addition to the award, \$100,000 of additional engineering services are included in the forecast

PW 44-2020 Appendix 2 – Summary of Bids (2020-T-116)

Vendor	Total Tender Price (excluding HST)
Maple Reinders Constructors Ltd.	\$32,599,000.00
ROMAG Contracting Ltd.	\$34,570,000.00
Kenaidan Contracting Ltd.	\$34,672,500.00
North America Construction (1993) Ltd.	\$36,453,000.00



Lake Ontario

Port Dalhousie W.W.T.P.

WWTP

Legend

 Wastewater Treatment Plant

1:1,750

0 12.5 25 50m



Subject: Amendment to Purchase Order for Tender 2019-T-157 Regional Road 38 (Martindale Road)

Report to: Public Works Committee

Report date: Tuesday, December 8, 2020

Recommendations

1. That the original Contract amount of \$10,366,851.65 (including 13% HST) awarded to Rankin Construction Inc. **BE INCREASED** by \$1,300,000.00 (including 13% HST), for a total revised Contract of \$11,666,851.65 (including 13% HST) for the Reconstruction of Regional Road 38 (Martindale Road) from Fourth Avenue to Barton Street, in the City of St. Catharines.

Key Facts

- Contract 2019-T-157 was awarded by Regional Council to Rankin Construction Inc. on June 20, 2019, at a bid price of \$9,174,205.00 (excluding taxes).
- The current Purchase Order 0000062464 in the amount of \$9,174,205.00 (excluding taxes), requires an amendment to increase the Purchase Order amount by \$1,150,442.48 (excluding taxes) to address items requested by the Ministry of Transportation (MTO) in the amount of \$821,334.29 (excluding taxes) and additional safety measures required on the construction staging on Highway 406 on behalf of the Niagara Region in the amount of \$329,108.19 (excluding taxes)
- A budget adjustment was recently performed by staff in accordance with the budget control by law to reflect the additional MTO cost sharing associated with this Purchase Order increase request in the amount of \$821,334.29
- There are sufficient funds in the project budget 10RC0627 to cover the Purchase Order amendment request.
- This project is nearing completion and this Purchase Order increase is required to complete this project.

Financial Considerations

The Purchase Order 0000062464 was issued to Rankin Construction Inc. in the amount of \$9,335,671.01 (including 1.76% non-refundable HST), following Regional Council approval for the award of Contract 2019-T-157 on June 20, 2019. The \$9,335,671.01 (including 1.76% non-refundable HST) represented Rankin's bid submission in

response to the Region's Request for Tender; including an 8.5% contingency value of \$800,000 (excluding taxes).

The original tender award cost sharing (including 1.76% non-refundable HST) was as follows:

- Niagara Region share - \$7,937,231.94,
- Ministry of Transportation share - \$826,702.31, and
- City of St. Catharines share - \$571,736.76.

The work associated with this Purchase Order amendment includes an overhead gantry sign structure, additional paving on Highway 406 and additional safety measures required on the construction staging on Highway 406. The overhead gantry sign structure and additional paving on Highway 406 was requested by the Ministry of Transportation and these costs will be recovered from them. The Ministry's portion of the change Purchase Order request is \$835,789.77 (including 1.76% non-refundable HST) which fully addresses the above mentioned items. The Region's portion of the change Purchase Order request is \$334,900.50 (including 1.76% non-refundable HST) to address additional safety measures required on the construction staging on Highway 406.

The Purchase Order increase request in the amount of \$1,170,690.27 (including 1.76% non-refundable HST), will bring the total construction amount to \$10,506,361.28 (including 1.76% non-refundable HST).

The estimated cost sharing (including 1.76% non-refundable HST) on the revised construction completion amounts are:

- Niagara Region share - \$8,272,132.44,
- Ministry of Transportation share - \$1,662,492.08, and
- City of St. Catharines share - \$571,736.76.

These funds will be required to complete the construction and finalize the Contract between the Region and Rankin Construction Inc. There are sufficient funds available in project 10RC0627 to address the Purchase Order amendment.

A full budget breakdown can be found in Appendix 2 – Total Estimated Project Costs.

Regional staff will be completing a budget reduction on project 10RC0627 in the amount of \$1.0M, to address the budget remaining from this project.

Analysis

Majority of this increase is the inclusion of the Ministry's request for an overhead gantry sign structure. The Ministry identified the need for this overhead gantry sign structure during construction and, for efficiency purposes, requested the Region include this item in the current contract. The Ministry has committed to reimbursing the Region for this work once completed on the Ministry's behalf. The Region will be required to compensate Rankin Construction for this work, under the current contract, and invoice the Ministry for this work accordingly.

The additional construction staging on Highway 406 was required for safety purposes to allow the construction of the centre pier for the new Regional Road 38 (Martindale Road) Bridge structure which falls under the Region's financial responsibility. The cost sharing identified above includes this work in the Region's portion of the cost share.

Alternatives Reviewed

The Region discussed the options of having the Ministry construct this overhead sign structure outside this contract by another contractor. The Ministry and the Region agreed it would be more efficient to complete this work as part of the Region's current contract. There would be less impact to the motoring public; provide improved safety, and result in a better asphalt roadway at completion of the project.

For the Regional component of the work, the project team looked at a variety of construction options to complete the required centre pier safely. All safe options required additional staging on Highway 406. Work carrying into 2020 was necessary to ensure quality mandates of the Ministry were achieved for the work on Highway 406. Many weather dependant operations such as concrete curing, and placement of top asphalt were not possible in 2019 due to inclement fall/winter conditions.

Relationship to Council Strategic Priorities

- Responsible Growth and Infrastructure Planning

Other Pertinent Reports

PW29-2019 - Award of Tender 2019-T-157 Reconstruction of Regional Road 38 (Martindale Road) from Fourth Avenue to Barton Street, in the City of St. Catharines.

PW40-2020 - Regional Road 38 (Martindale Road) Amending Agreement with Engineering Consultant Wood

Prepared by:

Mike Wilson, A.Sc.T., PMP
Senior Project Manager
Transportation Engineering

Recommended by:

Bruce Zvaniga, P.Eng.
Commissioner of Public Works (Interim)
Public Works Department

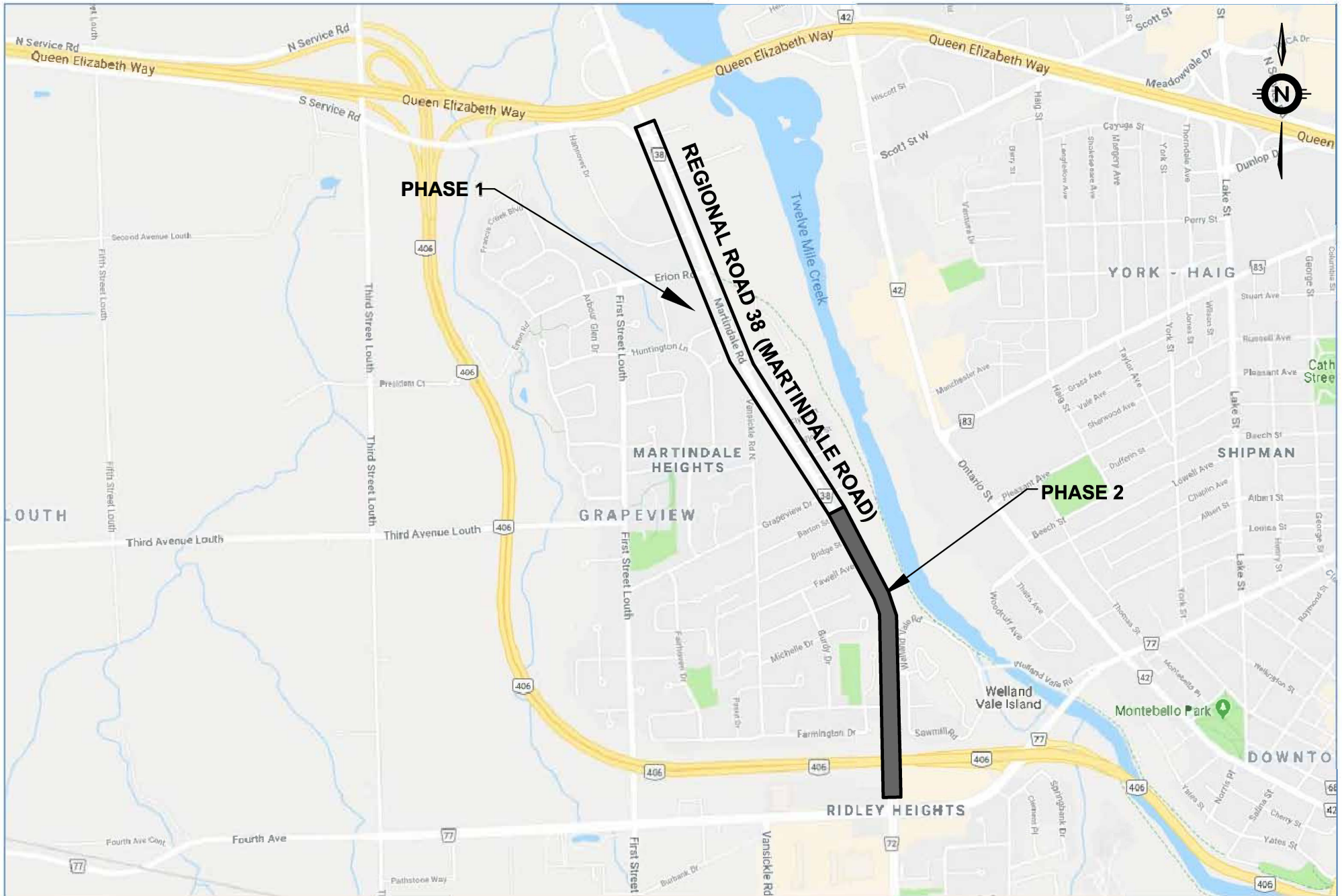
Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

This report was prepared in consultation with Brian McMahon, Program Financial Specialist, Frank Tassone, Associate Director, Transportation Engineering, reviewed by Carolyn Ryall, Director, Transportation Services and Donna Gibbs, Director, Legal and Court Services.

Appendices

Appendix 1	Key Plan
Appendix 2	Project Financial Summary



PW 51-2020 APPENDIX 2
Total Estimated Project Cost
Purchase Order Amendment
Tender 2019-T-157 Regional Road 38 (Martindale Road) Barton St. to Fourth Ave.

	Council Approved Budget	Budget Increase/ Reallocation	Council Approved Budget for revised Purchase Order	Expended & Committed as of 11/10/20	Forecast	Budget Remaining
	(A)	(B)	(C) = (A) + (B)	(D)	(E)	(F) = (C)-(D)- (E)
<u>Total Estimated Project Cost (10RC0627)*</u>						
(a) Construction (including Construction Contingency)**						
i. Niagara Region	13,592,631	334,900	13,927,531	13,918,346	9,185	-
ii. Cost Sharing - City of St. Catharines	571,738	-	571,738	374,695	197,043	-
iii. Cost Sharing - MTO	1,662,492	-	1,662,492	87,791	1,574,700	-
(b) Project Contingency	1,150,000	165,100	1,315,100	-	315,100	1,000,000
(c) Property Acquisition	821,065	500,000	1,321,065	822,937	498,128	-
(d) Consulting Engineering Services						
i. Detailed Design	1,332,524	(400,000)	932,524	878,565	53,959	-
ii. Contract Administration & Inspection	-	900,000	900,000	589,827	310,173	-
iii. Geotechnical Service-Quality Control	-	200,000	200,000	107,890	92,110	-
(e) Project Management (In-House) and Operations	1,489,439	(900,000)	589,439	264,279	325,160	-
(f) Traffic Signals and Signs	836,955	-	836,955	458,231	378,724	-
(g) Utility Relocation	2,535,212	(800,000)	1,735,212	1,546,367	188,845	-
Total Estimated Project Cost	23,992,055	-	23,992,055	19,048,928	3,943,127	1,000,000

*All costs include 1.76% non-refundable HST.

** Adjusted Purchase Order included in construction costs is equal to i) \$10,324,647.48 before tax; ii) \$10,506,361.27 including 1.76% non-refundable HST; iii) \$11,666,851.65 including 13% HST.

MEMORANDUM

PWC-C 50-2020

Subject: Recommendation for Consideration from the Linking Niagara Transit Committee meeting held November 25, 2020

Date: December 8, 2020

To: Public Works Committee

From: Ann-Marie Norio, Regional Clerk

At its meeting held on November 25, 2020, the Linking Niagara Transit Committee passed the following motion for consideration by the Public Works Committee:

Minute Item 6.1

LNTC-C 6-2020

Councillor Information Request: Niagara Transit Governance Study – Local Area Municipality Engagement

That Correspondence Item LNTC-C 6-2020, being a memorandum from S. Fraser, Transportation Lead, GO Implementation Office, dated November 25, 2020, respecting Councillor Information Request: Niagara Transit Governance Study – Local Area Municipality Engagement, **BE RECEIVED** and **BE CIRCULATED** to the Local Area Municipalities; and

That staff **BE DIRECTED** to reach out to the local area municipalities to arrange to present to their Council when the Niagara Transit Governance Study is being considered.

Respectfully submitted and signed by

Ann-Marie Norio
Regional Clerk



GO Implementation Office
 1815 Sir Isaac Brock Way, Thorold, ON L2V 4T7
 905-980-6000 Toll-free: 1-800-263-7215

MEMORANDUM

LNTC-C 6-2020

Subject: Councillor Information Request: Niagara Transit Governance Study – Local Area Municipality Engagement

Date: November 25, 2020

To: Linking Niagara Transit Committee

From: Scott Fraser, P. Eng., Transportation Lead - GO Implementation Office

Introduction

On October 21, 2020, the Linking Niagara Transit Committee (LNTC) considered *LNTC-C 4-2020 - Niagara Transit Governance Study* which presented the preferred governance and financial models for the consolidation of transit in Niagara. LNTC adopted amended recommendations providing support for a Full Commission governance model and recommending further engagement with each of the twelve (12) local area municipalities to seek their feedback on and support for the proposed models. The deadline for receiving this feedback was advanced to February 28, 2021.

In the course of this consideration, Committee provided comment and feedback on the governance and financial models, including a focus on the impacts of the proposed single regional tax levy, the Board of Directors and appointment process, and on social equity as a key driver for transit. The purpose of this memorandum is to outline how this feedback has been reflected and addressed, in advance of engagement with the local area municipalities.

The engagement process to be undertaken with each local area municipality will be tailored to suit preferred timeframes, areas of focus, and level of Regional staff participation. LNTC-C 8-2020 acts as a companion to this report, and provides the draft presentation planned for the Project Team's use at LAM Councils, where or if requested by the local area municipality.

Financial Strategy

The financial strategy proposed to implement the Full Commission model has been developed based on the following key principles:

- Consensus – to arrive at a consensus model which balances benefits and obligations for each party
- Equity – enabling future transit to grow equitably in each municipality
- Phased implementation – enable budgets to accommodate increases or decreases in a manageable way over multiple years
- Asset transfer – ensuring existing investments in capital assets are respected, but not paid for twice by the same taxpayer (see Cummings Principle below)
- Service Enhancements – reinvesting to ensure adequate resourcing is available long term to enable the transit system to grow

Based on these principles, the financial strategy outlined in *LNTC-C 4-2020* recommends the transfer of all existing and incremental transit spending to the new Commission, funded through a single regional tax levy. This strategy includes:

- a two (2) year transition period (2021, 2022) during which funding derived from the levy is applied to the one-time costs associated with establishing the Commission;
- a transfer implementation period of up to five (5) years (2023-2027), varying by municipality, where existing municipal transit costs are transferred to the Regional levy and offset by equivalent budgetary restrictions at the local level; and
- the expansion of transit services, running concurrent with the transfer of existing service, however finishing in 2032.

This recommendation was developed in consultation with local area Treasurers and CAOs after consideration of a variety of strategies ranging between municipal transit grants and a full regional upload to a single transit levy. There was no option to fully consolidate transit into one system without a redistribution impact to municipalities.

Taxpayer Redistribution from Municipal Levy to Regional Levy

The adoption of a single regional tax levy would transition current transit funding from municipalities to the Region, based on the regional property value assessment. As noted during discussions at LNTC, the net impact of this transition is that a proportion of

total regional transit expenditures would be redistributed to residents in municipalities with currently less robust transit systems and historically lower transit investment levels.

This realignment is consistent with the consolidation of transit in Niagara, as the move to an integrated transit system is anticipated to bring a series of proportional benefits to residents in these municipalities, including enhanced and expanded transit service, the ability to leverage capital investments that have been made in and by other municipalities, and a reduction in future financing costs.

- **Service Enhancement** - The proposed financial strategy provides for the allocation of \$2.7M in 2023 for the expansion of transit services, through the reallocation of levy funding originally allocated to the one-time transition costs in 2021-2022. This investment will be focused in areas who currently have less robust transit services, to enhance the connectivity of these areas to the other existing transit systems as quickly as possible, enhancing the transit equity in those municipalities.

These service enhancements will include the expansion of NRT On-Demand, the provision of new conventional NRT connections, and increased frequency on existing routes. These enhancements will facilitate greater connectivity to employment, medical, social and consumer services across Niagara, and link residents to the GTHA through GO train / bus services.

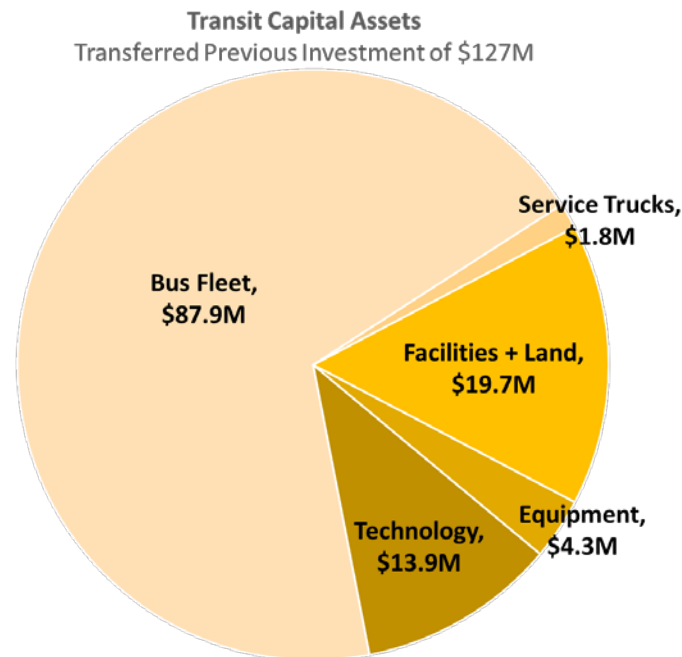
Where the larger systems are robust enough to remain status quo in service changes for a short period of time during the transition phase, smaller municipalities with smaller systems will see the first of the service improvements with a deliberate aim to bring all 12 municipalities to a more equitable transit service as quickly as possible. This approach of front-loading smaller system service enhancements as the levy upload occurs was used very effectively in both Waterloo Region and Durham Region where smaller municipalities received improved service faster, through the early days of the consolidation, while the larger municipalities saw their levy impact decrease.

Additional funding for further service enhancements will be requested by the Commission and subject to the Regional council budget process, as discussed further below and established once the new commission approves its inaugural multi-year service plan.

- **Leveraging of Prior Capital Investments** – municipalities with less robust transit services will benefit from consolidation through the ability to access and

leverage the capital investments that have been previously made by municipalities with more robust services. A total of \$127.5M in capital assets (\$64.3M net of depreciation) are anticipated to be transferred to the Commission, as summarized in Figure 1 below. These assets represent a combination of buses, service trucks, land, facilities, and other equipment and technology.

Figure 1 - Transit Capital Assets across Niagara Region



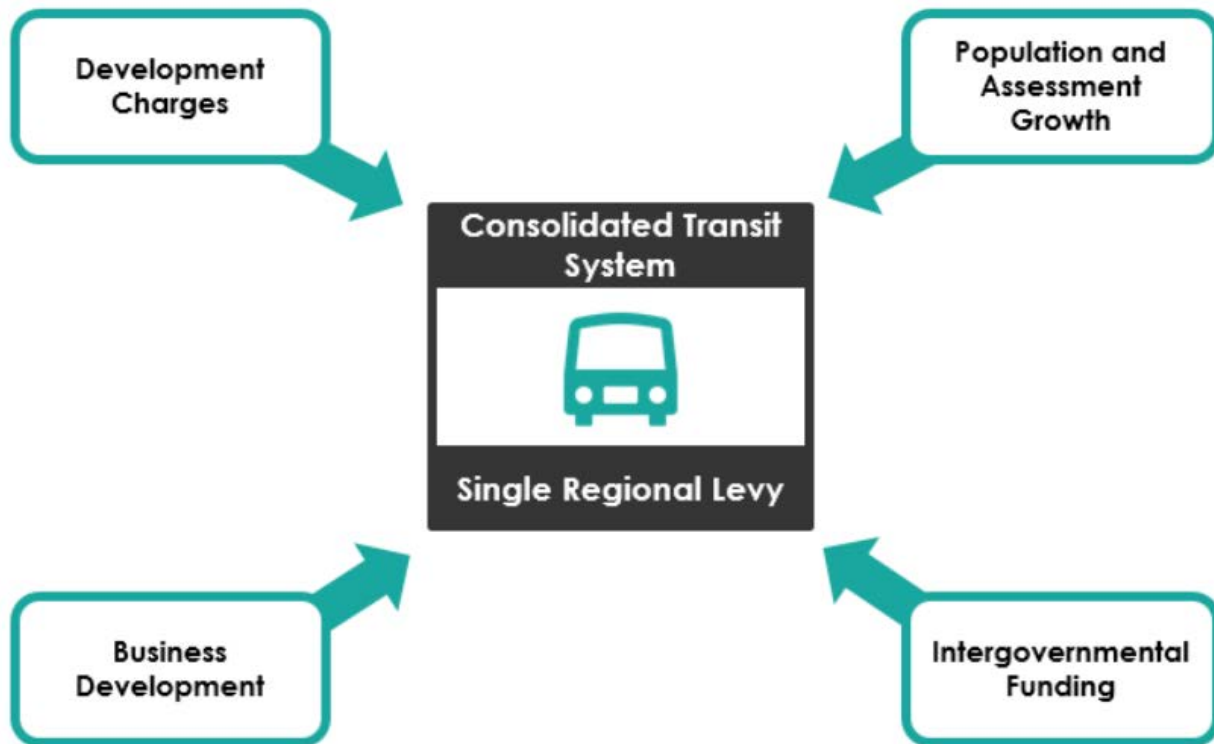
Leveraging previous capital investments will allow the Commission to deliver increased service into new areas of the region; which would have been costly for smaller municipalities to undertake within their municipal budgets. For example, existing garages can be utilized for vehicles purchased to provide increased or new conventional services, avoiding the need for the municipality to invest in new facilities independently.

- Net Operating Costs** – The current net operating cost for all transit across Niagara is \$43.4M which includes \$32.5M in service delivery, \$8.6M in Facility and Administration costs and \$2.3M in debt financing. The move to a single Regional levy redistributes the existing \$8.6M in facility and administrative costs to all new owners of the previous capital investments incurred by St. Catharines, Niagara Falls, and Welland, while the existing local transit net operating cost in St. Catharines and Niagara Falls reflect a reduction to the residents within those

municipalities through the upload to the Commission. It should be noted, that of the existing \$14M in Niagara Region inter-municipal services connecting all municipalities to these urban centres delivered under the current Regional levy funding scenario (i.e. 2020 budget), the municipalities of St. Catharines and Niagara Falls currently contribute 45% of the Regional levy contributions.

- **Intergovernmental Funding** – The Provincial Gas Tax (PGT) is currently utilized in some municipalities for operations (approx. \$1.5M annually). Under a consolidated Full Commission, these funds can be utilized for capital as intended by the program and therefore reduce future financing costs. Based on the current combined fleet size, purchase price, 10-year replacement cycle and the full annual PGT allocation for all municipalities together, it is estimated that 65% of total bus replacements can be funded through Niagara's combined PGT allocation. The \$1.5M which is currently utilized for operations reduces this funding to 50%; thereby increasing debt financing. However, a consolidated PGT fund would maximize PGT investments, lower debt financing and increase fleet replacement and required capital levy investments. Moving forward with consolidation now will also present the opportunity to seek provincial Safe Restart Program funding to offset anticipated transition costs. These costs may otherwise require funding through the Regional levy should consolidation be pursued at a later time.

While not directly included as part of the proposed Financial Strategy, there remains a number of future opportunities to further mitigate the impacts of transition to the single regional transit levy. These contributing factors include both future population and assessment growth in the region, the introduction of transit into the Region's development charges, enhanced business development, and future intergovernmental transit funding programs. Each of these opportunities will continued to be explored in the future for the potential to further offset levy impacts and should be kept in mind in relation to the future projections laid out in the Financial Strategy.

Figure 2 - Future Mitigation Strategies*Future Investment and Growth Opportunities*

The NTGS outlines an aspirational growth target of +80% in transit ridership in Niagara by 2031. This growth would be achieved primarily through unlocking latent demand for inter-municipal trips, and is consistent with growth seen in the usage of transit in peer jurisdictions in their post-consolidation period.

Relating the potential growth of transit ridership to the financial strategy, there are two considerations:

- **Future Investment Levels** – to achieve the aspirational target outlined in the NTGS, additional investment beyond that envisioned by the financial strategy will be required. The NTGS identifies that achieving the high-growth target with an 88% increase in ridership will require an additional \$27M in net operating expenditures. The estimated costs of consolidation contained within this report reflect inflationary growth only. Based on the 2020 Regional Levy, an

aspirational growth strategy would require an incremental separate transit levy of 7.0%.

In addition, an incremental capital investment of \$70M-\$155M may be required to achieve this growth, of which approximately \$40M is currently funded through PTIF and ICIP programs. These investments are in addition to regular lifecycle replacements of existing assets.

The financial strategy includes an additional \$2.7M in service expansion funding previously discussed, which is outside the aspirational growth strategy and is intended for enhancements in those municipalities with less robust current service to improve connectivity to urban centres and amenities. Longer-term service enhancements will be determined by the Commission's transit service strategic plans, and subject to the allocation of funding through the Regional budget process.

- COVID-19 – the aspirational +80% target was developed based on ridership levels and modelling prior to the onset of the COVID-19 pandemic, which has had a direct impact on transit ridership and revenues. While these impacts have been significant in the short-term, the long-term impacts to transit remain unclear. Trends towards greater work and study from home environments may result in lower transit utilization in the long-term, or may have limited impact post-pandemic. A Full Commission governance model will be best able to balance core transit needs while simultaneously being flexible to respond to emerging trends and service levels as circumstances require.

The Cummings Principle and Asset Transfer

The proposed application of the Cummings Principle to the transfer of assets to the Commission remains a key principle of the financial strategy. The premise of the Cummings Principle is to transfer assets (and related outstanding liabilities), from one municipality to another with no additional compensation, since transferring assets for additional compensation results in the taxpayer paying twice for the same public asset.

Board of Directors and Appointment Process

The NTGS presents a recommended Board of Directors comprised of five (5) members of Regional Council, (4) skills-based members of the public, and the Commission's General Manager acting in an ex-Officio capacity. This structure was recommended to

achieve both stewardship over resources and accountability to the residents of Niagara via elected officials, supplemented with additional skills or proficiencies necessary through those with experience in industry or more broadly.

Discussion at LNTC raised the question of the appointment of elected officials other than those already members of Regional Council (i.e. other local councillors). The process for appointment of members to the Board of Directors will be determined as part of the by-law that establishes the Commission as a legal entity, anticipated to be brought forward in parallel with the future triple-majority approval report. Through that process, Regional Council will have the opportunity to establish the criteria by which members can be selected. It is presumed that a nominating committee of Regional Council would then select members on the basis of the established criteria.

The forthcoming engagement with local area municipalities presents an opportunity to solicit further feedback regarding the proposed member selection process and Board Composition.

Social Equity

The guiding principles established for the NTGS determined *fairness* as a key objective of the consolidation of transit, including providing a basic level of services that can be accessed by as many Niagara residents as possible. There is currently a significant disparity in the availability and frequency of transit service across the region between smaller and larger municipalities.

Across the region, there are numerous residents who rely on transit as their primary mode of transportation. As such, transit represents social equity access to employment opportunities, medical services, educational institutions, or social activities.

The consolidation of transit is anticipated to foster a greater level of access to transit services for those residents currently under- or unserved by transit. Under the proposed financial strategy, this greater access in smaller municipalities will be achieved through the expansion of services proportional with increased investment levels and the greater integration with the services currently in place in the larger municipalities. Social equity is achieved through transit equity and access. The aforementioned financial strategy was designed to enable smaller municipalities to enhance their transit service levels and connectivity as quickly as possible as the levy redistribution occurs over time. This means front-loading the benefits of enhanced service and faster upload of the local levy

to regional as soon as possible, so as to increase their levels of social and transit equity for their residents.

LAM Engagement Timeframes and Next Steps

Subject to the adoption of the minutes of LNTC by Regional Council on November 20, 2020, *LNTC-C 4-2020* will be distributed and engagement with the LAMs seeking feedback on and support for the proposed governance and finance models will commence.

The specific timing and method of engagement with each LAM will be determined in consultation with their respective CAOs and Heads of Council, acknowledging the request from LNTC that feedback be received no later than February 28, 2021. Where requested, Regional staff (the Project Team) and the NTGS consultants will be available to support local staff as the item is considered at local Councils.

LNTC-C 8-2020 provides the draft presentation planned for use, where and if requested by the local area municipality. This presentation has been provided to committee separate from this report, as it is not recommended that this presentation be directly distributed to LAMs in parallel with the distribution of the supplementary information contained in this memo (should committee opt to distribute this information). This is recommended in order to facilitate required tailoring and updating for each municipality, and avoid confusion between what is an indicative presentation and the final presentation intended for each LAM.

In parallel to engagement with the LAMs, Regional staff will undertake the evaluation of impacts to Niagara Region Transit, Niagara Specialized Transit, Niagara Region Transit OnDemand, and the Regional tax levy from the proposed resolution in *LNTC-C 4-2020*. This assessment will be returned to LNTC for consideration in advance February 28, 2021, so that input from LNTC and Niagara Region Public Works Committee (as well as a position on the requested motion) can be received in parallel to that from the LAMs.

This collective feedback will be used to further refine the proposed governance and financial models, in advance of the initiation of the triple-majority process in Q2 2021.

Respectfully submitted and signed by,

Scott Fraser, P. Eng.
Transportation Lead | GO Implementation Office

**THE REGIONAL MUNICIPALITY OF NIAGARA
LINKING NIAGARA TRANSIT COMMITTEE
MINUTES**

LNTC 4-2020

Wednesday, November 25, 2020

Council Chamber/Video Conference

Regional Headquarters, Campbell West

1815 Sir Isaac Brock Way, Thorold, ON

Committee Members Present in the Council Chamber: M. Siscoe (Municipal Councillor - St. Catharines) (Committee Chair), M. Robinson, Director, GO Implementation Office

Committee Members Present via Video Conference: Campion (Mayor - Welland), Redekop (Mayor - Fort Erie), Sendzik (Mayor - St. Catharines), Fertich (Regional Councillor), Ip (Regional Councillor), G. Miller (Municipal Councillor - St. Catharines), L. Van Vliet (Municipal Councillor - Welland) (Committee Vice-Chair), S. Chemnitz, Chief Administrative Officer (St. Catharines), K. Todd, Chief Administrative Officer (City of Niagara Falls), S. Zorbas, Interim Chief Administrative Officer (City of Welland)

Absent/Regrets: C. Dabrowski (Municipal Councillor - Niagara Falls), R. Tripp, Acting Chief Administrative Officer (Niagara Region)

Staff Present in the Council Chamber: S. Fraser, Transportation Lead, GO Implementation Office, S. Guglielmi, Technology Support Analyst, A.-M. Norio, Regional Clerk, H. Talbot, Financial & Special Projects Consultant

Staff Present via Video Conference: M. Evelyn, Legislative Coordinator, R. Salewytch, Transit Service Planning Coordinator, L. Tracey, Project Coordinator, GO Implementation, M. Trennum, Deputy Regional Clerk, B. Zvaniga, Interim Commissioner, Public Works

Others Present via Video Conference: M. Gilbert, Amalgamated Transit Union, E. Gillespie, Left Turn Right Turn, Y. Grinspun, Left Turn Right Turn, S. Kosh, Niagara College, M. Lattavo, Left Turn Right Turn, V. Malvaso, Niagara College, B. McIlhone, Optimus SBR, G. Morrison, St. Catharines Transit, T. Price, Niagara College, R. Rehan, Brock University Student Union, D. Stuart, Niagara Falls Transit.

1. CALL TO ORDER

Committee Chair M. Siscoe called the meeting to order at 2:02 p.m.

2. DISCLOSURES OF PECUNIARY INTEREST

There were no disclosures of pecuniary interest.

3. PRESENTATIONS

There were no presentations.

4. DELEGATIONS

There were no delegations.

5. ITEMS FOR CONSIDERATION

5.1 LNTC-C 7-2020

2021 Inter-Municipal Transit Working Group – Linking Niagara Transit Committee Workplan

Moved by Councillor Fertich
 Seconded by Councillor Redekop

That Correspondence Item LNTC-C 7-2020, being a memorandum from M. Robinson, Director, GO Implementation Office, dated November 25, 2020, respecting 2021 Inter-Municipal Transit Working Group – Linking Niagara Transit Committee Workplan, **BE RECEIVED** and the following recommendation **BE APPROVED**:

1. That the Linking Niagara Transit Committee **ENDORSE** the Inter-Municipal Transit Working Group's 2021 workplan as outlined in Report LNTC-C 7-2020.

Carried

6. CONSENT ITEMS FOR INFORMATION

6.1 LNTC-C 6-2020

Councillor Information Request: Niagara Transit Governance Study - Local Area Municipality Engagement

Moved by G. Miller
 Seconded by L. Van Vliet

That Correspondence Item LNTC-C 6-2020, being a memorandum from S. Fraser, Transportation Lead, GO Implementation Office, dated November 25, 2020, respecting Councillor Information Request: Niagara Transit Governance Study – Local Area Municipality Engagement, **BE RECEIVED** and **BE CIRCULATED** to the Local Area Municipalities.

The following friendly **amendment** was accepted by the Committee Chair, and the mover and seconder of the motion:

That Correspondence Item LNTC-C 6-2020, being a memorandum from S. Fraser, Transportation Lead, GO Implementation Office, dated November 25, 2020, respecting Councillor Information Request: Niagara Transit Governance Study – Local Area Municipality Engagement, **BE RECEIVED** and **BE CIRCULATED** to the Local Area Municipalities; and

That staff BE DIRECTED to reach out to the local area municipalities to arrange to present to their Council when the Niagara Transit Governance Study is being considered.

The Committee Chair called the vote on the motion, as amended, and declared it,

Carried

6.2 LNTC-C 8-2020

Councillor Information Request: Niagara Transit Governance Study – Local Area Municipality Presentation

Moved by Councillor Sendzik
 Seconded by Councillor Redekop

That Correspondence Item LNTC-C 8-2020, being a memorandum from S. Fraser, Transportation Lead, GO Implementation Office, dated November 25, 2020, respecting Councillor Information Request: Niagara Transit Governance Study – Local Area Municipality Presentation, **BE RECEIVED** for information.

Carried

6.3 LNTC 3-2020

Linking Niagara Transit Committee Minutes - October 21, 2020

Moved by Councillor G. Miller
 Seconded by Councillor Campion

That Minutes LNTC 3-2020, being the minutes of the Linking Niagara Transit Committee meeting held on October 21, 2020, **BE RECEIVED** for information.

Carried

7. **OTHER BUSINESS**

There were no items of other business.

8. **NEXT MEETING**

The next meeting will be held on Wednesday, February 3, 2021 at 2:00 p.m.

9. **ADJOURNMENT**

There being no further business, the meeting adjourned at 2:57 p.m.

Mat Siscoe
Committee Chair

Mark Evely
Legislative Coordinator

Ann-Marie Norio
Regional Clerk

MEMORANDUM

PWC-C 47-2020

Subject: COVID-19 Response and Business Continuity in Public Works

Date: December 8, 2020

To: Public Works Committee

From: Bruce Zvaniga, P.Eng., Commissioner of Public Works (Interim)

As reported previously, Public Works has remained focused on keeping the critical public infrastructure operational while responding to the COVID19 pandemic. Departmental staff continue to ensure that the community has: safe drinking water, reliable wastewater systems, recycling and waste collection/disposal, regional specialized and regular transit and a well-maintained regional road system. Public Works staff recognize and are dedicated to the essential role they play ensuring that healthcare, social services, emergency responders and the community-at-large can depend upon the reliable availability of these core municipal services.

Public Works leadership is actively participating in the Municipal Emergency Control Group. Working with all other departments, the Business Continuity Plan and staff redeployment strategy is monitored and adjusted to respond to changing conditions. Public Works staff who have been re-deployed outside of the department delivering essential services are returning to their home positions to address the increased needs in Public Works and to prepare for winter maintenance readiness.

The Department Leadership team continue to actively participating in virtual meetings with their counterparts in the Local Area Municipalities, and provincial committees to share our successes and learn how others have overcome challenges.

The following provides a brief highlight from each of the four (4) divisions on their respective status, service changes, actions taken and future outlook.

Water & Wastewater Services

Current Status of Operations

High quality, safe and reliable water and wastewater services in accordance with health regulations and standards continue to be provided.

Both the Drinking Water and Wastewater Quality Management Systems (QMS) remain active. Capital infrastructure projects are deemed essential and continue to be delivered.

All W-WW staff and contractors continue to be reminded of their obligations to comply with the Niagara Region mask by-law and other pandemic mitigation policies and procedures.

Service/Operational Change Highlights

- Nothing new to report this month

Significant Initiatives or Actions undertaken

- As per the October 15 CAO Directive 'Expanding the use of face-coverings at work', face shields, half mask respirators and surgical masks are being used by both staff and non-employees (i.e. contractors, consultants, etc.) at all times while indoors, except in the following circumstances:
 - While at their desk, workstation, or in an office with at least two metres of physical distance from another person, or
 - While attending an employee-only meeting and seated in a designated seating location with at least two metres of physical distance from another person.
- Masks continue to be used outdoors if physical distancing cannot be maintained.
- Current protocols remain compliant with Niagara Region face covering by-law (By-law 2020-46) and Ontario Regulations 364/20 - Rules of Areas in Stage 3.

Operational Outlook

1 month

- Implementing phased W-WW Pandemic Re-Opening Plan in accordance with Public Health advisement and direction from the Region's Emergency Operations Centre.

3 months

- Implementing phased W-WW Pandemic Re-Opening Plan in accordance with Public Health advisement and direction from the Region's Emergency Operations Centre.

6 months

- The focus continues to be on the maintenance of all key components, the sustainable supply of key chemicals and materials and most importantly on the well-being of the staff managing these essential systems.

Transportation Services

Current Status of Operations

Essential bridge, culvert and roadway works, forestry, traffic control, pavement markings and signage are critical services which continue to be provided.

Design, construction management and environmental assessments continue from engineering staff and consultants.

Staff continue to monitor all material shipments, supplies and construction contracts experiencing delays to understand larger impacts to ongoing construction project schedules.

Service/Operational Changes

- Nothing new to report this month

Significant Initiatives or Actions undertaken

- Separation of field staff in vehicles where possible is being administered. Vehicle assignment to specific staff with the responsibility to clean / maintain on a daily basis.
- Face masks and shields have been ordered for additional staff protection in certain circumstances.
- Staff continue to monitor supplies out of Fleet stores such as wipes, hand sanitizer, N95 masks and are supporting other Divisions with resources as required.
- Screening signage, screening protocol and limited door access have been implemented at all yards and the service center. Daily reports of staff well-being and screening are being provided to management for recording and documentation purposes.
- Screening protocol for all vendors and contractors also implemented at yards and service centers.

- Constructors at various worksites have put into place proper distancing, working measures and PPE for the well-being of all staff.
- Updated protocols based on provincial regulations/guidelines for working on construction sites has been sent to Heavy Construction Association of the Region of Niagara to notify their members that they must adhere to these measures.
- IT equipment to assist with working from home has been provided where applicable.
- A number of Transportation Staff have already been trained and redeployed to assist other Departments where needed. In assisting with the redeployments to LTC, Staff manufactured personal screening barriers for screener positions at entry points of the homes as an additional safety measure.
- In meeting essential service levels throughout the pandemic, management continue to review staffing; in particular the redeployment numbers and will be phasing the return of Transportation staff throughout Q4. Key operations (i.e. Winter Operations) will require staff to be recalled for training and availability to meet legislated service level requirements in keeping Niagara's roads safe.

Operational Outlook

1 month

- Essential and critical project interpretation based on Provincial announcements will affect the delivery of projects and levels of service to residents of Niagara region. This continues to be under review. The Business Continuity Plan with Redeployment Strategy of staff for the Division will be administered accordingly.

3 months

- Essential and critical project interpretation based on Provincial announcements will affect the delivery of projects and levels of service to residents of Niagara region. This continues to be under review. The Business Continuity Plan with Redeployment Strategy of staff for the Division will be administered accordingly.

6 months

- Contractors have shared their concern that once non-essential work can recommence, there will be shortage within the trades due to demand. Contracts are continuing to be monitored by staff with regards to any shortages (supplies and trades) and updates will be highlighted.

Waste Management Services

Current Status of Operations

Restrictions to the curbside collection program and at the landfill sites/drop off depots have been lifted with minor restrictions still in place as noted below.

An online tool was successfully implemented in June to provide residents the ability to purchase garbage tags, CFC stickers and recycling and organic bins on line. Garbage tags and CFC stickers are mailed to the residents. For recycling and organic bins, payment is made on line and residents can pick up the bins at one of the Regional distributions centres. Some local municipalities have begun to sell or distribute recycling boxes and green bins, by appointment.

Strategic initiatives are continuing such as the MRF Opportunity Review, administration of new collection contracts and services levels, Strategy Plan, construction projects, and operational tenders.

Service/Operational Changes

Landfill Service Changes

Preferred methods of payment are debit and credit, using the tap option.

Limited the number of people on the drop-off pad.

Some /Green Bin Distribution Locations Remain Closed

For more information on [waste management services](https://www.niagararegion.ca/waste), visit <https://www.niagararegion.ca/waste>.

Community Events

Presentations, sites tours and special events recycling have been postponed until further notice. Requests for participation in 'modified' Santa Claus parade and staff will comply with Public Health protocols.

Significant Initiatives or Actions undertaken

- Screening signage, screening protocol and limited door access have been implemented at all facilities. Daily reports of staff well-being and screening are being provided to management for recording and documentation purposes.
- Screening protocol for all vendors and contractors has also been implemented at all facilities and sites.
- Staggering breaks and lunch to reduce amount of people taking breaks at one time at the Recycling Centre.
- Increased cleaning being completed at night and during the day (i.e. between lunch breaks and in high traffic areas).
- Installed plexi-glass between sorters on the processing line, and at the scale houses located at the landfill sites/drop off depots.
- Staff are travelling in separate vehicles to maintain physical distancing per health guidelines.

Operational Outlook

1 month

- Continue to work through transition of new collection contracts and service levels.
- RFP will be issued for the division's Long-term Strategic Plan.
- 2021 operational budgets to be finalized.
- Further work to be completed on draft Blue Box Final Regulations.

3 months

- Recommendations brought forth as a result of the NRFP MRF Opportunity Review.
- Award work for Strategic Plan

6 months

- Work to continue to on strategic initiatives.
- Preparation for the start of the new Humberstone contract.

Niagara Region Transit/Specialized Transit & GO Implementation

Current Status of Operations

As of November 23, 2020, every transit service in Niagara has reduced its onboard passenger capacity to 50% of the vehicle's seated capacity rating. For Niagara Region, this includes NRT, NST and NRT OnDemand. These capacity changes were agreed upon by the transit providers at the weekly IMTWG teleconference and align with Niagara's move to "Orange". This capacity reduction will likely remain in place if Niagara moves to "Red" and could possibly be reduced further.

Niagara Region Transit (NRT) is operating at a reduced level of service when compared to a typical September through December schedule. This is due to Brock University being 95% online, and Niagara College having significant enrollment reductions combined with many online programs and lower Niagara-based student residency:

- Express routes 40a, 40b, 45a, 45b, 60a, 65a were reinstated but only during morning and afternoon peak periods, 70a, 75a) effective March 23
- 7:00 a.m. - 11:00 p.m. operating hours effective Sept 7 (back up from 7:00 a.m. - 9:00 p.m. from May 4 to Sept 6)
- Hourly service (60 minutes) on most routes except 60 and 65 as those are typically well utilized student routes.

Niagara Specialized Transit (NST) continues operating at the normal level of service, except for trips whose origins or destinations are to/from a location with reported cases of COVID-19 are not being provided. Reducing hours of operation is not a necessity in this case as Niagara Region only pays for trips delivered, rather than an hourly rate. Overall, NST trip requests are significantly reduced, however NST continues to deliver all requested trips within the capacity available. Ridership has continued to show small signs of recovery but still sits at approximately 40-50% of typical usage.

NRT OnDemand service operates in Grimsby, Lincoln, Pelham, Wainfleet and West Lincoln from Monday to Saturday, 7 a.m. - 10 p.m. Now two months in, NRT OnDemand has continued to see significant growth despite challenges stemming from COVID-19.

Mandatory mask usage is required as per the Region's Face Covering By-law.

Service/Operational Changes

Despite the reduction of vehicle capacity, there is no need to return to rear door boarding as each vehicle has a partition separating the operator/driver from the passengers.

The "Rear door boarding" policy enacted on March 23 to temporarily limit driver contact and respect physical distancing has been lifted on July 2. Because Niagara's transit providers have installed plexi-glass bio-barriers across the entire fleet of vehicles to protect bus operators, even if COVID-19 numbers increase, there will not be a need to return to rear door boarding and thus fare collection will be maintained as well.

A lower than typical service level began on September 7, however staff elected to maintain an adequate amount of express service as the student demand from Niagara College was unclear.

Significant Initiatives or Actions undertaken

- All NRT, and NST fleet vehicles continue to be professionally cleaned/disinfected/sanitized well beyond regular protocols, and Aegis antimicrobial spray was applied to all interior surfaces. This work was completed by the local transit service providers as they manage and operate the NRT fleet as part of their own.
- Due to the low volume of trips, BTS has made every effort to deliver trips with only a single occupant in each vehicle, although this has not been formalized as a public policy.
- NRT OnDemand does not permit the use of the front passenger seat in order to maintain distance between the drivers and passengers.

Operational Outlook

1 month

- Staff will continue to monitor the COVID-19 numbers and categorization for Niagara. Service adjustments may be required as the situation worsens.
- NRT staff continue to review ridership data closely in order to determine appropriate levels of service.
- Staff continues to work with Brock University and the Brock University Student Union to maintain the U-Pass Program for the 2020-2021 academic year.

Niagara College terminated the U-Pass agreement in response to COVID-19 and thus students will be purchasing monthly passes in September.

3 months

- Schedules for January through April 2021 have already been set. Due to the extremely low ridership, the loss of the bulk U-Pass revenue (i.e from Niagara College) and increasing COVID-19 numbers, the service level has been significantly scaled back as of January.
- Possible further service adjustments based on ridership and in reaction to any provincial changes. Staff will continue to work with the IMTWG in reviewing the available data to ensure that adequate service is being provided while being mindful of the financial challenges faced by each municipality.
- The Niagara Transit Governance Study report will be complete by summer 2020. Introduction of the final report to LNTC with recommendation on a new governance model by the Project Team and study consultants will be done in consultation with the CAO Working Group and the LNTC Chair.

6 months

- The IMTWG will begin working towards the implementation of a new fare payment technology through the funding provided by the Investing in Canada Infrastructure Program (ICIP). Due to the complexity of the program, an implementation date in 2021 is most likely. Staff will continue to provide updates once a timeline has been established and at the major milestones.

As both the Province and Region move through the recovery process, staff at each of Niagara's transit providers will continue to collaborate in monitoring service levels, processes, and policies to ensure the safety of the residents and employees remain a priority and that decisions are made and communicated jointly wherever possible.

Respectfully submitted and signed by,

Bruce Zvaniga, P.Eng.
Commissioner of Public Works (Interim)

Other Pertinent Reports

CAO 10-2020, April 23, 2020 COVID-19 Response and Departmental Updates

PWC-C 13-2020, May 12, 2020 COVID-19 Response and Business Continuity in Public Works

PWC-C 20-2020, June 16, 2020 COVID-19 Response and Business Continuity in Public Works

PWC-C 24-2020, July 14, 2020 COVID-19 Response and Business Continuity in Public Works

PWC-C 27-2020, August 4, 2020 COVID-19 Response and Business Continuity in Public Works

PWC-C 33-2020, September 8, 2020 COVID-19 Response and Business Continuity in Public Works

PWC-C 37-2020, October 13, 2020 COVID-19 Response and Business Continuity in Public Works

PWC-C 41-2020, November 10, 2020 COVID-19 Response and Business Continuity in Public Works

Annual Water & Wastewater Quality Management Systems Update

Public Works Committee
PW 50-2020

December 8, 2020

Rachel Whyte, P.Eng. – W-WW Quality Management Specialist



Annual Water and Wastewater Quality Management Systems Update

(Report PW 50-2020)

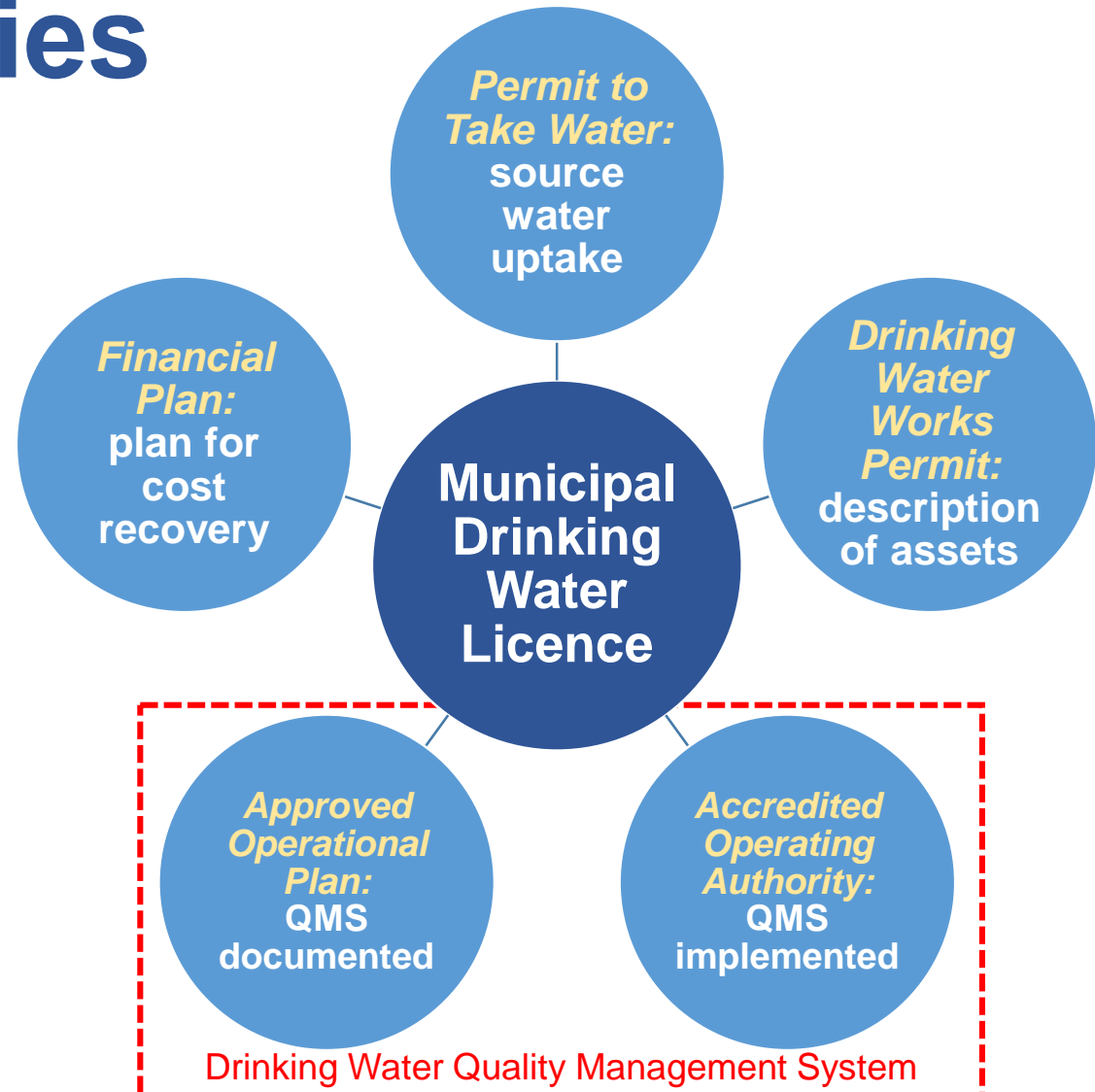
December 8, 2020

Rachel Whyte, P. Eng.
Water and Wastewater Quality Management Specialist

Water Quality Management System (Water QMS)

Water QMS Activities

- Approved QMS Operational Plan and QMS accreditation are required under the *Safe Drinking Water Act*
- Milestones required to maintain accreditation



Water QMS Internal Audit

- Completed March 2020
- Findings:
 - 10 non-conformances
 - 7 opportunities for continual improvement
 - 14 best practices for evaluation
- Corrective action plans identified by management and staff; implementation ongoing



Water QMS External Audit

- Audit completed May-July 2020
 - Off-site document review
 - On-site reaccreditation audits
- Findings:
 - 1 non-conformance (resolved)
 - 8 opportunities for continual improvement



Water Systems Risk Assessment

- Risk assessment reviews completed for all water systems
- Three high-scoring risks identified: to be addressed through capital projects and adjustments to operating practices
- Critical control points remain unchanged
- Reassessment due in 2021



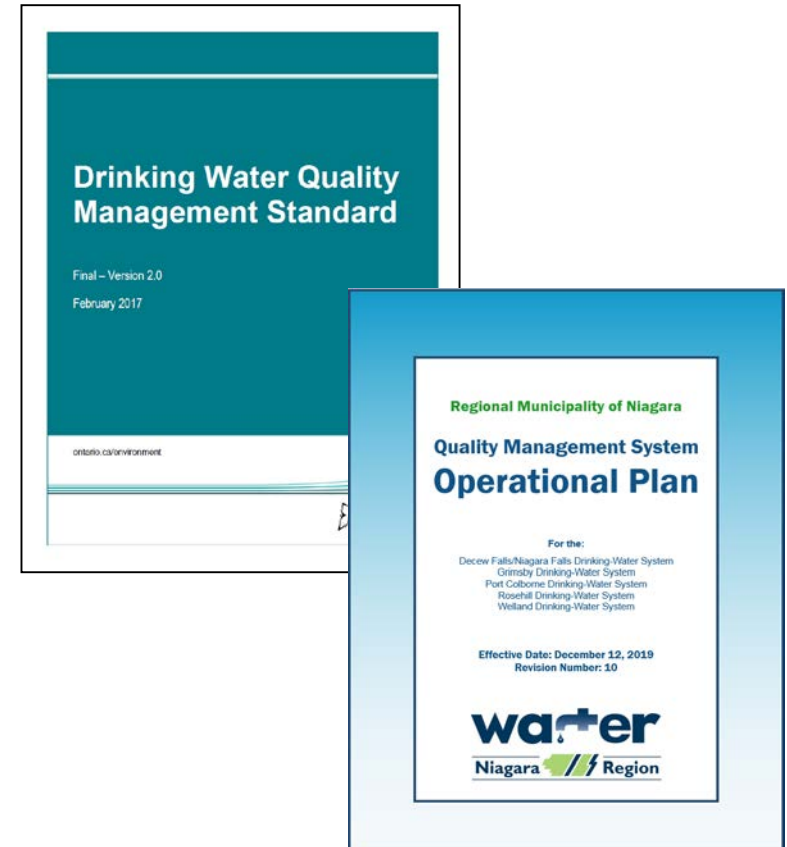
Water QMS Management Review

- Part 1 completed in May
- Part 2 anticipated in December
- Three action items issued since previous update; resolutions in progress



Changes Impacting Water QMS/ Operational Plan

- No anticipated changes impacting QMS
- Changes impacting Operational Plan:
 - Minor changes to organizational structure
 - Minor revisions to address opportunities for improvement identified through external audits



Wastewater Quality Management System (Wastewater QMS)

Wastewater QMS Internal Audit

- Completed November 2020
- Findings:
 - 9 non-conformances
 - 9 opportunities for continual improvement
- Corrective action plans identified by management and staff; implementation ongoing



Wastewater Systems Risk Assessment

- Risk assessment reviews completed in 2019 and 2020
 - 2019: 91 high-risk items
 - 2020: 86 high-risk items
- 58 high-scoring risks to be mitigated through capital improvements
- Next full re-assessment in 2021



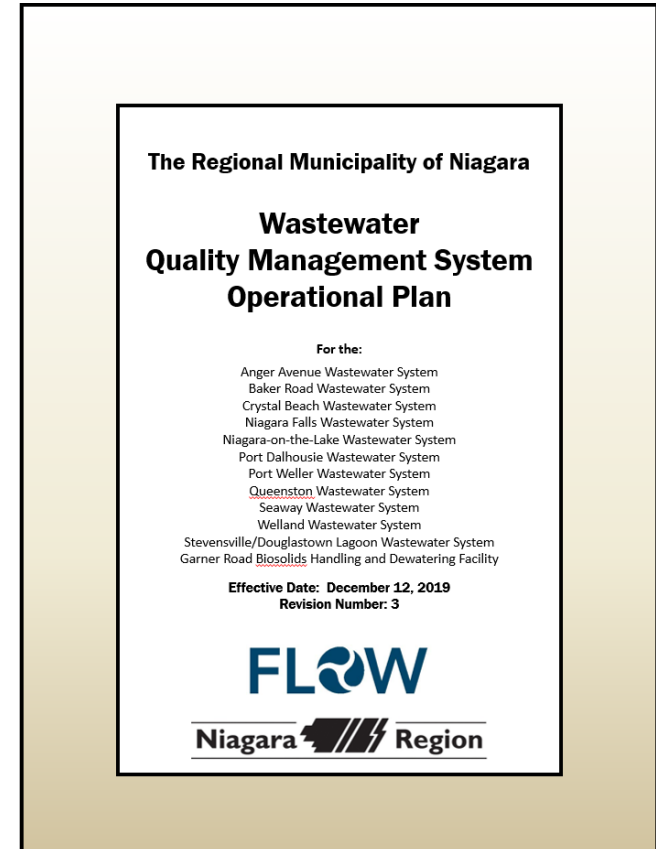
Wastewater QMS Management Review

- Part 1 completed in June;
Part 2 completed in November
- Four action items issued
since previous update;
resolutions complete or in progress



Changes Impacting Wastewater QMS/ Operational Plan

- Changes impacting QMS:
 - New standard in development
 - Adoption will be voluntary
- Changes impacting Operational Plan:
 - Minor changes to organizational structure
 - Minor revisions to address opportunities for improvement identified through external audits



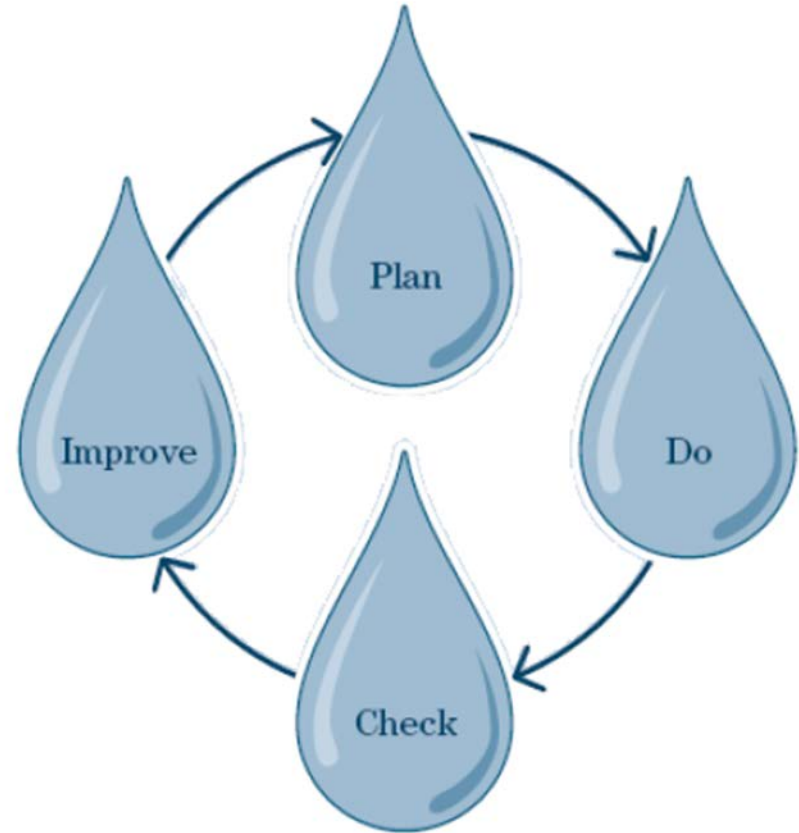
Questions

Rachel Whyte, P. Eng.

Water and Wastewater
Quality Management Specialist

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Subject: Annual Water and Wastewater Quality Management System Update

Report to: Public Works Committee

Report date: Tuesday, December 8, 2020

Recommendations

1. That Report PW 50-2020 **BE RECEIVED** for information as the Annual Water and Wastewater Quality Management System Update; and
2. That the 2020 Water QMS Internal Audit Report, 2020 Water QMS External Audit Report, and 2020 Wastewater QMS Internal Audit Report **BE RECEIVED** for information.

Key Facts

- The purpose of this report is to provide a summary outlining the main processes and work performed internally to support the Water-Wastewater Division's Water QMS and Wastewater QMS.
- The *Drinking Water Quality Management Standard* was created under the *Safe Drinking Water Act, 2002* and requires Drinking Water System Owners to implement and maintain an accredited Water QMS. Niagara Region has maintained accreditation of its Water QMS since 2009.
- Niagara Region is not legally mandated to implement a QMS for wastewater services, however, the division has elected to do so as a due diligence measure.
- The Water QMS and the Wastewater QMS Operational Plans were previously endorsed by Council on December 12, 2019 under PW 67-2019, Annual Water-Wastewater Quality Management System Update.
- Minor administrative changes have been made to the Water QMS and Wastewater QMS Operational Plans, and these have been submitted to the Commissioner of Public Works for approval on behalf of Council as per the delegated authority granted to the Commissioner under Report PW 109-2008.

Financial Considerations

A total of approximately \$32,500 (including non-recoverable HST) has been expended in quality management system program costs in 2020 to-date; these routine costs include annual maintenance and support fees for software used in support of the QMS, as well as consulting fees for an on-site, third-party accreditation audit of the Water

QMS. These costs were included in the 2020 approved operating budget for Water Operations. An additional estimated \$27,000 has been committed in 2020 for an upgrade to the Water-Wastewater Services Division's QMS software.

Expected expenses of \$30,000 have been included in the proposed 2021 operating budget; these expenses include consulting fees for an offsite third-party Water QMS audit and an annual QMS software maintenance and support fee.

Analysis

This annual update summarizes the outcomes of significant quality management activities that are conducted in support of the Water QMS and Wastewater QMS, as well as internal and/or external changes that may impact either QMS.

Water QMS

The *Safe Drinking Water Act, 2002* mandates the development, implementation, and accreditation of a drinking water quality management system as a condition of issuance of a municipal drinking water licence. Niagara Region holds five municipal drinking water licences, one for each of its drinking water systems; thus, we are legally required to maintain accreditation of our Water QMS.

Roles and Responsibilities – Water QMS

Key Water QMS roles are described in Table 1.

Table 1: Roles and Responsibilities – Water QMS

Role	Assignment
System Owner	Niagara Region (represented by Regional Council)
Operating Authority	Niagara Region (represented by staff of the Water and Wastewater Services Division)
Top Management	Commissioner of Public Works Director, Water and Wastewater Services Division Associate Director, Water Operations & Maintenance Associate Director, Water-Wastewater Engineering Associate Director, Water-Wastewater Integrated Systems Associate Director, Water-Wastewater Asset Management

Role	Assignment
QMS Representatives	Water-Wastewater Quality Management Specialist, reporting to Associate Director, Water Operations & Maintenance (<i>primary</i>) Water-Wastewater Quality Management Specialist, reporting to Manager, Wastewater Quality & Compliance (<i>backup</i>)

Owner Roles and Responsibilities – Water QMS

An owner endorsement of the Water QMS Operational Plan is a requirement of our Water QMS accreditation. The Water QMS Operational Plan was last endorsed by the current term of Regional Council on December 12, 2019 under PW 67-2019, 2019 Annual Water and Wastewater QMS Update.

As Owners of Niagara Region's drinking water systems, Regional Council has specific responsibilities as defined within the *Safe Drinking Water Act, 2002*. A significant one of these is the "Standard of Care" clause (section 19 of the *Act*); the clause requires Councillors to "exercise the level of care, diligence and skill in respect of a municipal drinking water system that a reasonably prudent person would be expected to exercise in a similar situation" and to "act honestly, competently and with integrity, with a view to ensuring the protection and safety of the users of the municipal drinking water system".

Internal Audits of the Water QMS

The Water QMS is subject to annual internal audits by water and wastewater staff. All internal auditors have completed applicable training led by a qualified and competent trainer. Through the audit process, internal auditors assess conformance of the division's Water QMS with Ontario's *Drinking Water Quality Management Standard* and with divisional policies and procedures.

Three processes were selected for internal auditing in 2020:

- Competencies and training;
- Top Management communication;
- Capital project implementation and hand-off.

The division's internal audits are more rigorous and thorough than the external audit process, and the number and detail of audit findings demonstrates this. The internal audit findings include 10 non-conformances, 7 potential non-conformances/

opportunities for improvement, and 14 best practices. These findings are detailed in the Water QMS Internal Audit Report (Appendix 1 to this report).

External Audits of the Water QMS

The Water QMS is also subject to external auditing by a third-party auditor as a means to achieve and maintain accreditation to the *Standard*. Accreditation of the Water QMS is a condition of the Region's Municipal Drinking Water Licences: without continued accreditation, these licences would be revoked.

A third-party auditor conducted an off-site document review in May 2020 to confirm that Water QMS documents satisfy all requirements of the Standard. No non-conformances were identified during this document review; five minor opportunities for improvement were recorded and are being addressed through updates to QMS documentation.

Following the document review, in July 2020, the third-party auditor conducted an on-site reaccreditation audit to confirm that the Water QMS adequately addresses the requirements of all 21 elements of the Standard. The Water QMS External Audit Reports (Appendix 2) provide details of the external auditor's findings. The auditor recommended that Niagara Region maintain its accreditation as a Drinking Water System Operating Authority, identifying one non-conformance and three opportunities for improvement to the QMS. The Water-Wastewater Services Division has resolved the identified non-conformance and is continuing to address the opportunities for improvement.

Water QMS Risk Assessment

An internal risk assessment is required every 36 months for each of Niagara Region's water systems, with complementary risk assessment reviews to be completed at 12 and 24 months between the assessments. The last full risk assessment for the Water QMS was completed in 2018, with reviews completed in 2019 and 2020.

The following high-scoring risks were identified during the 2020 review:

- *Failure of raw water intake (Rosehill Water Treatment Plant):* This was identified as a risk due to the age of the intake pipe, which was installed in 1960. The intake shows signs of age-related failure. An environmental assessment has been initiated to replace the intake, with plans to extend it further into Lake Erie.
- *Failure of filter backwash pumps (Rosehill Water Treatment Plant):* This was a temporary risk relating to the ongoing capital upgrade at the plant. The upgrade

included replacement of both of the plant's backwash pumps, and pumping redundancy was temporarily lost in order to complete each replacement. The new pumps are now in service, and it is expected that this risk score will be significantly reduced at the next risk assessment.

- *Function of sodium bisulphite systems (Decew Falls Water Treatment Plant and Grimsby Water Treatment Plant):* This was identified as a risk due to ongoing issues with the performance of the sodium bisulphite dosing systems at the two subject treatment plants. Sodium bisulphite is used to dechlorinate process waste streams before they are discharged to the environment. There is a potential for chlorinated water to be discharged to the environment if the dosing system fails; such an event could have environmental impacts in the receiving water body and/or compliance impacts for Niagara Region. It is important to note that the sodium bisulphite systems treat waste streams only; thus, they do not impact the safety of treated drinking water. Dechlorination processes were modified in Fall 2020 to allow for sodium bisulphite dosing based on laboratory testing; the new processes were implemented in late October, with review of results planned for late November.

The Region's "critical control points", representing critical process steps, remain unchanged following the 2020 risk assessment review. They include:

- Coagulant feed;
- Filter effluent turbidity;
- Disinfectant feed;
- Primary disinfection;
- Secondary disinfection.

Risks associated with these critical control points are all low-scoring, as they are well-controlled with existing preventive measures and monitoring/response procedures.

Water QMS Management Review

Water QMS Top Management and the QMS Representative meet twice per year to complete a QMS Management Review as required by the *Standard*. At these meetings, Top Management reviews the status of the QMS and identifies corrective actions and continual improvement opportunities to enhance the QMS and associated operations.

Part 1 of the 2020 Management Review was completed on May 28, 2020; Part 2 is scheduled to be completed on December 3, 2020.

Action items identified at the Management Review meetings are summarized in Table 2.

Table 2: Management Review Meetings and Results – Water QMS

Review Meeting	Date	Results
Part 1 – 2019	May 31, 2019	<i>Previously reported in 2019 QMS Update to PWC</i>
Part 2 – 2019	Dec. 2, 2019	Two new action items relating to: <ul style="list-style-type: none"> • Infrastructure review • Continual improvement
Part 1 – 2020	May 28, 2020	One new action item relating to: <ul style="list-style-type: none"> • Changes impacting QMS
Part 2 – 2019	Dec. 3, 2020	To be reported in 2021 QMS Update to PWC

Changes Impacting the Water QMS

No forthcoming changes have been identified that may impact the Water QMS.

Wastewater QMS

The Water-Wastewater Services Division has opted to develop and implement a Wastewater QMS as a due diligence exercise. The benefits of the Wastewater QMS are numerous and include documentation of policies and procedures, a formalized risk assessment program, incorporation of compliance requirements into standard operating procedures, and an audit program that promotes continual improvement of quality management practices.

Roles and Responsibilities – Wastewater QMS

Key wastewater QMS roles are described in Table 3.

Table 3: Roles and Responsibilities – Wastewater QMS

Role	Assignment
System Owner	Niagara Region (represented by Regional Council)
Operating Authority	Niagara Region (represented by staff of the Water and Wastewater Services Division)

Role	Assignment
Top Management	Commissioner of Public Works Director, Water and Wastewater Services Division Associate Director, Wastewater Operations & Maintenance Associate Director, Water-Wastewater Engineering Associate Director, Water-Wastewater Integrated Systems Associate Director, Water-Wastewater Asset Management
QMS Representatives	Water-Wastewater Quality Management Specialist, reporting to Manager, Wastewater Quality & Compliance (<i>primary</i>) Water-Wastewater Quality Management Specialist, reporting to Associate Director, Water Operations & Maintenance (<i>backup</i>)

Internal Audits of the Wastewater QMS

Like the Water QMS, annual internal audits of the Wastewater QMS are also undertaken by water and wastewater staff. All internal auditors have completed applicable training led by a qualified and competent trainer. Through the audit process, internal auditors assess conformance of the division's Water QMS with Ontario's *Drinking Water Quality Management Standard* (as modified to suit wastewater operations) and with divisional policies and procedures. As Niagara Region is not legally required to implement a Wastewater QMS, internal audits of the QMS are undertaken strictly as a best practice.

The approach to the Wastewater QMS internal audit was modified this year in response to the ongoing challenges posed by the COVID-19 pandemic. In an attempt to maintain physical distancing and limit treatment plant access to only the most essential of staff and visitors, the audit has been reduced in scope. It is being conducted as a remote desktop audit that examines a subset of the QMS elements and favours online meetings over in-person visits to treatment facilities. This approach respects the seriousness of COVID-19 while allowing the division to maintain conformance with the requirements of the Wastewater QMS.

The internal audit findings include 9 non-conformances and 9 opportunities for improvement. These findings are detailed in the Wastewater QMS Internal Audit Report (Appendix 3 to this report).

External Audits of the Wastewater QMS

There is no requirement for the Wastewater QMS to be audited and accredited by an external body. Therefore, no external audits are performed.

Wastewater QMS Risk Assessment

An internal risk assessment is completed every 36 months for each of Niagara Region's wastewater systems, with complementary risk assessment reviews to be completed at approximately 12 and 24 months between the assessments. The last full risk assessment for the Wastewater QMS was completed in fall 2018, with reviews initiated in November 2019 and September 2020.

91 high-risk items were identified during the 2019 review; this list was reduced to 86 high-risk items during the 2020 review. The significant number of high-scoring risks is reflective of the region's massive inventory of wastewater assets (12 treatment facilities, a bio-solids treatment facility, and 112 sewage pumping stations) and the critical need for infrastructure improvement in wastewater operations. 58 of the 86 high-scoring items from the 2020 risk assessment will be mitigated through ongoing or planned capital projects, further highlighting the need for capital improvements to wastewater system infrastructure.

Wastewater QMS Management Review

Wastewater QMS Top Management and the QMS Representative meet twice per year to complete a QMS Management Review as required by the Standard. At these meetings, Top Management reviews the status of the QMS and identifies corrective actions and continual improvement opportunities to enhance the QMS and associated operations.

Part 1 of the 2020 Management Review was completed on June 22, 2020; Part 2 is scheduled to be completed on November 12, 2020.

Action items identified at the Management Review meetings are summarized in Table 4 (next page).

Table 4: Management Review Meetings and Results – Wastewater QMS

Review Meeting	Date	Results
Part 1 – 2019	Mar. 27, 2019	<i>Previously reported in 2019 QMS Update to PWC</i>
Part 2 – 2019	Nov. 12, 2019	Four new action items relating to: <ul style="list-style-type: none"> • Infrastructure review (2) • Wastewater compliance (2)
Part 1 – 2020	Jun. 22, 2020	No new action items identified.
Part 2 – 2020	Nov. 12, 2020	<i>To be reported in 2020 QMS Update to PWC</i>

Changes Impacting the Wastewater QMS

The Ministry of the Environment, Conservation, and Parks (MECP) has indicated that a quality management standard will be developed for wastewater systems. Unlike the *Drinking Water Quality Management Standard*, conformance and accreditation to the Wastewater Management Standard will be voluntary. Development of the Wastewater Management Standard is industry-driven and is still in very early stages; as such, there is no forecasted date for its publication.

Governmental Partners

Drinking water system Operating Authority staff work closely with the MECP to ensure that comments and concerns related to current and future drafts of the Drinking Water Quality Management Standard have been considered. When changes are made to the Standard, they are incorporated into the Region's Water QMS and are also considered for incorporation into the Wastewater QMS as relevant and/or feasible.

Water and Wastewater Operating Authority staff meet quarterly with Area Municipal counterparts to share resources, experiences, and best practices pertaining to water and wastewater quality management and compliance.

Public and/or Service Users

The Water QMS Policy, Water QMS accreditation information, and Wastewater QMS Policy are available to the public and service users via the Niagara Region's external website.

The most current approved versions of Operational Plans are available upon request to a Water-Wastewater Quality Management Specialist (rachel.whyte@niagararegion.ca or michelle.max@niagararegion.ca).

Updates to the Water and Wastewater QMS Operational Plans

The Water QMS Operational Plan and Wastewater QMS Operational Plan were revised in late 2019 and were re-endorsed by Regional Council on December 12, 2019 under Report PW 67-2019, Drinking Water Compliance and Water-Wastewater Quality Management System Endorsement. Since that time, there have been administrative updates to both Operational Plans that capture minor changes to the division's organizational structure as well as recommendations for improvement received during the 2020 external accreditation audit of the Water QMS. These changes have been submitted to the Commissioner of Public Works for approval via delegated authority previously granted to the Commissioner under Report PW 109-2008.

Alternatives Reviewed

The Ministry of the Environment, Conservation, and Parks has appointed two accreditation bodies who are authorized to conduct external audits of Drinking Water Quality Management Systems under Part IV of the Safe Drinking Water Act, 2002. Niagara Region appointed QMI-SAI Global for Water QMS accreditation services in 2013. QMI-SAI continues to act as the Region's external auditor for the Water QMS.

Relationship to Council Strategic Priorities

Niagara Region's Water and Wastewater Quality Management Systems, and associated audit processes, relate directly to Council's Strategic Priority 4.1 of committing to "high quality, efficient and coordinated core services". The Water QMS and Wastewater QMS are used to drive continual improvement within the Water and Wastewater Services Division; they increase accountability by defining clear roles and responsibilities for divisional staff, and they increase data accessibility through documented standard operating procedures and associated record-keeping practices.

The Water QMS and Wastewater QMS also relate to Council's Strategic Priority 4.2 of committing to "enhanced communication". The continued accreditation of the Region's Water QMS, and the due diligence established through the Region's Wastewater QMS, provide residents with assurance that their drinking water is safe and that the associated systems are competently managed.

Other Pertinent Reports

- PWA 109-2008, DWQMS Update (October 29, 2008).
- PW 67-2019, 2019 Annual Water and Wastewater Quality Management System Update (December 3, 2019).

Prepared by:

Rachel Whyte, P.Eng.
W-WW Quality Management Specialist
Public Works Department

Recommended by:

Bruce Zvaniga, P. Eng.
Commissioner of Public Works (Interim)
Public Works Department

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

This report was prepared in consultation with Michelle Max, B. Sc., C. Tech., W-WW Quality Management Specialist, and Pamela Hamilton, Program Financial Specialist. It was reviewed by Jason Oatley, B.Sc., C. Chem., Manager, Wastewater Quality and Compliance; John Brunet, Associate Director, Water Operations and Maintenance; Doug Johnson, Associate Director, Wastewater Operations and Maintenance; and Joe Tonellato, P. Eng., Director of Water & Wastewater Services.

Appendices

Appendix 1	Water QMS Internal Audit Report
Appendix 2	Water QMS External Audit Reports
Appendix 3	Wastewater QMS Internal Audit Report

INTERNAL AUDIT REPORT

Competencies and Training

Top Management Communication

Capital Project Implementation
and Hand-Off

General

Niagara Region All Drinking Water Systems Internal Audit

Operations
Top Management
Maintenance
QMS Representative
Support Staff

March 2 – 12, 2020

1.0 INTRODUCTION

1.1 Purpose

The 2020 internal audit was undertaken:

- To verify the continued conformance of the Water-Wastewater (W-WW) Division's Water QMS (Quality Management System) with the requirements of the DWQMS (Drinking Water Quality Management Standard) and the Water QMS Operational Plan; and
- To verify the effective implementation and maintenance of the Water QMS for all five of Niagara Region's drinking water systems.

Audits were completed between March 2nd and 12th, 2020; **an additional remote audit was conducted in June 2020**. Audits were conducted at four water treatment plants (WTPs), including the Niagara Falls WTP (Area 1), the Welland WTP (Area 2), and the DeCew Falls and Grimsby WTPs (Area 3). Internal audits were also conducted with members of Top Management and with staff of the W-WW Integrated Systems, W-WW Engineering, and W-WW Asset Management groups.

NOTE: This audit report was amended in July 2020 to capture an additional audit conducted for Element 8 – Risk Assessment Outcomes. The amendments are identified in red font throughout the report.

1.2 Scope

The 2020 internal audit was conducted as a process audit; in this type of audit, auditors examine the elements of the DWQMS as they relate to a selected process. The processes selected to be audited included:

- Competencies and training;
- Top Management communication;
- Capital project implementation and hand-off; and
- General elements not otherwise covered.

The following elements were examined as part of this internal audit:

- Element 1 – Quality Management System
- Element 2 – Quality Management Policy

- Element 4 – QMS Representative
- Element 5 – Documents and Records Control
- Element 6 – Drinking Water System
- **Element 8 – Risk Assessment Outcomes (audited June 2020)**
- 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 & Recording Equipment Calibration and Maintenance
- Element 20 – Management Review
- Element 21 – Continual Improvement

Elements 3 (Commitment and Endorsement), 7 (Risk Assessment), 18 (Emergency Management), and 19 (Internal Audits) were not audited during the 2020 internal audit. These elements will be included in future internal audits.

1.3 Selection of Internal Audit Team

Internal auditors for the 2020 audit were:

- **Area 1:** Dawn MacArthur, Rhonda McCabe
- **Area 2:** Rachel Whyte, Andrew Braham
- **Area 3:** Deanna Barrow, Michelle Max
- **General Elements:** Jen Croswell, Janet Rose, Rachel Whyte
- **Risk Assessment Outcomes:** Rachel Whyte

All internal auditors have completed Internal Auditor Training as required by the **Internal Audit Procedure** (QMS-WT-ALL-P-190, rev9, effective 3Feb2020).

1.4 Criteria and Methodology

Audit criteria included the following:

- **Internal Audit Procedure** (QMS-WT-ALL-P-190, rev9, effective 3Feb2020);
- **Niagara Region Water Operational Plan** (QMS-WT-ALL-MAN-010, rev9, effective 12Dec2019) and supporting procedures; and
- Internal audit training materials (various auditor training courses).

Audits were conducted by assigned auditors as noted in Section 1.3 of this report. Selected members of Top Management and other support staff were also interviewed by assigned auditors. An opening meeting was held at each of the audit interviews. Auditor checklists were completed and reviewed with the Lead Auditor. These checklists are not attached to this audit report, but are retained as per **Document & Records Control** (QMS-WT-ALL-P-050, rev8, effective 6Jan2020).

1.5 Summary of New Internal Audit Findings

Findings are categorized as follows and are summarized in Table 1 below.

- **Non-conformance:** A requirement of the Drinking Water Quality Management Standard or a documented Standard Operating Procedure is not being met. These findings require **corrective action**.
- **Potential non-conformance:** A non-conformance has not yet occurred, but a trend or pattern indicates that occurrence of a non-conformance is likely. These findings require **preventive action**.
- **Best practice for evaluation:** A best practice behaviour or opportunity for improvement is identified. These findings are brought forward to the appropriate level of management for review and consideration, and those requiring Top Management direction or input are reviewed at the annual Management Review.

Table 1: Summary of Internal Audit Findings – Number and Type

Element	NC	PNC	BP	Total
Document and Records Control (5)	4	1	1	6
Drinking Water System (6)			1	1
Risk Assessment Outcomes (8)	2		1	3
Org Structure, Roles, Responsibilities, and Authorities (9)		1		1
Competencies (10)	1	1	2	4
Communications (12)			2	2
Review and Provision of Infrastructure (14)	3	4	3	10
Infrastructure Maintenance, Rehab, and Renewal (15)			3	3
Continual Improvement (21)			1	1
Total	10	7	14	31

Details of all findings are provided in Table 2 (see Section 1.8 of this Audit Report).



1.6 Review of Previous Internal Audit Findings

No previous audit findings were reviewed during this internal audit, as much work was done in advance of the internal audits to address and close open corrective actions from the previous internal audit in 2019. These efforts were summarized in a memo to Public Works Committee ([PWC-C 8-2020, 10March2020](#)).

1.7 Review of Previous External Audit Findings

No findings were identified in the 2019 external audit.

Internal Audit Results

1.8 Summary of QMS Internal Audit Findings

Table 2 provides a summary of findings from the QMS Internal Audit. In reviewing Table 2, the following acronyms should be noted:

Acronym	Definition
C	Conformance
NC	Non-Conformance
PNC	Potential Non-Conformance
BP	Best Practice for Evaluation
N/A	Not applicable – did not audit this element

Table 2 is provided below.

Table 2: Summary of Findings – 2020 Internal Audit

Element #	Finding	DWQMS Standard Element	Number
1	C	QMS conforms to the requirements of this element.	
2	C	QMS conforms to the requirements of this element.	
3	N/A	<i>Not reviewed during this internal audit.</i>	
4	C	QMS conforms to the requirements of this element.	
5	NC	Document and Records Control (QMS-WT-ALL-P-050, rev8, 6Jan2020) specifies retention locations and times for key drinking water system records. The procedure does not include direction for retention of capital project records.	WTCAR-20-001
5	NC	The external-facing Niagara Region website contains a link to access the corporate Contractor Safety Program (C3-H17, 1Sep2013) . However, the internal corporate policy library includes an updated version of Contractor Safety Program (C-HS-001-002, 8Oct2019) that is not accessible to contractors.	WTCAR-20-002
5	NC	Section 5.5.3 of Document and Records Control (QMS-WT-ALL-P-050, rev8, 6Jan2020) specifies that “controlled printed documents that are obsolete are removed from use and replaced with the current printed version”. Auditors examined printed Emergency Response Plans at Welland WTP, Decew WTP, and Grimsby WTP, and a significant number of these binders were found to have obsolete copies of the Emergency Contact List (ERP-ALL-ALL-T-002, rev17, 21Feb2020) .	WTCAR-20-003

Element #	Finding	DWQMS Standard Element	Number
5	NC	Section 5.4.2 of Document and Records Control (QMS-WT-ALL-P-050, rev8, 6Jan2020) specifies that “the majority of QMS documents are typically reviewed every three years unless otherwise indicated in the document header”. No evidence was found to support this statement.	WTCAR-20-004
5	PNC	A directive was issued from the AD, Engineering to all Senior Project Managers and Project Managers to update the Project List on Vine at least once monthly. Many records in the Project List are missing key information (project numbers, contract numbers, etc.) and are not populated with current information. No formal procedure exists to document the use and maintenance of the Project List; at present, it is expected that Senior Project Managers remember to communicate this requirement to new Project Managers.	2020-001-Audit Internal
5	BP	All controlled procedures include a reference to Personal Protective Equipment (HS-ALL-ALL-P-029) ; however, the document link does not work. It may be beneficial to update Personal Protective Equipment (HS-ALL-ALL-P-029) in EtQ to render these links functional.	2020-002-Audit Internal
6	BP	The Operating Authority may wish to add process control narratives (PCNs) to the list of project deliverables identified in Approvals and Change Management for Infrastructure Changes in a Drinking Water System (rev5, 28Feb2020) . While PCNs are not explicitly required by legislation, in general, they help to satisfy the requirement to document drinking water system operation as required by Schedule B, Section 16, of the Municipal Drinking Water Licence. PCNs can also form part of each system’s QMS drinking water system description.	2020-003-Audit Internal
7	N/A	<i>Not reviewed during this internal audit.</i>	---

Element #	Finding	DWQMS Standard Element	Number
8	NC	<i>Drinking Water System Risk Assessment (QMS-WT-ALL-P-070, rev9, 5Feb2020)</i> specifies that risk action items/plans must be initiated for any risks with scores of 15 or greater. Risk action items/plans were not initiated in EtQ for high-scoring risks from the 2020 assessment reviews.	WTCAR-20-009
8	NC	<i>Tracking Critical Control Limit Deviations (OP-WT-ALL-P-028, rev2, 24Oct2019)</i> specifies requirements for logging details of CCL alarms in SCADA. The SCADA log for the high turbidity alarm at Filter 5300 on 31Oct2019 does not include any comments.	WTCAR-20-010
8	BP	<i>CCP - Filter Effluent Turbidity (OP-WT-ALL-P-008, rev8, 21Apr2020)</i> does not include a reference to <i>Tracking Critical Control Limit Deviations (OP-WT-ALL-P-028, rev2, 24Oct2019)</i> . This reference should be included in order to create a linkage between the two processes.	2020-021-Audit Internal
9	PNC	There is an opportunity to establish a process for notifying key stakeholders when new positions are created within the Division so that key documents (e.g., Operational Plan, Competencies Table, etc.) and key systems (e.g., myLearning, EtQ, etc.) can be updated. As an example, the new Project Coordinator position is not listed in the Operational Plan or the Competencies Table.	2020-004-Audit Internal
10	NC	<i>“MOECC Operator Certificate/Licence Renewal Monitoring and Notification” (ADM-WWW-ALL-P-001, rev6, 2Aug2017)</i> does not reflect current practice. The use of automated PeopleSoft reminders/flags is not captured in the procedure.	WTCAR-20-005

Element #	Finding	DWQMS Standard Element	Number
10	PNC	Review and Revision of Water Operations Manuals (rev0, 11Jun2019) was created to define responsibilities and processes for water operations manuals. The Engineering auditee was not aware of this procedure.	2020-005-Audit Internal
10	BP	There is an opportunity to reference “MOECC Operator Certificate/Licence Renewal Monitoring and Notification” (ADM-WWW-ALL-P-001, rev6, 2Aug2017) in “Competencies” (QMS-WT-ALL-P-100, rev6, 19Sep2016) to ensure that the critical certificate renewal process is captured within the competencies program documentation.	2020-006-Audit Internal
10	BP	It is recommended that key conference dates (i.e., SCOWWA, OWWA, WEAO) be considered when scheduling training courses for staff.	2020-007-Audit Internal
11	C	QMS conforms to the requirements of this element.	---
12	BP	Consider formalizing the administration and use of ThinkTank in a controlled procedure. Procedure to include details of how suggestions are received and routed to the appropriate subject matter expert, how suggestions are evaluated, and how responses are posted.	2020-008-Audit Internal
12	BP	It may be beneficial to expand the scope of information shared via the Project List on Vine. At present, there is no common location for project files (e.g., RFP, design drawings, etc.) that project stakeholders can access easily. These documents are stored in engineering project folders, and there may be risk in directing stakeholders to these directories. The Engineering group may wish to consider adding additional fields to the Project List pages to include links to the RFP, design drawings, commissioning plans, etc.	2020-009-Audit Internal
13	C	QMS conforms to the requirements of this element.	---



Element #	Finding	DWQMS Standard Element	Number
14	NC	<p>Approvals and Change Management for Infrastructure Changes in a Drinking Water System (rev5, 28Feb2020) specifies the following due dates for deliverables:</p> <ul style="list-style-type: none"> - Relevant Operations Manuals must be updated within 6 months of placing infrastructure in service; - New asset information must be uploaded to EAM upon the in-service date; - As-built drawings and record drawings must be provided within 12 months of the in-service date. <p>Upgrades to the Kent Avenue Reservoir were completed in August 2018.</p> <ul style="list-style-type: none"> - The corresponding Operations Manual section (Niagara Falls WTP - E.30 - Storage & Transmission - Off-Site Storage, OP-WT-NF-MAN-E.30, rev3, 26Sep2017) has not been updated to reflect the changes in operation. - The project contractor provided X28 asset information to Group EAM, but this information was not uploaded accordingly. - As-built drawings for the project are available electronically in DMD, but are not available in print at the Niagara Falls WTP. 	WTCAR-20-006

Element #	Finding	DWQMS Standard Element	Number
14	NC	<i>Approvals and Change Management for Infrastructure Changes in a Drinking Water System (rev5, 28Feb2020)</i> specifies that new asset information must be uploaded to EAM upon the in-service date. The King Street Elevated Tank decommissioning is complete and the project is in warranty phase, however, there were 11 assets remaining in EAM for this project. Additionally, the procedure focuses on addition of new assets, but equally important is the removal of existing assets that are no longer installed. It may be beneficial to modify the wording of the subject procedure to reflect this.	<u>WTCAR-20-007</u>
14	NC	Contractor specifications for Section 3.1 of the <i>Water Treatment Filter Media</i> contract document (GAC replacement) states that "the Engineer/Owner will collect GAC samples and provide these to the suppliers for performance testing". One of these samples was due to be collected at Decew Falls WTP in late 2019. No evidence was provided to indicate that this sample was collected and submitted to the supplier.	<u>WTCAR-20-008</u>

Element #	Finding	DWQMS Standard Element	Number
14	PNC	<p>There is an opportunity to clarify responsibilities for staff training in capital projects, specifically, whether these responsibilities fall to the consultant or the contractor. Auditors reviewed the <i>W-WW RFP Template (ENG-PM-ALL-F-003, rev9, 14Nov2019)</i> outlining consultant deliverables and the <i>Niagara Peninsula Standard Contract Document – Front-End Template (ENG-STD-ALL-F-001, rev12, 24Jan2020)</i> outlining contractor deliverables and did not find evidence that responsibilities for staff training on new infrastructure are clearly assigned in either document.</p> <p>Additionally, there is an opportunity to clarify responsibilities for the development of preventive maintenance schedules in <i>W-WW RFP Template (ENG-PM-ALL-F-003, rev9, 14Nov2019)</i> and/or <i>Niagara Peninsula Standard Contract Document – Front-End Template (ENG-STD-ALL-F-001, rev12, 24Jan2020)</i>. There are compliance implications if maintenance activities and calibrations that are required by regulation are not scheduled appropriately in EAM and completed on time in the field.</p>	2020-010-Audit Internal
14	PNC	<p><i>“Approvals and Change Management for Infrastructure Changes in a Drinking Water System” (rev5, 28Feb2020)</i> outlines processes for identifying the types of regulatory approvals required for a project. These approval requirements are established at the beginning of a project. As a project progresses, any changes in scope may impact the project’s approval requirements. There is a potential for non-compliance issues if projects are not re-evaluated when scopes change. It may be beneficial for the Operating Authority to establish a process for this.</p>	2020-011-Audit Internal

Element #	Finding	DWQMS Standard Element	Number
14	PNC	The 10-Year Capital Forecast is updated annually and provides an overview of planned capital works. In an ideal year, every project that is planned for the year is initiated on schedule; however, it happens often that planned projects are bumped or delayed. The auditors found evidence that new projects in a current year are sometimes initiated before the deferred ones from previous years are initiated.	2020-012-Audit Internal
14	PNC	The auditors found a memo on the Vine Divisional Memorandum Search page titled Clarification on Repair Responsibilities – Doors, Locks, Fence and Security Systems (MEMO-180419) . The memo divides labour for maintenance and renewal of security infrastructure. It may be beneficial to formalize the contents of this memo in a controlled procedure.	2020-013-Audit Internal
14	BP	There is an opportunity for Engineering Project Managers to communicate capital project timelines more clearly and consistently, and in a format that all stakeholders can access.	2020-014-Audit Internal
14	BP	There is an opportunity to more clearly define ownership and assignment of PIRs and identify who is following up on open requests.	2020-015-Audit Internal

Element #	Finding	DWQMS Standard Element	Number
14	BP	It may be beneficial to examine current expectations for upload of asset information as phases of capital projects are completed. At present, the expectation is that asset information be uploaded to EAM upon the in-service date of the full project; this often means that all asset data is provided at once at the end of a project. In reality, some assets are brought online as the project progresses, and these assets may come due for preventive maintenance/calibration before the project is complete. However, this work cannot be planned and scheduled in EAM if the assets have not been added.	2020-016-Audit Internal
15	BP	It may be beneficial to develop a documented procedure (or procedures) that outlines the key steps in project implementation and delivery, including but not limited to: <ul style="list-style-type: none"> - Responsibilities and process for RFP and tender development; - Communication requirements over the course of the project; - Typical project milestones, including situations where Operations may require deliverables in advance of legislated due dates; - Development of preventive maintenance schedules for new assets, including roles and responsibilities, requirements, timelines, and submission requirements; - Roles, responsibilities, training, and other activities involved in handing over completed projects to Water Operations, and any forms and templates that may be required. 	2020-017-Audit Internal



Element #	Finding	DWQMS Standard Element	Number
15	BP	It may be beneficial to require Engineering Project Managers to provide capital project contractors with a list of current assets in the area of the planned capital work so that they can identify, with more certainty, the assets that are removed during construction.	2020-018-Audit Internal
15	BP	It may be beneficial to include GAC as an asset in EAM so that relevant specifications, lifecycle history, and other information can be properly tracked.	2020-019-Audit Internal
16	C	QMS conforms to the requirements of this element.	---
17	C	QMS conforms to the requirements of this element.	---
18	N/A	<i>Not reviewed during this internal audit.</i>	---
19	N/A	<i>Not reviewed during this internal audit.</i>	---
20	C	QMS conforms to the requirements of this element.	---
21	BP	There is an opportunity to define a process for communicating the outcomes of non-conformances, potential non-conformances, and opportunities for improvement to staff, and to apply this process consistently.	2020-020-Audit Internal

Prepared by: Rachel Whyte

Date: July 16, 2020 (rev1)

Audit Report

Systems Audit for

The Regional Municipality of Niagara

1631650-02

Audited Address:

3501 Schmon Parkway, Thorold, Ontario, CAN, L2V 4T7

Start Date: May 27, 2020 End Date: May 29, 2020

Type of audit - System

Issue Date: May 29, 2020

Revision Level: Final

BACKGROUND INFORMATION

SAI Global conducted an audit of The Regional Municipality of Niagara beginning on May 27, 2020 and ending on May 29, 2020 to DRINKING WATER QUALITY MANAGEMENT STANDARD VERSION 2 - 2017.

The purpose of this audit report is to summarise the degree of compliance with relevant criteria, as defined on the cover page of this report, based on the evidence obtained during the audit of your organization. This audit report considers your organization's policies, objectives, and continual improvement processes. Comments may include how suitable the objectives selected by your organization appear to be in regard to maintaining customer satisfaction levels and providing other benefits with respect to policy and other external and internal needs. We may also comment regarding the measurable progress you have made in reaching these targets for improvement.

SAI Global audits are carried out within the requirements of SAI Global procedures that also reflect the requirements and guidance provided in the international standards relating to audit practice such as ISO/IEC 17021-1, ISO 19011 and other normative criteria. SAI Global Auditors are assigned to audits according to industry, standard or technical competencies appropriate to the organization being audited. Details of such experience and competency are maintained in our records.

In addition to the information contained in this audit report, SAI Global maintains files for each client. These files contain details of organization size and personnel as well as evidence collected during preliminary and subsequent audit activities (Documentation Review and Scope) relevant to the application for initial and continuing certification of your organization.

Please take care to advise us of any change that may affect the application/certification or may assist us to keep your contact information up to date, as required by SAI Global Terms and Conditions.

This report has been prepared by SAI Global Limited (SAI Global) in respect of a Client's application for assessment by SAI Global. The purpose of the report is to comment upon evidence of the Client's compliance with the standards or other criteria specified. The content of this report applies only to matters, which were evident to SAI Global at the time of the audit, based on sampling of evidence provided and within the audit scope. SAI Global does not warrant or otherwise comment upon the suitability of the contents of the report or the certificate for any particular purpose or use. SAI Global accepts no liability whatsoever for consequences to, or actions taken by, third parties as a result of or in reliance upon information contained in this report or certificate.

Please note that this report is subject to independent review and approval. Should changes to the outcomes of this report be necessary as a result of the review, a revised report will be issued and will supersede this report.

Standard:	DRINKING WATER QUALITY MANAGEMENT STANDARD VERSION 2 - 2017		
Scope of Certification:	Full Scope - Treatment and Distribution System		
Drinking Water System Owner:	Regional Municipality of Niagara		
Operating Authority:	Regional Municipality of Niagara		
Population Services:	400,000		
Activities:	Treatment Distribution Decew Falls / Niagara Falls Drinking Water System, Municipal Drinking Water Licence # 007-102, Issue 5 Grimsby Drinking Water System, Municipal Drinking Water Licence # 007-105, Issue 3		
Drinking Water Systems	Port Colborne Drinking Water System, Municipal Drinking Water Licence # 007-101, Issue 3 Welland Drinking Water System; Municipal Drinking Water Licence # 007-104, Issue 3 Rosehill Drinking Water System, Municipal Drinking Water Licence # 007-103, Issue 5		
Total audit duration:	Person(s): 1	Day(s): 2.25	
Audit Team Member(s):	Team Leader Marco Brunato		

Definitions and action required with respect to audit findings

Major Non-conformance:

Based on objective evidence, the absence of, or a significant failure to implement and/or maintain conformance to requirements of the applicable standard. Such issues may raise significant doubt as to the capability of the management system to achieve its intended outputs (i.e. the absence of or failure to implement a complete Management System clause of the standard); or

A situation which would on the basis of available objective evidence, raise significant doubt as to the capability of the Management System to achieve the stated policy and objectives of the customer.

NOTE: The "applicable Standard" is the Standard which SAI Global are issuing certification against, and may be a Product Standard, a management system Standard, a food safety Standard or another set of documented criteria.

Action required: This category of findings requires SAI Global to issue a formal NCR; to receive and approve client's proposed correction and corrective action plans; and formally verify the effective implementation of planned activities. Correction and corrective action plan should be submitted to SAI Global prior to commencement of follow-up activities as required. Follow-up action by SAI Global must 'close out' the NCR or reduce it to a lesser category **within 90 days for initial certification and within 60 days for surveillance or re-certification audits, from the last day of the audit.**

If significant risk issues (e.g. safety, environmental, food safety, product legality/quality, etc.) are detected during an audit these shall be reported immediately to the Client and more immediate or instant correction shall be requested. If this is not agreed and cannot be resolved to the satisfaction of SAI Global, immediate suspension shall be recommended.

In the case of initial certification, failure to close out NCR within the time limits means that the Certification Audit may be repeated.

If significant risk issues (e.g. safety, environmental, food safety, product legality/quality, etc.) are detected during an audit these shall be reported immediately to the Client and more immediate or instant correction shall be requested. If this is not agreed and cannot be resolved to the satisfaction of SAI Global, immediate suspension shall be recommended.

In the case of an already certified client, failure to close out NCR within the time limits means that suspension proceedings may be instituted by SAI Global.

Follow-up activities incur additional charges.

Minor Non-conformance:

Represents either a management system weakness or minor issue that could lead to a major nonconformance if not addressed. Each minor NC should be considered for potential improvement and to further investigate any system weaknesses for possible inclusion in the corrective action program

Action required: This category of findings requires SAI Global to issue a formal NCR; to receive and approve client's proposed correction and corrective action plans; and formally verify the effective implementation of planned activities at the next scheduled audit.

Opportunity for Improvement:

A documented statement, which may identify areas for improvement however shall not make specific recommendation(s).

Action required: Client may develop and implement solutions in order to add value to operations and management systems. SAI Global is not required to follow-up on this category of audit finding.

Audit Type and Purpose - Systems Audit:

A desktop audit of the operational plan for the subject systems to assess whether the documented QMS meets the PLAN requirements of the DWQMS V2.

Audit Objectives

The objective of the audit was to determine whether the drinking water Quality Management System (QMS) of the subject system conforms to the requirements of the Ontario Ministry of the Environment & Climate Change (MOECC) Drinking Water Quality Management Standard (DWQMS V2).

The audit was also intended to gather the information necessary for SAI Global to assess whether accreditation can continue or be offered to the operating authority.

Audit Scope

The operational plan and processes associated with the operating authority's QMS were objectively evaluated to determine a) whether the quality management activities and related results conform with the DWQMS V2 PLAN requirements.

Audit Criteria:

- The Drinking Water Quality Management Standard Version 2
- Current QMS manuals, procedures and records implemented by the Operating Authority
- SAI Global Accreditation Program Handbook

Confidentiality and Documentation Requirements

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

As part of the SAI Global Terms, it is necessary for you to notify SAI Global of any changes to your Quality Management System that you believe are significant enough to risk non-conformity with DWQMS V2: For more information, please refer to the SAI Global Accreditation Program Handbook.

Review of any changes

There have been no noted changes to the system.

EXECUTIVE OVERVIEW

The objective of this System audit (Stage 1) was to review the management system and processes, confirm the scope for certification, and determine the organization's preparedness for the onsite verification audit (Stage 2). In addition, it allowed for the review of the adequacy of the SAI Global audit program and resources for the audit including confirming and preparing the draft audit plan.

The results of this System (Stage 1) audit indicate that the organization is now ready for an onsite accreditation (Stage 2) audit.

Recommendation

Based on the results of this audit it has been determined that the management system is effectively implemented and maintained and meets the PLAN requirements of the standard relative to the scope of certification identified in this report; a recommendation for continued certification will be submitted to SAI Global review team pending the outcome of the onsite verification audit.

Opportunities for Improvement:

The following opportunities for improvement have been identified for the identified clauses;

- 3 - Consider clarifying the role of the CAO as an Owner representative endorsing the Operational Plan
- 3 - Consider referencing section 9 to identifying/specifying the top management by position title.
- 9 - Consider defining the roles, responsibility and authority of the ORO and an OIT (Operator in Training) if such a role exists or is being planned.
- 10 - Consider expanding the definition of Competency beyond knowledge from (training) requirements defined in the table to also included education, experience and/or skills (as might be defined in position descriptions or job postings)
- 10 - Consider documenting the process by which initial and ongoing competency is assessed.
- 16 - Consider including within the scope of each procedure a clarification regarding relevant sampling, testing or monitoring activities, that may or may not take place, upstream of the subject system (that is before water enters the DWS).
- 18 - Consider reviewing the 5-year frequency to assess if the frequency may be too long between changes of people, processes, equipment, hazards and the frequency of actual events.

It is suggested that the opportunities for improvement be considered by management to further enhance the Operating Authority's Quality Management System and performance.

Management System Documentation

The management systems operational plan Rev 10 was reviewed and found to be in conformance with the PLAN requirements of the standard.

Management Review

The procedure for management review was found to meet the PLAN requirements of the standard.

Internal Audits

The procedure for Internal audits was found ensure conformance to PLAN arrangements, the requirements of the standard and the established management system.

Corrective, Preventive Action & Continual Improvement Processes

The procedure for implementing an effective process for the continual improvement of the management system through the appropriate management of corrective and preventive actions and management reviews was found to meet the PLAN requirement of the standard.

Summary of Findings

1. Quality Management System	Conforms
2. Quality Management System Policy	Conforms
3. Commitment and Endorsement	Conforms/OFI
4. Quality Management System Representative	Conforms
5. Document and Records Control	Conforms
6. Drinking-Water System	Conforms/****
7. Risk Assessment	Conforms
8. Risk Assessment Outcomes	Conforms
9. Organizational Structure, Roles, Responsibilities and Authorities	Conforms/OFI/****
10. Competencies	Conforms/OFI
11. Personnel Coverage	Conforms
12. Communications	Conforms
13. Essential Supplies and Services	Conforms
14. Review and Provision of Infrastructure	Conforms
15. Infrastructure Maintenance, Rehabilitation & Renewal	Conforms
16. Sampling, Testing and Monitoring	Conforms
17. Measurement & Recording Equipment Calibration and Maintenance	Conforms/****
18. Emergency Management	Conforms/OFI
19. Internal Audits	Conforms
20. Management Review	Conforms
21. Continual Improvement	Conforms
Major NCR #	Major non-conformity. The auditor has determined one of the following: (a) a required element of the DWQMS has not been incorporated into a QMS; (b) a systemic problem with a QMS is evidenced by two or more minor non-conformities; or (c) a minor non-conformity identified with a corrective action request has not been remedied.
Minor NCR #	Minor non-conformity. In the opinion of the auditor, part of a required element of the DWQMS has not been incorporated satisfactorily into a QMS.
OFI	Opportunity for improvement. Conforms to requirement, but there is an opportunity for improvement.
Conforms	Conforms to requirement.
NANC	Not applicable/Not Covered during this audit.
****	Additional comment added by auditor in the body of the report.

PART D. Audit Observations, Findings and Comments

DWQMS Reference:	1 Quality Management System
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 dated Dec 12, 2019
Details: <i>The operational plan details all requirements of the standard</i>	

DWQMS Reference:	2 Quality Management System Policy
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 2
Details: <i>The policy is outlined in its commitments to W-A-T-E-R and addresses all required commitments. The W-A-T-E-R poster is a format that communicates to OA personnel, the Owner and the Public.</i>	

DWQMS Reference:	3 Commitment and Endorsement
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 3
<p>Details: <i>Owner Representatives of Niagara Regional Council; The Regional Chair and Regional Clerk endorse the Operational plan through direct sign off the Operational Plan in Section 3. Operating Authority top management representatives sign off via the Commitment and Endorsement Memorandum.</i></p> <p><i>Per Section 9 Top Management includes the</i></p> <ul style="list-style-type: none"> • <i>Commissioner of Public Works</i> • <i>Director of Water and Wastewater</i> • <i>Associate Director, Water Operations, Maintenance, and Staff Development</i> <p>OFI - Consider clarifying the role of the CAO as an owner representative endorsing the Operational Plan</p> <p>OFI – Consider referencing section 9 to identifying/specifying the top management by position title.</p>	

DWQMS Reference:	4 Quality Management System Representative
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 4 & Section 9
<p>Details: <i>Top Management has appointed the Water-Wastewater Quality Management Specialist (reporting to the Manager, Quality & Compliance – Water) as the QMS Representative for Niagara Region's drinking water systems. The representatives' responsibilities with respect to the DWQMS are defined in Section 4. The role is also reflected in Section 9 of the operational plan</i></p>	

DWQMS Reference:	5 Document and Record Control
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 5 Procedure - Document and Records Control (QMS-WT-ALL-P-050) Rev 8
<p>Details: <i>Section 5 of the Operational plan references the procedure which provides full details of the document and records control.</i></p> <p><i>Table 1 of the Procedure identifies "other documents" required in support of the DWQMS i.e. Records Retention Bylaw, Niagara Region Purchasing Bylaw, External Sampling testing & Monitoring Reference documents</i></p> <p><i>The Operational Plan includes hyperlinks to references procedures, appendices, tables and forms.</i></p> <p><i>The EtQ database is used to track document reviews and approvals.</i></p> <p><i>Read only documents are available via the Niagara Region Employee Portal VINE and the SOP & Controlled Document Search page.</i></p> <p><i>The procedure also references the Corporate Records Retention By-Law and Schedule. In addition, information outlined in Table 2 of the procedure identifies records relevant to the DWQMS in electronic or printed format, record owner, storage and retention.</i></p>	

DWQMS Reference:	6 Drinking Water System
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 6 Decew Falls DWS QMS-WT-DN-P-060 Rev 7 Grimsby DWS QMS-WT-GR-P-060 Rev 4 Port Colborne DWS QMS-WT-PC-P-060 Rev 5 Rosehill DWS QMS-WT-RH-P-060 Rev 9 Welland DWS QMS-WT-WE-P-060 Rev 7
<p>Details:</p> <p><u>DECEW Falls DWS includes the following described assets:</u></p> <ul style="list-style-type: none"> • Decew Falls Water Treatment Plant (source Lake Erie & Lake Gibson) • Niagara Falls Water Treatment Plant (source Lake Erie, Niagara River via Welland River/Chippewa Creek) • Lundy's Lane Tower (Elevated Tank) • Brock Street (Brock High Lift) Booster Pumping Station • Glendale Pumping Station & Glendale Meter Chamber • Kent Avenue Reservoir & Booster Pumping Station • Vineland Booster Pumping Station • Fifth Avenue Reservoir & Re-Chlorination Station • Montrose Road Re-Chlorination Station • Line 2 Re-Chlorination Station • Niagara-On-The-Lake Analyzer Station • Carlton Street Reservoir (not in service) • Port Robinson Re-Chlorination Station • St. David's Re-Chlorination Station, St. David's Standpipe • Stanley Avenue Re-Chlorination Station • Thorold South Elevated Tank (Zone 3) • Virgil Elevated Tank • Zone 2 Standpipe (St. Catharine's) <p>Source water characteristics are reflected in table 1 and 2. Table 3 describes common event driven fluctuation. Water treatment process include pre-chlorination, coagulation, flocculation and sedimentation, filtration (activated carbon and silica sand) & UV disinfection, Primary disinfection – chlorination; Secondary disinfection – chlorination in the distribution system. Table 4 identifies distribution systems connected and the Owner/Operating authorities.</p> <p>Process Schematic QMS-WT-DN-V-060 Rev 3</p> <p><u>Grimsby DWS assets include:</u></p> <ul style="list-style-type: none"> • Grimsby Water Treatment Plant (source Lake Ontario) • Hixon Street Reservoir • Lincoln / Grimsby Booster Pumping Station • Park Road Reservoir & Booster Pumping Station • Smithville Elevated Tank, Reservoir & Booster Pumping Station <p>Source water characteristics are reflected in table 1 Table 2 describes common event driven fluctuation. Water treatment process include pre-chlorination, coagulation, flocculation and sedimentation, filtration (activated carbon and silica sand) & UV disinfection, Primary disinfection – chlorination; Secondary disinfection – chlorination in the distribution system. Table 3 identifies distribution systems connected and the Owner/Operating authorities.</p> <p>Process Schematic QMS-WT-GR-V-060 Rev 3</p> <p><u>Port Colborne DWS assets include:</u></p> <ul style="list-style-type: none"> • Port Colborne Water Treatment Plant (source Lake Erie) • Fielden Avenue Reservoir & Pumping Station; • Barrick Road Elevated Tank; <p>Source water characteristics are reflected in table 1 Table 2 describes common event driven fluctuation. Water treatment process include pre-chlorination, coagulation, flocculation and sedimentation, filtration (activated carbon and silica sand) & UV disinfection, Primary disinfection – chlorination; Secondary disinfection – chlorination in the distribution system. Table 3 identifies distribution systems connected and the Owner/Operating authority (City of Port Colbourne/Distribution System).</p> <p>Process Schematic QMS-WT-PC-V-060 Rev 4</p> <p><u>Rosehill DWS assets include:</u></p> <ul style="list-style-type: none"> • Rosehill Water Treatment Plant; (Source Lake Erie) • Central Avenue Elevated Tank; • Erie Road Re-Chlorination Station; • Ridgeway Standpipe; • Stevensville Reservoir & Pumping Station. <p>Source water characteristics are reflected in table 1 (Comment: table 1 is duplicate in section 5.2.2 and 5.2.3) Table 2 describes common event driven fluctuation. Water treatment process include pre-chlorination, coagulation, flocculation and sedimentation, filtration (activated carbon and silica sand) & UV disinfection, Primary disinfection – chlorination; Secondary disinfection – chlorination in the distribution system.</p>	

Table 3 identifies distribution systems connected and the Owner/Operating authority (Town of Fort Erie/Fort Erie Distribution)

Process Schematic QMS-WT-RH-V-060 Rev 5

Welland DWS assets include:

- Welland Water Treatment Plant; (source Lake Erie)
- Bemis Park Elevated Tank;
- Pelham Elevated Tank;
- Shoalts Drive Reservoir and Pumping Station;

Source water characteristics are reflected in table 1 (**Comment: table 1 is duplicate in section 5.2.2 and 5.2.3**)

Table 2 describes common event driven fluctuation.

Water treatment process include pre-chlorination, coagulation, flocculation and sedimentation, filtration (activated carbon and silica sand) & UV disinfection, Primary disinfection – chlorination; Secondary disinfection – chlorination in the distribution system.

Table 3 identifies distribution systems connected and the Owner/Operating authorities.

Process Schematic QMS-WT-WE-V-060 Rev 6

Comment: There appears to be no specific mention of lake turnover as seasonal or event driven fluctuations in except for the Rosehill DWS description in Table 2.

DWQMS Reference:	7 Risk Assessment
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 7 Procedure - Drinking Water System Risk Assessment (QMS-WT-ALL-P-070) Rev 9
<p>Details: The procedure outlines the risk assessment method and criteria. Risk assessment outcome are documented in Risk Assessment Outcomes Table (QMS-WT-ALL-T-080) and stored in the EtQ portal.</p> <p>Risk assessment is completed annually.</p> <p>Risk Assessment Review Form - Water (QMS-WT-ALL-F-070 Rev 0) is used to update the completed Risk Assessment Outcomes Table with changes as applicable. A rank of >15 denotes the need for action.</p> <p>Appendix A of the procedure defines the risk assessment scoring criteria;</p> <p>Table A1 Likelihood (1-5; 1=Rare, 5=Very Likely);</p> <p>Table A2 Severity impact water quality (1-5; 1=Insignificant, 5=Catastrophic);</p> <p>Table A3 Severity impact on system capacity (1-5; 1=Insignificant, 5=Catastrophic);</p> <p>Table A4 Severity impact on compliance (1-5; 1=Insignificant, 5=Catastrophic);</p> <p>Table A5 Severity impact on the environment (1-5; 1=Insignificant, 5=Catastrophic);</p> <p>Table A6 Severity impact financial (1-5; 1=Insignificant, 5=Catastrophic);</p> <p>Table A4 Severity impact on reputation (1-5; 1=Insignificant, 5=Catastrophic);</p>	

DWQMS Reference:	8 Risk Assessment Outcomes
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 8
<p>Details:</p> <p>Risk Outcomes Table QMS-WT-ALL-T-080 Rev 4</p> <p>CCPs for Niagara Region's drinking water systems are identified as:</p> <ul style="list-style-type: none"> • CCP: Coagulant (Aluminum Sulphate) Feed (OP-WT-ALL-P-006) • CCP: Secondary Disinfection (Distribution Chlorine) (OP-WT-ALL-P-007) • CCP: Filter Effluent Turbidity (OP-WT-ALL-P-008) • CCP: Primary Disinfectant (Sodium Hypochlorite) Feed (OP-WT-ALL-P-009) • CCP: Verification of Primary Disinfection (OP-WT-ALL-P-010) 	

DWQMS Reference:	9 Organizational Structure, Roles, Responsibility and Authorities
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section
<p>Details: Roles, responsibilities and authorities are defined in table 3. The organizational chart Figure 2 identifies the interrelationship of the various roles and lines of reporting.</p> <p>Comment: The reverse of the statement actually seems to be true for Figure 2 and table 3 "Positions that are greyed in Table 3 are have been deemed to not directly impact drinking water quality."</p> <p>OFI: Consider defining the roles, responsibility and authority of the ORO and an OIT (Operator in Training) if such a role exists or is being planned.</p> <p>Roles and responsibilities in an emergency are delegated/reflected by title. They are documented in section 4 of ERP-ALL-ALL-P-001.</p>	

DWQMS Reference:	10 Competencies
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 10 Procedure – Competencies QMS-WT-ALL-P-100 Rev 7
Details: Competencies have been documented in the Competency table QMS-ALL-ALL-T-100 Rev 8 <i>OFl – Consider expanding the definition of Competency beyond knowledge from (training) requirements defined in the table to included education, experience and/or skills (as might be defined in position descriptions or job postings)</i> <i>OFl - Consider documenting the process by which initial and ongoing competency is assessed.</i>	

DWQMS Reference:	11 Personnel Coverage
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 11 Procedure - Personnel Coverage QMSWT-ALL-P-110 Rev 8
Details: Coverage of Water Operations Staff, the Manager-on-call and ORO and OIC, Water Maintenance and Technical Trades is defined. Details for schedules are reflected in the Manager-On-Call Schedule. On Call schedule change process is defined per the On-Call Scheduling procedure ADM-ALL-ALL-P-005.	

DWQMS Reference:	12 Communications
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 12 & 3.3 Procedure - Communications QMS-WT-ALL-P-120 Rev 6
Details: Procedure defines communications between top management and <ul style="list-style-type: none"> • Council (Owner) • Operating Authority Personnel • Suppliers • Area Municipalities • General Public • External Agencies <p>Communication from Top Management to the Owner is conducted through an annual report to Council that summarizes: Operational Plan updates, Internal Audit results, Management Review results.</p> <p>Communications from the Owner to Top Management occur via Public Works Committee meetings.</p> <p>Communications with Suppliers occurs via Niagara Region's Corporate Services Department and the W-WW Contract Administrators to ensure that tendered essential suppliers receive relevant information.</p> <p>Water Servicing Memoranda of Understanding with each are municipality defines the communication expectations between the region and municipality.</p> <p>Communication with the Public occurs via the external newsletter GreenScene and the DWQMS link in the Regions Website. The "Contact us" link on the public website also provides an avenue for public communications with Top management,</p>	

DWQMS Reference:	13 Essential Supplies and Services
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 13 Procedure - Essential Supplies and Services QMS-WTALL-P-130 Rev 9
Details: Procedure references the Essential Supplies and Services page on Vine. Chemical, laboratory and calibration services are included. Sections 5.2, 5.3, 5.4 and 5.5. define the means for ensuring requirements are met. <p>For chemical suppliers the procedure Bulk Chemical Deliveries OP-ALL-ALL-P-001 defines supplier requirements</p> <p>Contract requirements for essential supplies and/or services can be found referenced in the applicable Request for Tender or Request for Quotation from Niagara Region's Purchasing Services. The Purchasing By-Law defines purchasing policies and procedures for Niagara Region.</p> <p>Essential Supplies and Services associated with capital expenses are described in Water-Wastewater Project Design Manual (ENG-PM-ALL-MAN-001).</p>	

DWQMS Reference:	14 Review and Provision of Infrastructure
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 14 Procedure - Review, Rehabilitation, and Renewal of Infrastructure QMS-WT-ALL-P-140 Rev 9
<p>Details: Procedure outlines a process for the annual review of drinking water system infrastructure to ensure its continued adequacy. It details how capital-funded drinking-water infrastructure rehabilitation and renewal projects are initiated, approved and communicated to the Owner.</p> <p>Various means for review include</p> <ul style="list-style-type: none"> • W-WW working group staff meetings (Operations, Maintenance, Quality & Compliance, Engineering, Capital Planning, others) • DLT Meetings • Condition Assessment Studies • Master Servicing Plan (identifies short and long-term infrastructure needs) • Detailed Servicing Studies (can be from lower tier municipalities) • Risk Assessment workshops and reviews • MOECC inspections • Process studies • Observations made during regular system operation <p>Project Initiation Request is used to identify a potential infrastructure need. Annual Capital validation Process defined and reflected in Figure 1 process overview.</p>	

DWQMS Reference:	15 Infrastructure Maintenance, Rehabilitation and Renewal
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 15 Procedure - Maintenance QMS-WT-ALL-P-150 Rev 5
<p>Details:</p> <p>The procedure defines planned and unplanned maintenance requirements per Figure 1. Table 1 defines maintenance service by team. The use of the Operations Work Request Process MTCE-WT-ALL-P-002 is used when staff recognize need for non-emergency work. Area Managers are responsible for development of Preventive maintenance Schedules. Work orders are generated weekly. Procedure for unplanned maintenance and maintenance after hours have been established. i.e. Procedure - Maintenance After-Hours Call-In Process - Water (OP-WT-ALL-V-001)</p>	

DWQMS Reference:	16 Sampling, Testing and Monitoring
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 16 Procedure -Sampling, Testing and Monitoring QMS-WT-ALL-P-160 Rev 5
<p>Details:</p> <p>Details for Sampling, Testing and Monitoring Activities in each DWS are reflected the following procedures;</p> <ul style="list-style-type: none"> • Rosehill WTP QMS-WT-RH-T-160 Rev 6 • Niagara Falls QMS-WT-NF-T-160 Rev 6 • Welland QMS-WT-RH-T-160 Rev 7 • Port Colborne QMS-WT-PC-T-160 Rev 7 • Grimsby QMS-WT-GR-T-160 Rev 6 • DeCew Falls QMS-WT-DF-T-160 Rev6 <p>The tables within each of the listed procedures includes a column for challenging conditions.</p> <p>OFI: Consider including within the scope of each procedure a clarification regarding relevant sampling, testing or monitoring activities that may or may not take place upstream of the subject system (that is before water enters the DWS).</p> <p>Sample are collected by and analysed by a certified Water Operator according to the procedures. The Operator records internal testing results on the Plant Log Sheet. Which are reviewed at least once every 72 hours.</p> <p>Key process parameters for each drinking water system are continuously monitored using a SCADA system.</p> <p>External testing includes analyses that are performed by an external, Ministry-licenced drinking-water laboratory as defined in the above noted procedures. External testing covers Microbiological, Chemical, Radiological and Inorganic Parameters as defined in the referenced regulations.</p>	

DWQMS Reference:	17 Measurement and Recording Equipment Calibration and Maintenance
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 17 Procedure - Measurement and Recording Equipment Calibration and Maintenance QMS-WT-ALL-P-170 Rev 6
<p>Details:</p> <p><i>The procedure defines calibration and maintenance programs for instrumentation and equipment used in Niagara Region's drinking water systems. Additional calibration and verification activities are referenced in Table 1 for handheld and benchtop chlorine analyzers and turbidity meters.</i></p> <p><i>Table 2 provides maintenance/calibration requirements for verification or calibration (reference vs confirmation vs calibration).</i></p> <p><i>Table 3 defines functional uses of equipment (information vs control vs regulatory)</i></p> <p><i>The EAM PM Schedule controls and hold calibration and verification records of measuring equipment.</i></p> <p><i>In house Instrumentation Technicians are responsible for completion of online instrumentation calibrations and verifications</i></p> <p>Comment: What are the competency requirements for in house Instrumentation Technicians – see OFI under Clause 10 above</p>	

DWQMS Reference:	18 Emergency Management
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 18 Water and Wastewater Emergency Response Plan ERP-ALL-ALL-P-001 Rev 7
<p>Details:</p> <p><i>Section 2 of the ER Procedure lists the procedure in response to the listed specified potential emergency situations</i></p> <p><i>Section 3 describes the communication tree per figure 1. In addition, the Emergency Response Contact List (ERP-ALL-ALL-T-002) is also included as part of the ERP Manual. And exists as a separate document.</i></p> <p><i>The Emergency & Debrief Reporting Form (ERP-ALL-ALL-F-001) is used to capture debriefing notes following an emergency event. Details of the debriefing process are outlined in procedure Post-Event Debriefing (ADM-ALL-ALL-P-009).</i></p> <p><i>Section 6 documents requirements for training which included both orientation sessions and ERP documentation reviews via e-learning and table top workshops.</i></p> <p><i>Section 7 documents the requirements for testing (table top of full scale)</i></p> <p><i>The procedure documents that drills are held at least every five years and that real emergencies may be used to evaluate and revise emergency response.</i></p> <p>OFI – Consider reviewing the 5-year frequency to assess if the frequency may be too long between changes of people, processes, equipment, hazards and the frequency of actual events.</p> <p><i>Niagara Region's Water-Wastewater Services Division has signed a Mutual Aid & Assistance Agreement with OnWARN of which participation requirements are detailed in procedure OnWARN Emergency Response Assistance (OP-ALL-ALL-P-002).</i></p> <p><i>Other documentation in support of this element include</i></p> <ul style="list-style-type: none"> • Various checklist for spills, contamination within a treatment plant or system, source water quality compromise, inability to meet water demand, adverse water quality results and sewage spills • Evacuation procedures • Watermain shutdown and repair • Watermain breaks • Adverse water quality results handling • Emergency lab services for non-bacteriological sampling • Source water protection zone maps • Sewage spill clean up 	

DWQMS Reference:	19 Internal Audits
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 19 Procedure Internal Auditing QMS-WT-ALL-P-190 Rev 9
<p>Details:</p> <p><i>The procedure documents the criteria (Section 1), scope (Section 5.2) and frequency of internal audits (Section 5.3) ; that all 21 elements are assessed at least every 3 calendar years and that each DWS facility is audited at least every 2 calendar years. Records keeping is defined in section 5.6 reporting and references the Document and Records Control procedure QMS-WT-ALL-P-050.</i></p> <p><i>Section 5.4.3 refers to the review of results of previous audits in preparation for the audit.</i></p> <p><i>Section 5.6.3 defines the use of the Corrective Action procedure QMS-WT-ALL-P-210 for identification and initiation of corrective actions.</i></p>	

DWQMS Reference:	20 Management Review
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 20 Procedure - Management Review QMS-WT-ALL-P-200 Rev 7
Details: <i>The procedure specifies a management review once per calendar by means of a Q2 and a Q4 meeting with all requirements discussed over course of the 2 meetings. In section 5.3.1, the procedure defines the specific items to be discussed in each of the respective meetings. All required inputs have been specified.</i>	

DWQMS Reference:	21 Continual Improvement
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 21 Procedure - Corrective Action, Preventive Action, and Best Practices QMS-WT-ALL-P-210 Rev 8
Details: <i>EtQ is the Management system software tool used to track and monitor corrective and preventive actions. EtQ is also used record the root cause analysis.</i> <i>Best Practices are also part of the procedure. The procedure specifies that at least once every 36 months the QMS representative will review best practices published by the MECF.</i> <i>The procedure describes activities for handling both corrective actions and preventive actions. Handling of best practices and preventive action are addressed in Section 5.4 of the procedure with Figure 2 providing an overview of the process</i>	

This report was prepared by:



Marco Brunato
SAI Global Management Systems Auditor

The audit report is distributed as follows:

- SAI Global
- Operating Authority
- Owner
- MOECC

Notes

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

Audit Report

Re Accreditation Audit for

The Regional Municipality of Niagara

1631650-02

Audited Address: 3501 Schmon Parkway, Thorold, Ontario, CAN,
L2V 4T7

Start Date: Jul 06, 2020 End Date: Jul 10, 2020

Type of audit – Re-accreditation Verification Audit

Issue Date: July 24, 2020

Revision Level:

BACKGROUND INFORMATION

SAI Global conducted an audit of The Regional Municipality of Niagara beginning on Jul 06, 2020 and ending on Jul 10, 2020 to DRINKING WATER QUALITY MANAGEMENT STANDARD VERSION 2 - 2017.

The purpose of this audit report is to summarise the degree of compliance with relevant criteria, as defined on the cover page of this report, based on the evidence obtained during the audit of your organization. This audit report considers your organization's policies, objectives, and continual improvement processes. Comments may include how suitable the objectives selected by your organization appear to be in regard to maintaining customer satisfaction levels and providing other benefits with respect to policy and other external and internal needs. We may also comment regarding the measurable progress you have made in reaching these targets for improvement.

SAI Global audits are carried out within the requirements of SAI Global procedures that also reflect the requirements and guidance provided in the international standards relating to audit practice such as ISO/IEC 17021-1, ISO 19011 and other normative criteria. SAI Global Auditors are assigned to audits according to industry, standard or technical competencies appropriate to the organization being audited. Details of such experience and competency are maintained in our records.

In addition to the information contained in this audit report, SAI Global maintains files for each client. These files contain details of organization size and personnel as well as evidence collected during preliminary and subsequent audit activities (Documentation Review and Scope) relevant to the application for initial and continuing certification of your organization.

Please take care to advise us of any change that may affect the application/certification or may assist us to keep your contact information up to date, as required by SAI Global Terms and Conditions.

This report has been prepared by SAI Global Limited (SAI Global) in respect of a Client's application for assessment by SAI Global. The purpose of the report is to comment upon evidence of the Client's compliance with the standards or other criteria specified. The content of this report applies only to matters, which were evident to SAI Global at the time of the audit, based on sampling of evidence provided and within the audit scope. SAI Global does not warrant or otherwise comment upon the suitability of the contents of the report or the certificate for any particular purpose or use. SAI Global accepts no liability whatsoever for consequences to, or actions taken by, third parties as a result of or in reliance upon information contained in this report or certificate.

Please note that this report is subject to independent review and approval. Should changes to the outcomes of this report be necessary as a result of the review, a revised report will be issued and will supersede this report.

Standard:	DRINKING WATER QUALITY MANAGEMENT STANDARD VERSION 2 - 2017		
Scope of Certification:	Treatment and Distribution System		
Drinking Water System Owner:	Regional Municipality of Niagara		
Operating Authority:	Regional Municipality of Niagara		
Population Services:	400,000		
Activities:	Treatment Distribution		
Drinking Water Systems	Decew Falls / Niagara Falls Drinking Water System, Municipal Drinking Water Licence # 007-102, Issue 5		
	Grimsby Drinking Water System, Municipal Drinking Water Licence # 007-105, Issue 3		
	Port Colborne Drinking Water System, Municipal Drinking Water Licence # 007-101, Issue 3		
	Welland Drinking Water System; Municipal Drinking Water Licence # 007-104, Issue 3		
	Rosehill Drinking Water System, Municipal Drinking Water Licence # 007-103, Issue 5		
Total audit duration:	Person(s): 1	Day(s): 4.50	
Audit Team Member(s):	Team Leader	Marco Brunato	

Definitions and action required with respect to audit findings

Major Non-conformance:

Based on objective evidence, the absence of, or a significant failure to implement and/or maintain conformance to requirements of the applicable standard. Such issues may raise significant doubt as to the capability of the management system to achieve its intended outputs (i.e. the absence of or failure to implement a complete Management System clause of the standard); or

A situation which would on the basis of available objective evidence, raise significant doubt as to the capability of the Management System to achieve the stated policy and objectives of the customer.

NOTE: The "applicable Standard" is the Standard which SAI Global are issuing certification against, and may be a Product Standard, a management system Standard, a food safety Standard or another set of documented criteria.

Action required: This category of findings requires SAI Global to issue a formal NCR; to receive and approve client's proposed correction and corrective action plans; and formally verify the effective implementation of planned activities. Correction and corrective action plan should be submitted to SAI Global prior to commencement of follow-up activities as required. Follow-up action by SAI Global must 'close out' the NCR or reduce it to a lesser category **within 90 days for initial certification and within 60 days for surveillance or re-certification audits, from the last day of the audit.**

If significant risk issues (e.g. safety, environmental, food safety, product legality/quality, etc.) are detected during an audit these shall be reported immediately to the Client and more immediate or instant correction shall be requested. If this is not agreed and cannot be resolved to the satisfaction of SAI Global, immediate suspension shall be recommended.

In the case of initial certification, failure to close out NCR within the time limits means that the Certification Audit may be repeated.

If significant risk issues (e.g. safety, environmental, food safety, product legality/quality, etc.) are detected during an audit these shall be reported immediately to the Client and more immediate or instant correction shall be requested. If this is not agreed and cannot be resolved to the satisfaction of SAI Global, immediate suspension shall be recommended.

In the case of an already certified client, failure to close out NCR within the time limits means that suspension proceedings may be instituted by SAI Global.

Follow-up activities incur additional charges.

Minor Non-conformance:

Represents either a management system weakness or minor issue that could lead to a major nonconformance if not addressed. Each minor NC should be considered for potential improvement and to further investigate any system weaknesses for possible inclusion in the corrective action program

Action required: This category of findings requires SAI Global to issue a formal NCR; to receive and approve client's proposed correction and corrective action plans; and formally verify the effective implementation of planned activities at the next scheduled audit.

Opportunity for Improvement:

A documented statement, which may identify areas for improvement however shall not make specific recommendation(s).

Action required: Client may develop and implement solutions in order to add value to operations and management systems. SAI Global is not required to follow-up on this category of audit finding.

Audit Type and Purpose

On-site Verification Audit:

An onsite audit to assess whether a QMS has been implemented for the subject system that meets the “DO” requirements of the DWQMS V2.

This audit was conducted remotely for part of the audit but on site for assessment of the conditions at the treatment plants per the audit plan.

Audit Objectives

The objective of the audit was to determine whether the drinking water Quality Management System (QMS) of the subject system conforms to the requirements of the Ontario Ministry of the Environment & Climate Change (MOECC) Drinking Water Quality Management Standard (DWQMS V2).

The audit was also intended to gather the information necessary for SAI Global to assess whether accreditation can continue or be offered or to the operating authority.

Audit Scope

The facilities and processes associated with the operating authority’s QMS were objectively evaluated to obtain audit evidence and to determine a) whether the quality management activities and related results conform with DWQMS V2 requirements, and b) if they have been effectively implemented and/or maintained.

Audit Criteria:

- The Drinking Water Quality Management Standard Version 2
- Current QMS manuals, procedures and records implemented by the Operating Authority
- SAI Global Accreditation Program Handbook

Confidentiality and Documentation Requirements

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

As part of the SAI Global Terms, it is necessary for you to notify SAI Global of any changes to your Quality Management System that you believe are significant enough to risk non-conformity with DWQMS V2: For more information, please refer to the SAI Global Accreditation Program Handbook.

Review of any changes

Changes to the Operating Authority since last audit include: No Changes

EXECUTIVE OVERVIEW

The results of this onsite verification audit (Stage 2) indicate that the management system does not fully meet the requirements of the standard based on the area(s) of non-conformance identified during the audit and as documented in the attached Non-conformance Report(s). As discussed during the closing meeting a recommendation for certification to the standard and to the scope of certification identified in this report is on hold pending the receipt, review and acceptance of the corrective action taken. For re-certification, failure to address the nonconformances within the 60-day timeframe may lead to suspension.

Nonconformance

Minor NCR 2020-01

- Element 17 Measurement & Recording Equipment Calibration and Maintenance

Opportunities for Improvement:

The following opportunities for improvement have been identified.

- 6 – Consider the addition of the map indicating the 3 operating areas with the associated assets for which the areas are responsible
- 17 – Consider recording the lot number referenced on decanted PH buffers used to calibrate PH meters/sensors.
- 18 - Consider addition of MetroLinx (GO) to Emergency contacts list considering the increased frequency of trips between Niagara Falls and Hamilton.

It is suggested that the opportunities for improvement be considered by management to further enhance the Operating Authority's Quality Management System and performance.

Management System Documentation

The management systems operational plan(s) was reviewed and found to be in conformance with the requirements of the standard.

Management Review

Records of the most recent management review meetings were verified and found to meet the requirements of the standard. All inputs were reflected in the records and appear suitably managed as reflected by resulting actions and decisions.

Internal Audits

Internal audits are being conducted at planned intervals to ensure conformance to planned arrangements, the requirements of the standard and the established management system.

Corrective, Preventive Action & Continual Improvement Processes

The Operating Authority is implementing an effective process for the continual improvement of the management system through the use of the quality policy, quality objectives, audit results, data analysis, the appropriate management of corrective and preventive actions and management review.

Summary of Findings

1. Quality Management System	Conforms
2. Quality Management System Policy	Conforms
3. Commitment and Endorsement	Conforms
4. Quality Management System Representative	Conforms
5. Document and Records Control	Conforms
6. Drinking-Water System	Conforms/OFI
7. Risk Assessment	Conforms
8. Risk Assessment Outcomes	Conforms
9. Organizational Structure, Roles, Responsibilities and Authorities	Conforms
10. Competencies	Conforms
11. Personnel Coverage	Conforms
12. Communications	Conforms
13. Essential Supplies and Services	Conforms
14. Review and Provision of Infrastructure	Conforms
15. Infrastructure Maintenance, Rehabilitation & Renewal	Conforms
16. Sampling, Testing and Monitoring	Conforms
17. Measurement & Recording Equipment Calibration and Maintenance	Minor NCR 2020-01 & OFI
18. Emergency Management	Conforms/OFI
19. Internal Audits	Conforms
20. Management Review	Conforms
21. Continual Improvement	Conforms
Major NCR #	Major non-conformity. The auditor has determined one of the following: (a) a required element of the DWQMS has not been incorporated into a QMS; (b) a systemic problem with a QMS is evidenced by two or more minor non-conformities; or (c) a minor non-conformity identified with a corrective action request has not been remedied.
Minor NCR #	Minor non-conformity. In the opinion of the auditor, part of a required element of the DWQMS has not been incorporated satisfactorily into a QMS.
OFI	Opportunity for improvement. Conforms to requirement, but there is an opportunity for improvement.
Conforms	Conforms to requirement.
NANC	Not applicable/Not Covered during this audit.
****	Additional comment added by auditor in the body of the report.

PART D. Audit Observations, Findings and Comments

DWQMS Reference:	1 Quality Management System
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 dated Dec 12, 2019
<p>Details: <i>The operational plan details all requirements of the standard. All systems in place all treatment plants; all plants follow similar sops and for the smaller treatments sites. Policies & procedures established in all locations – few procedures plant specific. Operational Plan Rev 10</i></p>	

DWQMS Reference:	2 Quality Management System Policy
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 2
<p>Details: <i>The policy is outlined in its commitments to W-A-T-E-R and addresses all required commitments. The W-A-T-E-R poster is a format that communicates to OA personnel, the Owner and the Public.</i></p> <p><i>Associate Director Water operations and maintenance John Brunet</i></p> <ul style="list-style-type: none"> - Constant updates - Ensure a dedicated resource for policy and procedure updates and understanding by the staff - New policies and engineering (contractors and capital projects) and asset management - Water succession; brain drain in last 5-10years; new young staff with high educational levels i.e. environmental studies - 12 municipal customers/partners and end users - Water quality high, - Still high capacity for growth - Compliance regulations – guides <p><i>Associate Water & Integration Systems – support group on water and ops, maintenance; specialized tech groups. H&S. Public outreach – campaigns - wastewater flushable; water festival; water wagon at large events (>500 people)</i></p> <p><i>Associate Asset Management Richard Pinder</i> <i>Director of Water and waste water services Joe – future development; few complaints; timing of new capital projects; Succession in stable.</i> <i>Communication with the owners; more spend on water services.</i> <i>Owners awareness of need to maintain infrastructure;</i> <i>Sustainability –</i> <i>Risk Assessment – Environmental hazards; GHG, Source protection.</i></p> <p><i>Associate Direct Engineering – deliver capital program; ensure budget and funding – meets compliance; asset increasing and budget about; local municipalities</i> <i>Virtual Water Festival – included a 4-day lesson plan</i></p>	

DWQMS Reference:	3 Commitment and Endorsement
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 3
<p>Details: <i>Owner Representatives of Niagara Regional Council; The Regional Chair and Regional Clerk endorse the Operational plan through direct sign off the Operational Plan in Section 3. Operating Authority top management representatives sign off via the Commitment and Endorsement Memorandum.</i></p> <p><i>Per Section 9 Top Management includes the</i></p> <ul style="list-style-type: none"> • Commissioner of Public Works • Director of Water and Wastewater • Associate Director, Water Operations, Maintenance, and Staff Development <p><i>Commitment & endorsement from the Regional Level and divisional level from the Water Services</i> <i>PW 19-2019 March 19, 2019 Request for Endorsement;</i> <i>Ownership; Regional Chair, PW Commissioner; carried by council March 19, 2019</i> <i>Per Memorandum submitted by R Whyte QMS Oct 11, 2019</i> <i>Top Management i.e. Rich Pinder Associate Director Asset management Oct 15, 2019</i></p>	

DWQMS Reference:	4 Quality Management System Representative
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 4 & Section 9
<p>Details: Top Management has appointed the Water-Wastewater Quality Management Specialist (reporting to the Manager, Quality & Compliance – Water) as the QMS Representative for Niagara Region’s drinking water systems. The representatives’ responsibilities with respect to the DWQMS are defined in Section 4. The role is also reflected in Section 9 of the operational plan</p> <p>WW QM Specialist responsible for the system maintenance Interface with all departments i.e. Integrated Systems; Asset Management Least connected with Engineering; interface needs to be managed by the WW Specialist Compliance awareness shared with water compliance specialist; Communications via training course “This is how we do it” mandatory compliance course Displayed Rev June 2019 Revised – look at the responsibilities of the various work groups; aligned the learning objectives Contractors and Consultants also receive awareness training of Quality & Compliance - completed Standard of Care for top Management, Ops Managers & Mtce Managers; once per council cycle and as required.</p>	

DWQMS Reference:	5 Document and Record Control
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 5 Procedure - Document and Records Control (QMS-WT-ALL-P-050) Rev 8
<p>Details: Vine portal demonstrated; Public services link is home page – Water Wastewater Services Division links EtQ login – to Reliance Link to SOP & Controlled Document Search (Pulls from EtQ) Emergency Response documents also linked as a main EtQ indicates the current approved and revision level</p> <p>QMS Records retained in EtQ records management module from the Portal link to Records Management; index identifies the disposition/retention dates; management review and internal audits also available and retained for up to 10 years</p> <p>Bylaw 63-2013 Region Niagara retention and destruction of records</p>	

DWQMS Reference:	6 Drinking Water System
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 6 Decew Falls DWS QMS-WT-DN-P-060 Rev 7 Grimsby DWS QMS-WT-GR-P-060 Rev 4 Port Colborne DWS QMS-WT-PC-P-060 Rev 5 Rosehill DWS QMS-WT-RH-P-060 Rev 9 Welland DWS QMS-WT-WE-P-060 Rev 7
<p>Details: Physical onsite observations were made of the assets located below. All sites are consistent with the drinking water description provided</p> <p><u>DECEW DWS assets observed included:</u></p> <ul style="list-style-type: none"> • Niagara Falls Water Treatment Plant (source Lake Erie, Niagara River via Welland River/Chippewa Creek) • Lundy’s Lane Tower (Elevated Tank) • Kent Avenue Reservoir & Booster Pumping Station • Stanley Avenue Re-Chlorination Station • Queenston Heights Pumping Station <p>Process Schematic QMS-WT-DN-V-060 Rev 3</p> <p><u>Grimsby DWS assets observed included:</u></p> <ul style="list-style-type: none"> • Grimsby Water Treatment Plant (source Lake Ontario) • Hixon Street Reservoir • Lincoln / Grimsby Booster Pumping Station <p>Process Schematic QMS-WT-GR-V-060 Rev 3</p> <p><u>Welland DWS assets observed included:</u></p> <ul style="list-style-type: none"> • Welland Water Treatment Plant; (source Lake Erie) • Bemis Park Elevated Tank; • Shoalts Drive Reservoir and Pumping Station; <p>Process Schematic QMS-WT-WE-V-060 Rev 6</p>	

DWQMS Reference:	7 Risk Assessment
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 7 Procedure - Drinking Water System Risk Assessment (QMS-WT-ALL-P-070) Rev 9
<p>Details: The procedure outlines the risk assessment method and criteria. Risk assessment outcome are documented in Risk Assessment Outcomes Table (QMS-WT-ALL-T-080) and stored in the EtQ portal.</p> <p>Risk assessment is completed annually.</p> <p>Risk Assessment Review Form - Water (QMS-WT-ALL-F-070 Rev 0) is used to update the completed Risk Assessment Outcomes Table with changes as applicable. A rank of >15 denotes the need for action.</p> <p>Appendix A of the procedure defines the risk assessment scoring criteria;</p> <p>Table A1 Likelihood (1-5; 1=Rare, 5=Very Likely);</p> <p>Table A2 Severity impact water quality (1-5; 1=Insignificant, 5=Catastrophic);</p> <p>Table A3 Severity impact on system capacity (1-5; 1=Insignificant, 5=Catastrophic);</p> <p>Table A4 Severity impact on compliance (1-5; 1=Insignificant, 5=Catastrophic);</p> <p>Table A5 Severity impact on the environment (1-5; 1=Insignificant, 5=Catastrophic);</p> <p>Table A6 Severity impact financial (1-5; 1=Insignificant, 5=Catastrophic);</p> <p>Table A4 Severity impact on reputation (1-5; 1=Insignificant, 5=Catastrophic);</p> <p>Risk assessment completed as per procedure.</p>	

DWQMS Reference:	8 Risk Assessment Outcomes
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 8
<p>Details:</p> <p>Risk Outcomes Table QMS-WT-ALL-T-080 Rev 4</p> <p>CCPs for Niagara Region's drinking water systems are identified as:</p> <ul style="list-style-type: none"> • CCP: Coagulant (Aluminum Sulphate) Feed (OP-WT-ALL-P-006) • CCP: Secondary Disinfection (Distribution Chlorine) (OP-WT-ALL-P-007) • CCP: Filter Effluent Turbidity (OP-WT-ALL-P-008) • CCP: Primary Disinfectant (Sodium Hypochlorite) Feed (OP-WT-ALL-P-009) • CCP: Verification of Primary Disinfection (OP-WT-ALL-P-010) <p>Discussions with the control room/SCADA operator confirmed alarms established per the critical control points. No incidents of alarm conditions were observed during the on-site audit of the treatment plants visited as identified in element 6 above</p>	

DWQMS Reference:	9 Organizational Structure, Roles, Responsibility and Authorities
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section
<p>Details: Roles, responsibilities and authorities are defined in table 3. The organizational chart Figure 2 identifies the interrelationship of the various roles and lines of reporting.</p> <p>Regional Council</p> <p>CAO – Owner representative</p> <p>Comm. of Public works</p> <p>Manager Water & Quality Compliance – position will not be filled</p> <p>WW specialist report directly to the AD Water Operations & Maintenance</p> <p>All ADs sit in the Environmental Centre (Schmon Parkway)</p> <p>Water Ops includes – 3 operating areas defined by</p> <p>3 Operations Manager and Maintenance Manager responsible for 3 plants each</p> <p>Area 1 NF & Rosehill</p> <p>Area 2 Welland & PC</p> <p>Area 3 Decew (3 plants on one site) & Grimsby</p>	

DWQMS Reference:	10 Competencies
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 10 Procedure – Competencies QMS-WT-ALL-P-100 Rev 7
<p>Details: Competencies have been documented in the Competency table QMS-ALL-ALL-T-100 Rev 8</p> <p>Interview with the Training Advisor</p> <p>Reg 128 – operators require set hours of training</p> <p>“Director approved” – reviewed by MECF and approved + on the job training</p> <p>150 hours, with up to 108 of those as “on the job”</p>	

*"On the Job hours" – i.e. organized class room, lunch and learned, commissioning training from project managers, tail gate talks.
i.e. Tail gate talks*

Learning Calendar Winder Spring 2020 issued 2x per year.

*Class 4 facilities – require for highest level for facility level
Approximately 175 certified water and Wastewater*

Peoplesoft notifies staff via email flags several times to notify the operator.

Learning calendar published.

Mandatory related to OHS requirements

1 course counted 1 once in the three year renewal

Quality & Compliance 101

Q & C in water Operations

Competencies for all staff confirmed during the audit

i.e. Grimsby Jeff Carl Level IV #58702 Expire Sept 2021

i.e. N. fall B. Weaver Level III #16433 Expiry April 2022

i.e. Welland A. Ritter, J Carl, B. Haley verified IV

Certifications verified on the daily log sheets used in each of the SCADA control rooms; log sheet indicates class and expiry

Training requirements verified for operators specifically designated for sampling and for maintenance operators designated for instrumentation calibration. i.e. R. Bochaar Instrumentation Technician verified per Competency table Rev 8; Job Description ID 6TE4J

Memo MECP March 24, 2020 re Certified Operator Relief Blanket MECP per O. Reg 75/20

DWQMS Reference:	11 Personnel Coverage
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 11 Procedure - Personnel Coverage QMSWT-ALL-P-110 Rev 8
<p>Details: Coverage of Water Operations Staff, the Manager-on-call and ORO and OIC, Water Maintenance and Technical Trades is defined. Details for schedules are reflected in the Manager-On-Call Schedule. On Call schedule change process is defined per the On-Call Scheduling procedure ADM-ALL-ALL-P-005.</p> <p>Niagara Falls WTP</p> <ul style="list-style-type: none"> -minimum 1 person on shift -on call ORO -2020 Ops/MTCE schedules reviewed – 4 operators on different shifts -N Falls dedicated staff + floaters may be called in -2020 Area 2 Ops + MTCG schedule Jul-Dec 2020 COVID 19 coverage – self isolation impact – no sampler & no A shift; 3 operators self-isolated <p>COVIS SharePoint site developed; communications included memo on Temporary absence and work from home plans.</p> <p>Welland WTP Area 2 Schedule 2020 reviewed Grimsby WTP Area 3 Schedule 2020 reviewed</p>	

DWQMS Reference:	12 Communications
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 12 & 3.3 Procedure - Communications QMS-WT-ALL-P-120 Rev 6
<p>Details: <i>Procedure outlines means to communicate policy and procedures</i> <i>Interview with Engagement & Education Coordinator</i></p> <p><i>Management to Owner</i></p> <ul style="list-style-type: none"> - annual report to council – late Nov/Dec. – public document; regional website; report is attached as - public works memos to communications to municipality - councilor standard of care – changeover of councilor <p><i>Internal communication of QMS</i></p> <ul style="list-style-type: none"> - intranet policy and links, QMS Rep; verified on VINE. - Controlled document portal. - Posters at facilities - Security ide cards included policy - Divisional newsletter 3 X per year. Dec 2019 - Employee portal to communication to top management - suggestions for CI and concerns <p><i>VINE – And suggestion screens shared Think Tank for suggestions; suggestions reviewed by area responsible manager and then divisional leadership; reviewed monthly</i> <i>These feed the management review suggestions from employees</i></p> <p><i>Vine is main portal for electronic communication</i></p> <ul style="list-style-type: none"> - Provided link to all procedures (EtQ) and ESS - Water compliance page <p><i>Niagara Region webpage – used for public communications – DWQMS</i> <i>Water quality reports</i> <i>Newsletter – Green Scene</i></p>	

DWQMS Reference:	13 Essential Supplies and Services
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 13 Procedure - Essential Supplies and Services QMS-WTALL-P-130 Rev 9
<p>Details: <i>Interview with Security and Contracts Administrator</i> <i>Chemicals, calibration services, lab services</i> <i>CofA for chemicals required – AWWA standards. Sample and C of A.</i> <i>Liquid Alum tender just closed; RFT 2018 Appx D includes specifications and CofA requirements; response to chemical spills.</i> <i>Work with procurement to develop scopes</i> <i>Stakeholders provided the specific product or service requirements; into a tender document;</i> <i>Corporate services group – Procurement; most 1 year with option for 2 years;</i> <i>Lowest compliant bid</i> <i>W & WW Emergency Contact list includes water haulers and main break repairs and suppliers</i> <i>Hazardous waste – spill responders</i> <i>Emergency fuel suppliers are also on the ESS effective Sept 25, 2019; Canada Clean Fuels is supplier – fuel purchase consortium</i></p>	

DWQMS Reference:	14 Review and Provision of Infrastructure
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 14 Procedure - Review, Rehabilitation, and Renewal of Infrastructure QMS-WT-ALL-P-140 Rev 9
<p>Details: <i>Procedure outlines a process for the annual review of drinking water system infrastructure to ensure its continued adequacy. It details how capital-funded drinking-water infrastructure rehabilitation and renewal projects are initiated, approved and communicated to the Owner.</i></p> <p><i>Capital budget completed in Jan</i> <i>EAM system input</i> <i>Meeting with ops and maintenance; process works</i> <i>End of life;</i> <i>Parts availability considered</i> <i>Capital projects some years off; what is the mitigation to keep asset operational</i></p> <p><i>Year capital plan approved by council; with a 10-year plan;</i> <i>2020 approved Nov 2019</i></p> <p><i>Condition assessment studies – update yearly; last completed</i></p> <p><i>Municipalities meeting annually to discuss infrastructure work and number of projects</i></p> <p><i>PtC – second source of water – as connections between NFalls and PtC</i> <i>Master Servicing Plan – currently being update and based on growth of the systems and new developments (infrastructure planning group) look at sustainability</i></p> <p><i>DECEW – several projects in next 3 years – \$90 Million worth.</i></p> <p><i>10 Year plan for water Operations Draft 2021</i> <i>Rosehill Ne Intake</i> <i>New Fort Erie Elevated Tank</i> <i>Chemical system upgrade program</i> <i>Generator replacement program</i> <i>Roof replacements</i> <i>Master meter replacement program</i> <i>Watermain evaluation and replacement program</i></p>	

DWQMS Reference:	15 Infrastructure Maintenance, Rehabilitation and Renewal
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 15 Procedure - Maintenance QMS-WT-ALL-P-150 Rev 5
<p>Details: <i>The procedure defines planned and unplanned maintenance requirements per Figure 1. Table 1 defines maintenance service by team. The use of the Operations Work Request Process MTCE-WT-ALL-P-002 is used when staff recognize need for non-emergency work. Area Managers are responsible for development of Preventive maintenance Schedules. Work orders are generated weekly. Procedure for unplanned maintenance and maintenance after hours have been established. i.e. Procedure - Maintenance After-Hours Call-In Process - Water (OP-WT-ALL-V-001)</i></p> <p><i>Interview with Associate Director for Asset Management</i> <i>Maintenance – EAM work management – tracks assets and work performed generates the work orders., replacement allows retire of old piece – warranty tracking</i> <i>Capital upgrades tracked.</i> <i>Criticality for each asset – Id which are run to failure; maintain shelf spares</i></p> <p><i>Maintenance has up to 80% of asset included; remaining 20% up to facilities;</i> <i>Facilities now under responsibility of Asset Management</i></p> <p><i>Replacement of assets – i.e. Anger Avenue WW Plant.</i></p> <p><i>4 of 6 intakes require replacement – approvals are in, Rosehill intake – age failure; Grimsby, Niagara Falls</i></p>	

DWQMS Reference:	16 Sampling, Testing and Monitoring
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 16 Procedure -Sampling, Testing and Monitoring QMS-WT-ALL-P-160 Rev 5

Details:

Details for Sampling, Testing and Monitoring Activities in each DWS are reflected the following procedures;

- Rosehill WTP QMS-WT-RH-T-160 Rev 6
- Niagara Falls QMS-WT-NF-T-160 Rev 6
- Welland QMS-WT-RH-T-160 Rev 7
- Port Colborne QMS-WT-PC-T-160 Rev 7
- Grimsby QMS-WT-GR-T-160 Rev 6
- DeCew Falls QMS-WT-DF-T-160 Rev6

The tables within each of the listed procedures includes a column for challenging conditions.

OFI: Consider including within the scope of each procedure a clarification regarding relevant sampling, testing or monitoring activities that may or may not take place upstream of the subject system (that is before water enters the DWS).

Sample are collected by and analysed by a certified Water Operator according to the procedures. The Operator records internal testing results on the Plant Log Sheet. Which are reviewed at least once every 72 hours.

Key process parameters for each drinking water system are continuously monitored using a SCADA system.

External testing includes analyses that are performed by an external, Ministry-licenced drinking-water laboratory as defined in the above noted procedures. External testing covers Microbiological, Chemical, Radiological and Inorganic Parameters as defined in the referenced regulations.

For each of Niagara Falls WTP, Welland WTP & Grimsby WTP the daily log sheets as maintained by the control room operator were review Jan – March 2020, indicating checks every 8 hours; including CI residuals, turbidity and water chemistry.

Sampling completed as per schedule and include weekly Bacteriological and microcystin. testing

DWQMS Reference:	17 Measurement and Recording Equipment Calibration and Maintenance
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 17 Procedure - Measurement and Recording Equipment Calibration and Maintenance QMS-WT-ALL-P-170 Rev 6

Details:

The procedure defines calibration and maintenance programs for instrumentation and equipment used in Niagara Region's drinking water systems. Additional calibration and verification activities are referenced in Table 1 for handheld and benchtop chlorine analyzers and turbidity meters.

Table 2 provides maintenance/calibration requirements for verification or calibration (reference vs confirmation vs calibration).

Table 3 defines functional uses of equipment (information vs control vs regulatory)

The EAM PM Schedule controls and hold calibration and verification records of measuring equipment.

In house Instrumentation Technicians are responsible for completion of online instrumentation calibrations and verifications

Niagara Falls WTP equipment calibrations

- Turbidity meter on inlet to UV 7/209
- UV 3/2020
- Cl Analyser 42722 4/2020 wo 689253
- Ph analyser 39878 4/2020 wo 689255 (buffer 4 & 7 lot?)
- Cl analyser 38783 4/2020
- Inline Alum injection #41448 – PM not completed
- Lab alum analyser 6/2020

NCR 2020-01 Alum flow meters have not been calibrated annually (as per PM10511) since installation in 2017

Stanley Ave. CI Booster Station

- 2019 log verified for CI residuals, Hypo pump check and tank level
- Maintenance logs indicate quarterly chlorine analyser calibration
- Post CI analyser \$427224 cal 7/2020
- Pre CI-analyser #42193
- Ph meter

Lundy's lane ET

- 2019 log – CI residuals free & total checked every other day
- Maintenance log chamber inspections and monthly station checks

Kent Street Booster & ReChlor station

- Maintenance log CI analyser cal Apr 3, 2020
- Hypo tank vented
- Cl analyser # 38688 cal 7/2020
- Cl Hach #36192 cal May 2020

Queenston Heights Station

<ul style="list-style-type: none"> - Cl analyser #42895 cal 4/2020
Welland WTP
<ul style="list-style-type: none"> - Lab spectrophotometer #41455 cal 5/2020 - Lab Turbidity meter #9259 cal 5/2020 wo 683000 - UV bulbs #42121 wo 705627 - Post Cl analyser 42394 cal 4/2020 wo 689542 - Ph meter 42123 cal 4/2020 - Turbidity meter 42169 wo 690964
Beamis
<ul style="list-style-type: none"> - Cl analyser cal 4/2020 per logbook quarterly
Shoalts Dr Reservoir
<ul style="list-style-type: none"> - Mtce logbook up to date - Post Cl analyser 36798 cal 4/2020
Grimsby WTP
<ul style="list-style-type: none"> - Flow meter 42857 wo 9328 - Alum flow side B41906 cal 12/2019, flow side A 41907 cal 12/2019; asset numbers reversed - See NCR 2020-01 - Raw water turbidity meter 32935 cal 4/2020 - Settled water turbidity meter 36144 cal 4/2020 wo 691491 - Cl analyser contact tank outlet 15442 cal 4/2020 - Venturi flowmeter 45531 WO 694456 - Cl analyser reservoir outlet 15771 cal 5/2020 wo 690934
Lincoln Booster pumping station
<ul style="list-style-type: none"> - Cl analyser 14972 cal 7/2020 wo 692358 - Mtce logbook include generator inspection, degas hypo tank and CL analyser calibration; Cl residuals every other day - Ops logbook up to date
Hixon Reservoir
<ul style="list-style-type: none"> - Cl analyser 36846 cal 2/2020 wo 684698

DWQMS Reference:	18 Emergency Management
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 18 Water and Wastewater Emergency Response Plan ERP-ALL-ALL-P-001 Rev 7
<p>Details: ERP manual for Water & Wastewater systems ERPs individual for each potential emergency</p> <p>Per manual 5-year frequency but in practice done annually. Done off site as a desk top involving all personnel and with the municipalities</p> <p>i.e. 2019 Held at Balls Falls March 22, 2019</p> <ul style="list-style-type: none"> - Niagara Region EOC - Emergency Drinking Water Provision Plan - Town of Grimsby Lessons Learned <p>Mock Emergency Workshop modules/scenarios</p> <ul style="list-style-type: none"> - Communication breakdown - Blame it of the rain - Gone, gone, gone – (Pelham ET) - I want to break free – water main break - Help I need somebody <p>2018 Mock Drill – water on road close to CN rail tracks</p> <p>OFI Consider addition of MetroLinx (GO) to Emergency contacts list considering the increased frequency of trips between Niagara Falls and Hamilton.</p> <p>Actual Events - June 19, 2019 – Emergency & Debriefing Reporting Form actual event May 31, 2019 Lincoln BPS– inability to meet water demand – watermain break</p>	

DWQMS Reference:	19 Internal Audits
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 19 Procedure Internal Auditing QMS-WT-ALL-P-190 Rev 9
Details: <i>The procedure documents the criteria (Section 1), scope (Section 5.2) and frequency of internal audits (Section 5.3) ; that all 21 elements are assessed at least every 3 calendar years and that each DWS facility is audited at least every 2 calendar years. Records keeping is defined in section 5.6 reporting and references the Document and Records Control procedure QMS-WT-ALL-P-050. Internal audit conducted all at once – with all requirements covered. Initiated planning Jan 2020 Meeting held to develop audit plan; training refresher on audit objectives Determine what areas need to be audited based 3 processes selected; Competencies & training, Top Management Communications and Capital Projects All elements once every 3 years; All 3 areas covered; each plant once every 2 years. Audit Report March 2-12, 2020 issued April 7, 2020 by the WW & Q Specialist. Audits conducted in pairs one more experienced audit and one less experienced</i>	

DWQMS Reference:	20 Management Review
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 20 Procedure - Management Review QMS-WT-ALL-P-200 Rev 7
Details: <i>The procedure specifies a management review once per calendar by means of a Q2 and a Q4 meeting with all requirements discussed over course of the 2 meetings. In section 5.3.1, the procedure defines the specific items to be discussed in each of the respective meetings. All required inputs have been specified.</i>	

DWQMS Reference:	21 Continual Improvement
Client Reference:	Operational Plan QMS-WT-ALL-MAN-010 Rev 10 Section 21 Procedure - Corrective Action, Preventive Action, and Best Practices QMS-WT-ALL-P-210 Rev 8
Details: <i>EtQ is the Management system software tool used to track and monitor corrective and preventive actions. EtQ is also used record the root cause analysis. Best Practices are also part of the procedure. The procedure specifies that at least once every 36 months the QMS representative will review best practices published by the MECP. The procedure describes activities for handling both corrective actions and preventive actions. Handling of best practices and preventive action are addressed in Section 5.4 of the procedure with Figure 2 providing an overview of the process</i> <i>Currently 25 open in the system with 8 open from the internal audits QMR follows up for implementation and verification of the actions Annual update includes internal audit results</i> <i>WTCAR-20-008 Element 15 PWC -c-8-2020 Internal Audit Findings Per report PW-67-2019 Council update – of CA progress Dec 3, 2019</i> <i>WTCAR-20-006 open WTCAR-19-007 completed Jan 31, 2020 CAR Action 247 & 248 WTCAR-19-025 RCA and action developed CAR Action 172 completed Dec 1, 2017; CAR Action 173 completed April 27, 2018; CAR Action 174 completed April 29, 2020.</i> <i>Compliance obligations/MECP Inspections Adverse i.e. AWQI 150198; Notice of Adverse June 10, 2020, Resolution June 12, 2020 Noncompliance – Beamis disinfection issue April 8, 2019 Event log 247</i>	

Details regarding the personnel interviewed and objective evidence reviewed are maintained on file at SAI Global.

This report was prepared by:

Marco Brunato
SAI Global Management Systems Auditor

The audit report is distributed as follows:

- SAI Global
- Operating Authority
- Owner
- MOECC

Notes

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INTERNAL AUDIT REPORT

General Elements

Niagara Region All Wastewater Systems

Internal Audit

October 29 – November 9, 2020

1.0 INTRODUCTION

1.1 Purpose

The 2020 internal audit was undertaken:

- To verify that the Wastewater QMS conforms to the requirements of the DWQMS¹ and the requirements of the Wastewater QMS Operational Plan; and
- To verify the effective implementation and maintenance of the Wastewater QMS for all Niagara Region's wastewater systems.

Audits were completed between November 2 and November 9, 2020. Due to the emergence of COVID-19, a decision was made to perform the 2020 internal audit as a remote desktop audit. This decision came from evaluating current working arrangements and the protocols that are currently in place in visiting Regional sites, limiting the unnecessary risk to wastewater staff in visiting remote sites and continuing to uphold our responsibility in providing effective wastewater treatment for the community. Wastewater internal audits are not a legislative requirement, but are performed annually out of due diligence and best practice. Internal audits were conducted remotely with Operating Authority personnel, as required.

1.2 Scope

The wastewater internal audit for 2020 was conducted as a desktop elemental audit, with the auditors focusing on specific elements of the standard that could be audited remotely. The following elements were examined as part of this internal audit:

- Element 1 – Quality Management System
- Element 3 – Commitment and Endorsement
- Element 7 – Risk Assessment
- Element 9 – Organizational Structure, Roles, Responsibilities and Authorities
- Element 10 – Competencies
- Element 17 – Instrument Calibration
- Element 18 – Emergency Management
- Element 19 – Internal Audit
- Element 20 – Management Review

¹ As modified by Niagara Region to suit our wastewater services.

1.3 Selection of Internal Audit Team

Internal auditors for the 2020 audit were:

- Element 1 – Quality Management System: Michelle Max
- Element 3 – Commitment & Endorsement: Michelle Max
- Element 7 – Risk Assessment: Rachel Whyte
- Element 9 – Organizational Structure, Roles, Responsibilities and Authorities: Michelle Max
- Element 10 – Competencies: Dawn MacArthur
- Element 17 – Instrument Calibration: Rachel Whyte
- Element 18 – Emergency Management: Michelle Max
- Element 19 – Internal Audit: Dawn MacArthur
- Element 20 – Management Review: Dawn MacArthur

All internal auditors have completed Internal Auditor Training as required by the **Internal Auditing** (QMS-WW-ALL-P-190, rev1, effective 30Sep2019).

1.4 Criteria and Methodology

Audit criteria included the following:

- **Internal Auditing** (QMS-WW-ALL-P-190, rev1, effective 30Sep2019);
- **Niagara Region Wastewater Operational Plan** (QMS-WW-ALL-MAN-010, rev3, effective 12Dec2019) and supporting procedures; and
- Internal audit training materials (various auditor training courses).

Audits were conducted by assigned auditors as noted in Section 1.3 of this report. Operating Authority personnel were also interviewed by assigned auditors. Auditor checklists were completed and reviewed with the Lead Auditor; the checklists are not attached, but are filed as per the **Document & Records Control Procedure** (QMS-WW-ALL-P-050, rev1, effective 30Sep2019).

1.5 Summary of New Internal Audit Findings

Findings are categorized as follows and are summarized in Table 1 below.

- **C – Conformance:** Audit interviews and sampled records indicate that QMS requirements are met and applicable procedures are implemented as written.

- **NC – Non-conformance:** Audit interviews and sampled records indicate that a requirement of the QMS Standard was not met or a documented procedure was not implemented as written. These findings require **corrective action**.
- **OFI – Opportunity for Improvement:** Conformance was generally observed, but there may be an opportunity to enhance existing processes.

Table 1: Summary of Internal Audit Findings – Number and Type

Element	NC	OFI	Total
Quality Management System (Element 1)	-	-	-
Commitment and Endorsement (Element 3)	-	-	-
Document and Records Control (Element 5)	2	-	2
Risk Assessment (Element 7)	1	-	1
Organizational Structure, Roles, Responsibilities and Authorities (Element 9)	-	-	-
Competencies (Element 10)	1	1	2
Instrument Calibration (Element 17)	-	4	4
Emergency Management (Element 18)	2	3	5
Internal Audits (Element 19)	2	1	3
Management Review (Element 20)	1	-	1
Total	9	9	18

Details of all findings are provided in Table 2 (see Section 2.1 of this Audit Report).

1.6 Review of Previous Internal Audit Findings

No previous audit findings were reviewed during this internal audit, as much work was done in advance of the internal audits to address and close open corrective actions from the previous internal audit in 2019. These efforts were summarized in a memo to Public Works Committee ([PWC-C 8-2020, 10March2020](#)).

1.7 Review of Previous External Audit Findings

Not applicable. The Wastewater QMS is not subject to external auditing at this time.

2.0 INTERNAL AUDIT RESULTS

2.1 Summary of QMS Internal Audit Findings

Table 2 provides a summary of findings from the QMS Internal Audit. In reviewing Table 2, the following acronyms should be noted:

Acronym	Definition
C	Conformance
NC	Non-Conformance
OFI	Opportunity for Improvement
N/A	Not applicable – did not audit this element

Table 2 is provided below.

NOTE: Recurring findings are not noted in the list below, as corrective action activities are already in progress and the required records have already been opened in EtQ.

Table 2: Summary of Findings – 2020 Internal Audit

Element #	Type	Details	Number
1	C	QMS conforms to the requirements of this element.	
2	N/A	<i>Not reviewed during this internal audit.</i>	
3	C	QMS conforms to the requirements of this element.	
4	N/A	<i>Not reviewed during this internal audit.</i>	
5	NC	Document and Records Control (QMS-WW-ALL-P-050, rev1, 30-Sept-2019) , Section 5.3.1 states both a table of revision and footer statement “printed documents are uncontrolled” be included in internally-controlled QMS documentation. The Niagara-on-the-Lake WWTP System Schematic (OP-WW-NL-V-061, rev5, 29-Aug-2016) is not on the proper document template and did not include the proper document header and relevant information required, nor does the schematic include a footer statement “printed documents are uncontrolled” or a table of revisions.	<u>WWCAR-20-001</u>

Element #	Type	Details	Number
5	NC	Document Records Control (QMS-WW-ALL-P-050, rev1, 30-Sep-2019) , Section 5.2.3 indicates that other documents, including procedures, tables, forms and guidance documents, are typically identified by a document header, including specific details of what should be included in the header. The header of the Emergency Contact List (ERP-ALL-ALL-T-002, rev21, 30-Sep-2020) does not contain the revision number, effective date or document ID.	WWCAR-20-002
6	N/A	<i>Not reviewed during this internal audit.</i>	
7	NC	Wastewater System Risk Assessment (QMS-WW-ALL-P-070, rev3, 6Feb2020) , Section 5.4.1 specifies that action plans are developed for “high-scoring risks (greater than 10)”. In a sampling of 9 high-scoring risks recorded/updated during the 2020 review, the auditor had identified that 4 of the 9 records were found to have no associated risk action item.	WWCAR-20-003
8	N/A	<i>Not applicable to the Wastewater QMS.</i>	
9	C	QMS conforms to the requirements of this element.	
10	NC	Section 5.4.1 of Competencies procedure (QMS-WW-ALL-P-100, Rev1, 22-Sept-2020) states records of training attendance are stored in PeopleSoft. Document and Records Control (QMS-WW-ALL-P-050, Rev1, 30-Sept-2019) , Section 5.7 – Table 2 states training attendance records are stored in MyLearning. These are two separate software programs.	WWCAR-20-004
10	OFI	In reviewing Competencies (QMS-WW-ALL-100, rev1, 22-Sep-2020) the auditor noted a gap in defining who is responsible to ensure staff enroll in and complete mandatory training. Training & Professional Development (ADM-ALL-ALL-P-017, Rev1, 29-Jul-2020) identifies the positions that are responsible for ensuring staff are enrolled in various types of training (Health and Safety, Mandatory and Other). It would be beneficial to include a reference in Competencies to Training & Professional Development .	2020-022-Audit Internal

Element #	Type	Details	Number
11	N/A	<i>Not reviewed during this internal audit.</i>	
12	N/A	<i>Not reviewed during this internal audit.</i>	
13	N/A	<i>Not reviewed during this internal audit.</i>	
14	N/A	<i>Not reviewed during this internal audit.</i>	
15	N/A	<i>Not reviewed during this internal audit.</i>	
16	N/A	<i>Not reviewed during this internal audit.</i>	
17	OFI	It is strongly recommended that the Wastewater Calibration Procedure (QMS-WW-ALL-170, rev0, 16Jun2014) be updated to align with the current organizational structure and available tools. The procedure references Sherpa, the previous version of Regional intranet that no longer exists; it also references the CMMS scheduler position that was eliminated in 2016. Additionally, the procedure does not clearly define the instrument types to be calibrated under the “process equipment” category.	2020-023-Internal Audit
17	OFI	It may be beneficial to identify meters that are used for billing vs. compliance vs. process control in the Asset Management Software. While these meters are somewhat identifiable by virtue of their inclusion under associated preventative maintenance’s (PM), there is no means of ensuring that the asset list for each PM is complete. Furthermore, some meters that are used for both billing and compliance will fall under only the billing PM, not the compliance PM, essentially losing their identification as a compliance meter.	2020-024-Internal Audit
17	OFI	It may be helpful to identify on each of the wastewater facilities billing schematic, which flows are calculated (e.g., hauled waste, trucked solids, etc.) vs. which flows are metered.	2020-025-Internal Audit
17	OFI	It may be beneficial to open up access to data fields, views, and prepared reports in the Enterprise Asset Management (EAM) software to ensure that all users have access to the same information. During the audit, it was identified that the auditor and auditee have access to different data fields under the same asset.	2020-026-Internal Audit

Element #	Type	Details	Number
18	NC	Water and Wastewater Emergency Response Plan – Front End (ERP-ALL-ALL-P-001, rev7, 22-Oct-2019) , Section 6.1 states that new staff are introduced to the Emergency Response Plan (ERP) through Water and Wastewater New Employee Orientation and quality management e-learning modules. Evidence indicates that W-WW orientation has been deferred due to the pandemic; thus, new staff starting between March and October 2020 have not been introduced to the Emergency Response Plan through orientation. An auditee communicated to the auditor that a Water-Wastewater orientation e-learning module has been developed and will include information on the ERP program. The module is scheduled to be rolled out to new W-WW staff in December 2020. The auditor did observe that several Emergency Response Plan e-learning modules have been assigned to wastewater staff over the course of the year.	WWCAR-20-005
18	NC	The Spill of Sewage (ERP-WW-ALL-P-001, rev2, 22-Oct-2019) and Spill or Chemical Leak On-Site (ERP-ALL-ALL-P-005, rev2, 22-Oct-2019) emergency response procedures reference a requirement to “review the Spill Contingency Plan to determine if a spill is reportable”. The auditor could not find any wastewater-related Ministry of the Environment, Conservation and Parks (MECP) Spill Contingency Plans.	WWCAR-20-006
18	OFI	The Complaints-Wastewater (OP-WW-ALL-P-005, rev5, 17-Apr-2020) procedure does not mention a timeframe for an assignee to complete the incident investigation and does not include details on what is required if an investigation is deemed ongoing. Consider modifying Complaints-Wastewater to discuss assignment via task profile, the timeframe to complete investigations, and what is required if an investigation is deemed ongoing.	2020-027-Internal Audit

Element #	Type	Details	Number
18	OFI	Section 5.3.1 of the Post-Event Debriefing (ADM-ALL-ALL-P-009, rev4, 1-Apr-2020) identifies that a debrief meeting should be completed no later than five (5) calendar days following resolution of the unusual event. The auditor reviewed a wastewater debriefing record REC-00154 from 2019; the event occurred on 21-May-2018 and the debrief meeting was held 12-Jun-2019. It was not clearly indicated on the Emergency Debrief & Reporting form what day the event was resolved. Consider including a date of resolution field on the Emergency & Debrief Reporting Form (ERP-ALL-ALL-F-001) .	2020-028-Internal Audit
18	OFI	The Water & Wastewater Emergency Response Plan – Front End (ERP-ALL-ALL-P-001, rev7, 22-Oct-2019) , “Section 7.0 – Emergency Management”, outlines requirements for emergency drills. In reviewing historical records of mock emergency drills, the auditor observed that these records reside on the L: drive. Consider storing mock emergency records in EtQ’s Records module to ensure protection from tampering, damage, or deterioration and ease of record retrieval. Document & Records Control (QMS-WW-ALL-P-050) may require updating to reflect updates of the storage of records, if considered.	2020-029-Internal Audit
19	NC	According to the Internal Audit (QMS-WW-ALL-P-190, rev1, 30-Sept-2019) procedure, Section 5.1.3, the Lead Auditor is responsible for ensuring timely and effective corrective action follow-up from the internal audit. The auditor selected five (5) random corrective actions from the 2019 internal audit for review: <ul style="list-style-type: none"> – WWCAR-19-001, WWCAR-19-006, 2019-034-Audit Internal, WWCAR-19-009, WW-CAR-010, were reviewed – In general, of the 5 records reviewed, all 5 had been closed (< one year) While reviewing WWCAR-19-009, it was noted that it was closed as it was a duplicate to WWCAR-17-005 already existing in the system. WWCAR-17-005 was reviewed. The CAR was created November 20, 2017 and currently sits in the	WWCAR-20-007

Element #	Type	Details	Number
		“Investigation and Root Cause” phase. Nothing has been added to the action except the initial findings, nor has it been assigned to anyone for action. It is in the opinion of the auditor that this corrective action follow-up is not being completed in timely manner.	
19	NC	<p>Corrective Action, Preventative Action & Best Practices (QMS-WW-ALL-P-210, Rev1, 1-Apr-2020), Section 5.1.7 states “The QMS Representative monitors the effectiveness of the corrective action by assigning a date for follow-up and verifying the effectiveness of the corrective action on or immediately before that date.”</p> <p>All four (4) of the corrective action records reviewed by the auditor did not have the “Approval and Closure” section completed under the Corrective Action form in EtQ despite the corrective actions being closed. In reviewing the records, it was unclear to the auditor if the corrective actions were implemented effectively. The Corrective Action procedure also states that if the corrective action is found to be ineffective, the corrective action report (CAR) is closed and a new corrective action report is initiated. It would be difficult to determine if these corrective action records were closed because they were deemed satisfactory or if another corrective action was opened to further address any outstanding issues.</p>	WWCAR-20-008
19	OFI	<p>Internal Auditing (QMS-WW-ALL-P-190, Rev1, 30-Sept-2019), Section 5.6.1 states “audit notes should include the date of the audit, the name of the auditors, and the location(s) of the audit”. The auditor reviewed the Area 1 auditor checklist stored as record # REC-00163 in EtQ. The auditor name, audit location, and audit date of the audit were not entered at the top of the checklist in the provided cells. It was also noted that selected cells have drop downs where an SOP can be selected. Without unlocking the sheet, an auditor would be unable to change the value of these cells. If using this checklist in the future, consider reformatting these cells to easily capture this information.</p>	2020-030-Internal Audit

Element #	Type	Details	Number
20	NC	<p>Management Review SOP (QMS-WW-ALL-P-200, Rev1, 26-Mar-2019), Section 5.2.1 states “The QMS Rep or delegate provides a summary presentation of the listed items to management review meeting attendees at least seven (7) days prior to the meeting”.</p> <ul style="list-style-type: none"> – A review of Outlook provided evidence that the meeting package for Part 2 Management Review 2019 was provided to attendees via email on November 7, 2019. The meeting was held November 12, 2019. This does not meet the documented requirement. <p>The meeting package for Part 1 Management Review 2020 was provided to attendees via email on June 4, 2020. Although the review meeting was held on June 22, 2020, the meeting package was sent out for the original meeting request of June 9, 2020. This did not meet the documented timeline for the originally scheduled meeting date.</p>	WWCAR-20-009

Prepared by: Michelle Max

Date: November 9, 2020 (rev0)

MEMORANDUM

PWC-C 46-2020

Subject: Short Form Offences and Set Fine Schedule

Date: Tuesday, December 8, 2020

To: Public Works Committee

From: Susan McPetrie, Waste Management Services Advisor

This memorandum is intended to advise Committee members that the Short Form Offences and Set Fine Schedule, to be enforced under the amended Solid Waste Management By-law No. 2017-56 has been approved, with amendments, by the Chief Justice of the Ontario Court (Provincial Division). The order took effect October 19, 2020 (Appendix 1).

Background

On August 13, 2020, Regional Council approved the recommendations of the Public Works Committee to amend Solid Waste Management By-law No. 2017-56 to reflect the updates outlined in Report PW 34-2020. Council also approved the recommendation to forward the Short Form Offences and Set Fines Schedule as proposed in Report PW 34-2020 to the Chief Justice of the Ontario Court for approval, as required under the Provincial Offences Act. The forwarded Set Fines Schedule included the revisions as proposed in Committee's friendly amendment to increase the set fine amount for illegal dumping from \$500 to \$1000.

Submission to Ontario Court of Justice

The amended by-law was approved at the Regional Council meeting held on September 17, 2020. On October 2, 2020, the proposed Short Form Offences and Set Fines Schedule was submitted to the Chief Justice. The submission included a rationale for the increased set fine amount that emphasized Niagara Region's commitment to addressing illegal dumping (Appendix 2). It noted that with the start of the new collection contract and service level changes, including every-other-week garbage collection, limitations on large item collection and discontinuation of large appliance and metal household item collection, the higher set fine amount would provide a greater deterrent to illegal dumping. As a result, the impacts of illegal dumping, such as contamination of

the natural environment, the creation of aesthetically displeasing areas and the financial and resource burden for investigation and clean-up would be reduced. The submission also included a proposed new short order offence, failure to comply with an order. This new offence and associated set fine will facilitate enforcement of orders to correct contraventions of the by-law.

Approval with Amendments

On October 19, 2020, the Office of the Regional Senior Justice, Ontario Court of Justice sent notification to Niagara Region that the Schedule of Set Fines had been approved with amendments as shown below.

Table 1: Proposed and Approved Set Fine Amounts

Item	Short Form Wording	Proposed Set Fine Amount	Approved Set Fine Amount
32	Illegal Dumping	\$1000	\$750
37	Failure to Comply with an Order	\$500	\$300

Refer to Appendix 3 for the full schedule of approved Short Form Offences and Set Fines, which took effect October 19, 2020.

Respectfully submitted and signed by

Susan McPetrie
Waste Management Services Advisor

Appendices

Appendix 1	Order from Chief Justice of the Ontario Court
Appendix 2	Set Fine Application Explanation
Appendix 3	Short Form Offences and Set Fines Schedule

PROVINCIAL OFFENCES ACT

Part I

IT IS ORDERED pursuant to the provisions of the *Provincial Offences Act* and the rules for the Ontario Court of Justice, that the amount set opposite each of the offences in the schedule of offences under the Provincial Statutes and Regulations thereunder and Municipal By-law No. 2017-56, as amended, for The Regional Municipality of Niagara, attached hereto is the set fine for that offence. This Order is to take effect October 19, 2020.

Dated at Hamilton, this 19th day of October 2020.



Paul R. Currie
Regional Senior Justice
Central West Region



Corporate Services

Legal and Court Services

1815 Sir Isaac Brock Way, Thorold, ON L2V 4T7
905-980-6000 Toll-free: 1-800-263-7215 Fax: 905-685-7931

VIA E-MAIL ONLY TO Devyani.Anandjit@ontario.ca

October 7, 2020

Ministry of the Attorney General
Crown Law Office-Criminal
720 Bay Street, 10th Floor
Toronto, Ontario M7A 2S9
Attention: Devyani Anandjit

Dear Ms. Anandjit:

Re: **The Regional Municipality of Niagara – Set Fine Application
Part 1, *Provincial Offences Act*
A By-law to Regulate the Use of the Waste Management System
for The Regional Municipality of Niagara**

Further to your request of October, 5, 2020, enclosed please find a revised Consolidated Set Fine Schedule.

With respect to the proposed increased set fine of \$1,000 for illegal dumping, we note that Niagara Region is entering into a new waste management contract with service changes including every-other-week garbage collection, limitations on large item collection and discontinuation of large appliance and metal household item collection. The proposed increased fines are intended to provide a greater deterrent in the face of these service changes. Illegal dumping remains an ongoing and serious problem within the Region and the increased set fine confirms Niagara Region's commitment to change the attitude of future dumpers.

Illegal dumping has both an economic and environmental impact on local communities. Property values may decrease if neighboring vacant lots or rural areas are aesthetically displeasing and foul-smelling due to regular illegal dumping. Such illegal dumpsites pollute the natural environment through soil and water contamination and wildlife disruption. In deterring would-be illegal dumpers with an increased set fine amount, the Region's financial and resource burden required to investigate and clean up illegal dumping issues for both Niagara Region and the local area municipalities would be eased.

Should you require anything further, please advise.

Yours truly,

Patricia D'Souza

Patricia D'Souza
Legal Counsel, Legal & Court Services
PD/ek
Encl.

**The Regional Municipality of Niagara
Part 1 Provincial Offences Act
By-law 2017-56 Waste Management By-law, as amended by By-law 2020-62**

Short Form Offences and Set Fines

Item	COLUMN 1 Short Form Wording	COLUMN 2 Provision creating or defining offence	COLUMN 3 Set Fine
1.	Set-out of Non-Collectable Material	s. 14.1 (a)	\$100
2.	Set-out of Non-Compliant Material	s. 14.1 (b)	\$100
3.	Setting out hazardous or pathological Material for collection	s. 14.1 (a)	\$500
4.	Not securing animal to ensure collection worker safety	s. 14.6	\$100
5.	Depositing Material into a collection vehicle	s. 14.8	\$100
6.	Obstructing road or sidewalk with Material	s. 15.1	\$250
7.	Setting out Material at premises other than your own	s. 15.3	\$100
8.	Permitting Material at any time in the Care and Control of an Owner to be located otherwise than on their own Premises or in a permitted Collection location	15.4	\$100
9.	Setting out waste contrary to specified times	s. 16.1	\$75
10.	Failing to remove containers and Material after collection	s. 16.2	\$75
11.	Failing to set out an acceptable container	s. 17.1	\$75
12.	Failing to ensure containment of Material set out for collection	s. 18.1	\$100
13.	Dropping off unacceptable Material at Regional Drop-Off Location	s. 22.1	\$500
14.	Depositing Garbage into recycling bins or composting areas at Regional Drop-Off Location	s. 32.1 (l)	\$200
15.	Depositing recyclable Material in Garbage bin or landfill areas at Regional Drop-Off Location	s. 32.1 (m)	\$100

Item	COLUMN 1 Short Form Wording	COLUMN 2 Provision creating or defining offence	COLUMN 3 Set Fine
16.	Trespassing at Regional Drop-Off Location by illegal entry	s. 33.1	\$500
17.	Trespassing at Regional Drop-Off Location or closed landfill or perimeter when closed	s. 33.2	\$500
18.	Trespassing at Regional Drop-Off Location or perimeter with vehicle	s. 33.3	\$500
19.	Failing to drop off only acceptable Material at RDOL	s. 34.1 (a)	\$200
20.	Failing to comply with Regional Drop-Off Location staff directions	s. 34.1 (b)	\$200
21.	Failing to obey signs at Regional Drop-Off Location	s. 34.1 (c)	\$200
22.	Failing to separate and deposit Material properly at Regional Drop-Off Location	s. 34.1 (d)	\$200
23.	Failing to remove covers as directed at Regional Drop-Off Location	s. 34.1 (f)	\$200
24.	Failing to remove loose Material after unloading at Regional Drop-Off Location	s. 34.1 (g)	\$200
25.	Failing to secure vehicle after unloading at Regional Drop-Off Location	s. 34.1 (h)	\$200
26.	Failing to ensure child under 12 stays in vehicle at Regional Drop-Off Location	s. 34.1 (i)	\$200
27.	Failing to ensure children act responsibly at Regional Drop-Off Location	s. 34.1 (j)	\$200
28.	Failing to ensure animal stays in vehicle at Regional Drop-off Location	s. 34.1 (k)	\$200
29.	Failing to pay fees before departing Regional Drop-Off Location	s. 34.1 (m)	\$200
30.	Failing to refrain from smoking on Regional Drop-Off Location	s. 34.1 (o)	\$200
31.	Transporting insecure load	s. 36.1	\$100
32.	Illegal dumping	s. 37.1	\$1000 \$750.00

Item	COLUMN 1 Short Form Wording	COLUMN 2 Provision creating or defining offence	COLUMN 3 Set Fine
33.	Dumping privately generated Material into public Litter bin	s. 37.2	\$150
34.	Illegal dumping Care and Control	s. 37.3	\$250
35.	Scavenging Material set out for collection	s. 38.1	\$100
36.	Scavenging at a Regional Drop-Off Location	s. 38.2	\$250
37.	Failure to comply with an Order	s. 48.3	\$500 \$300.00



Note: The general penalty provision for the offences listed above is Section 61 of the *Provincial Offences Act*, R.S.O. 1990, c. P. 33.

MEMORANDUM

PWC-C 48-2020

Subject: Update on the Waste Management Contract Implementation

Date: Tuesday December 8, 2020

To: Public Works Committee

From: Susan McPetrie, Waste Management Services Advisor

On October 19, 2020, Niagara Region began new curbside waste collection contracts with Green For Life Environmental Inc. (GFL) and Miller Waste Systems Inc. (Miller). With the start of these new contracts, service level changes including every-other-week garbage collection, a four (4) - item limit on large household item collection and the discontinuation curbside collection of metal household items also took effect. This memorandum is intended to provide Committee members with an overview of metrics related to the initial implementation of these contracts. Staff will provide another update in Q1 2021.

Tonnages

One of the key service level changes that started on October 19, 2020 was the shift to every-other-week garbage collection for all residential properties and businesses outside of the Designated Business Areas. It is anticipated that this change will encourage service users to divert food and organic waste from the garbage to the Green Bin, which continues to be collected weekly. Although only two weeks into the new services, data indicates that the tonnage for collected garbage decreased 30.8 percent compared to the same time period in 2019. Recycling tonnage increased 9.1 percent compared to 2019. Due to leaf and yard waste and the separate collection of branches and leaf and yard waste occurring a week later in 2020 compared to 2019, at this time organic waste tonnages can not be directly compared. It should be noted that there has been an overall increase in tonnages collected in 2020 compared to 2019 and analysis of longer term data will be required to confirm a relationship between every-other-week garbage collection and increased diversion, which has been experienced in other jurisdictions.

Container Distribution

Another indicator of increased diversion efforts by service users is container distribution data. Green Bin distribution has shown a marked increase since June 2020. A total of 7,623 Green Bins were provided to distribution locations from June to the end of October 2020, a 116 percent increase from the same period in 2019. This increase coincides with the extensive public education campaign efforts to communicate the upcoming changes, which promoted getting a Green Bin to prepare for every-other-week garbage collection.

There was also an increase in Blue and Grey Box distribution. Overall, for the period of June to October, distribution of Blue and Grey Boxes increased 44 percent in 2020 compared to 2019. Although Blue and Grey Box distribution totals varied month by month, the average number of Boxes distributed in 2020 (2,955) was higher than the average for 2019 (2,047).

Waste Info-Line Calls

In the first two weeks of the new contracts, Niagara Region's Waste Info-Line experienced a high volume of calls. The Waste Info-Line, in addition to the Region's website, was promoted throughout the public education campaign as a resource for residents and business looking for more information and details about collection services (refer to PWC-C 29-2020 for summary of campaign activities). In preparation for this increased number of calls, the hours were temporarily extended from 5 p.m. to 6 p.m. As a result of the increased calls to the Waste Info-Line an online reporting tool was implemented as another means for residents to report missed collections. Overall there was a 240 percent increase in the number of calls compared to the same time period in 2019. Table 1 shows a comparison of total calls received and percent change from 2019 to 2020 for that two week period.

Table 1: Number of Calls to Waste Info-Line

Date Range	Number of Calls	% Change 2019 to 2020
October 21 – October 25, 2019	868	329% Increase
October 19 – October 23, 2020	3,720	

Date Range	Number of Calls	% Change 2019 to 2020
October 28 – November 1, 2019	1,149	172% Increase
October 26 – October 30, 2020	3,131	
Total for October 21- November 1, 2019	2,017	240% Increase
Total for October 19 – October 30, 2020	6,851	

Table 2 shows the top three (3) recorded enquiries by the Waste Info-Line Customer Service Representatives for August-October 2020. These are general enquiry calls to the Waste Info-Line and do not include collection service issues for follow-up with contractors. The most common service issue is missed material or collection.

Table 2: Most Common Enquiries to Waste Info-Line August to October 2020

August 2020	September 2020	October 2020
1. Large item bookings	1. Large item bookings	1. Large item bookings
2. Landfill enquiries	2. How to dispose of a specific item	2. Container purchase/exchange
3. How to dispose of a specific item	3. Landfill enquiries	3. Every-other-week collection enquiries

Exemptions

To address one of the key concerns about every-other-week garbage collection, the management of diapers and waste due to medical conditions, the existing exemption program that allowed additional garbage bags for eligible properties was expanded to allow collection of these materials on non-garbage collection weeks. The diaper exemption program was also expanded to include households with one child under four (4) in diapers. Promotion of this expanded exemption program began at the end of June 2020. There was an immediate uptick in the number of exemption applications in July, with 850 applications submitted that month. Prior to this, the number of exemptions in a typical month was 40. Since July, more than 2,940 exemption applications have been received. As shown in Table 3, the increased level of applications continued throughout the summer and into September, jumping again in October with the start of the new contracts.

Table 3: Exemption Applications for July to October 2020

Exemption Program	July 2020	August 2020	September 2020	October 2020	Total
Diaper Exemptions	850	151	442	1,216	2,659
Medical Exemptions	48	66	41	83	238
Daycare Exemptions	5	0	6	20	31
Group Home Exemptions	0	1	3	10	14
Total Exemptions					2,942

Web and Mobile App

In September 2020, Niagara Region launched a new web and mobile app that allows residents and businesses to find their collection schedule, set up reminders and notifications and search how to divert or dispose of items. The following section provides the metrics from September 1 to November 8, 2020 for both the web and mobile app.

Web Calendar

- **48,120** - Total number of users with unique addresses that searched for their collection calendars.
- **180,924** - Total number of calendar/schedule views by all visitors.
- **85,650** - Total amount of unique visitors to the calendar web app tab.
- **17,898** - Total number of unique addresses that are using reminders.

Disposal of Items Search Tool

- **109,812** - Total number of all material views by visitors, both unique and non-unique.
- **28,415** – Total amount of unique visitors to the disposal of items search tool tab in both the web and mobile apps. Approximately 40% of these visits were through the mobile app and 60% were through the web.

Mobile App

- **22,357** – The number of times the mobile application was downloaded and installed on an Android or iOS device.
- **17,959** - The number of devices where push notifications have been enabled. This includes people signed up for reminders and/or service alerts.
- **81,855** - The number of times an app has been opened.

Contractor Performance

During the first two weeks of the new contract, both GFL Environmental Inc. and Miller Waste Systems were able to complete all routes each day. There were a few “missed” areas but this is to be expected during a transition period. Additionally, property owners also had to adjust to new collection times, and this contributed to “missed collection” calls coming into the Waste Info-Line. Both Contractors had additional resources in place during the first two weeks of the new contract, and continue to carry additional resources during the fall yard waste collection period.

Next Steps

While it is early in the implementation process to draw definitive conclusions, the data related to the implementation of the new contracts and service level changes is positive. Initial tonnage data and container distribution numbers suggest that shift to every-other-week garbage collection may encourage greater participation in the diversion programs. Residents and businesses are aware of and taking advantage of the resources available to support them in the transition, including the new web and mobile app, the exemption programs as well as the customer service assistance through the Waste Info-Line. Staff will continue to monitor and update Committee on the status of the new contracts.

Respectfully submitted and signed by

Susan McPetrie
Waste Management Services Advisor

MEMORANDUM

PWC-C 49-2020

Subject: Response to Councillor Information Request re 2020-T-116 Port Dalhousie Wastewater Treatment Plant Upgrades

Date: December 8, 2020

To: Public Works Committee

From: Bruce Zvaniga, P.Eng., Commissioner of Public Works (Interim)

This memo provides the additional information requested by Committee on November 10, 2020 concerning Tender 2020-T-116 - Port Dalhousie Wastewater Treatment Plant (WWTP) Upgrades.

In doing so, given that this is still an active procurement process and in order to preserve and support the integrity and transparency of that process, Staff also wishes to remind Council of the following lobbying restrictions contained within section 31 of the Region's Procurement By-law No. 02-2016, as amended:

31. (a) Suppliers, their staff members, or anyone involved in preparing a Bid, shall not engage in any form of political or other Lobbying whatsoever or seek to influence the outcome of the Bid Solicitation process or subsequent Award. This restriction extends to all of the Corporation's staff and anyone involved in preparing a Bid Solicitation or participating in a Bid evaluation process, and members of Council.

(c) During a Bid Solicitation process, all communications shall be made through Procurement and Strategic Acquisitions. No Supplier or person acting on behalf of a Supplier or group of Suppliers, shall contact any elected official, consultant or any employee of the Corporation to attempt to seek information or to influence the Award.

(d) Elected officials shall refer any inquiries about a Bid Solicitation process to the Commissioner of Corporate Services /Treasurer.

Staff also note that suppliers who believe they have been treated unfairly in a bid solicitation process can refer to the bid dispute process outlined in Section 30 of the Procurement By-law.

Niagara Region retained Hatch Corporation through a competitive bidding process (2016-RFP-14) to complete the detailed design, tendering, contract administration and inspection services for the Port Dalhousie WWTP Upgrades project.

Five (5) General Contractors were Prequalified in a competitive public pre-qualification process (2020-RFPQ-47) and were invited to bid on 2020-T-116 Port Dalhousie WWTP Upgrades Contract 1. In accordance with Niagara Region Procurement By-law 02-2016, as amended, and under the guidance of the Region's Procurement Department, Niagara Region initiated a competitive public tender process (2020-T-116) on August 28, 2020 to solicit bids from those prequalified companies. The tender closed on November 5, 2020 and four (4) bid submissions were received and opened. Report PW 44-2020 has been submitted to Council for consideration and includes staff recommendations to award to the lowest compliant bidder.

Project Design Manual and Approved Product and Equipment List (APEL)

Since 2005, the W-WW Services Division has used the Water-Wastewater Project Design Manual (Appendix A) which provides design preferences and guidelines for staff and consulting engineers involved in the implementation of W-WW capital works projects within the Niagara Region. Included in this manual is a section pertaining to product and equipment selection and the use of an Approved Product and Equipment List (Appendix B).

The APEL is used to ensure that equipment specified in water and wastewater design and construction projects is appropriate in nature, and when possible, is similar to equipment already in use. This evaluation and limitation of products and equipment allows the Region to: ensure compatibility of individual components to the complete system; reduce the amount of spare parts needed in inventory; and, limit the number of different pieces of equipment that staff must be familiar with in order to provide effective maintenance and time-sensitive emergency repairs. Designers refer to the APEL to determine which products and equipment are included in design and contract specifications. In producing a complete design, the designers choose components to produce an entire functional system. This process frequently results in a number of components which must be specified to a single product in order to ensure compatibility.

The W-WW Product Review Committee (PRC) was formed to update and maintain the APEL on an on-going basis. The PRC is currently comprised of 18 W-WW staff members representing various subject matter experts from across the division. For some specialized equipment categories (e.g. SCADA software and controllers) it is paramount that equipment be standardized to ensure compatibility with existing

infrastructure and to ensure staff have the required tools and product specific training to effectively troubleshoot and maintain this equipment.

The current version of the W-WW PRC Terms of Reference (Appendix C), the APEL and the product Request for Consideration form are posted on the Niagara Region's public website.

Turbo Blowers

Turbo Blowers remain a relatively new technology for the W-WW industry. They are most often used in wastewater treatment aeration processes as a high efficiency alternative for meeting the oxygen demand and providing the necessary mixing action for efficient biological wastewater decomposition.

The Region has had limited experience utilizing turbo blowers that resulted in some operational challenges. As a result, in 2015 the PRC, at the direction of the Director of W-WW Services of the time, temporarily removed the turbo blower sub-category and the two previously approved manufacturers from the APEL. Staff were directed to re-design all on-going capital works projects to use conventional blowers where feasible. The Director agreed to proceed with the installation of turbo blowers at the Niagara-on-the-Lake WWTP as a trial study to continue to test the technology and because the plant was already under construction. He made this decision based on the substantial cost and time delay for the Region to change the design specifications at that phase of the project. The installation of the APG Neuros turbo blowers at the Niagara-on-the-Lake WWTP was agreed to be a 12-month trial study to assess and evaluate the performance of this product with consideration to reinstate them on the APEL if the equipment performed well. The plant was put in to service in January 2020. The trial study is expected to conclude in January of 2021 at which time the PRC will review operational records and render its decision whether to reinstate APG Neuros on the APEL by the end of Q1 of 2021.

Recent advances in turbo blowers, specifically the introduction of the magnetic bearing technology, has led to new potential for the use of this technology in wastewater. On April 26, 2018 the PRC reviewed a submission for Sulzer ABS Turbo Blowers where the committee decided that the product would remain under evaluation during the completion of a 12-month pilot study. A key factor in this decision was the unique design features of the product, specifically the use of magnetic bearing technology in comparison to air bearings used by the Region's previous turbo blower manufacturers. The benefits of magnetic bearing technology include extended life and service intervals, no need for additional cooling systems, built in condition/vibration monitoring system,

high bearing damping and overload capacity and enhanced operational flexibility. The PRC identified an upcoming capital project at a facility suitable for the pilot. Similar to the approach with the Niagara on the Lake WWTP and the APG Neuros product, the Port Dalhousie Wastewater Treatment Plant was chosen as a suitable test site and Sulzer ABS Turbo Blowers were included as the sole acceptable turbo blower manufacturer in Tender 2020-T-116 to facilitate the pilot study. Staff would note that as a practical matter this is not a direct purchase of the turbo blowers by the Region; but rather they are a component of a larger project that was competitively procured by the Region; and it is the contractor who is responsible for retaining the necessary subcontractors and equipment to undertake the project (and they are not bound to follow the Region's procurement policies in doing so in any event). Staff would however further note that the testing/trial use of a good or a service is a supportable basis for a single source purchase in alignment with the Procurement by-law:

18. (a) Bid Solicitations are not required for Single Source Purchases, provided that any of the following conditions apply:

(ii) a Good or Service is Purchased for testing or trial use;

Port Dalhousie WWTP Upgrades Contract 1 project was executed through a competitive public tender process (2020-T-116) with included detailed specifications for this new blower technology adhering to the approved Product Review Committee (PRC) Terms of Reference. Phase II Upgrades scheduled for 2023 will also be issued as a competitive procurement process.

Staff acknowledge that the above actions were not accurately reflected on the APEL at the outset of Tender 2020-T-116. These errors were identified and corrected in Addendum #1 dated September 21, 2020 and a clarification communication was issued to the impacted equipment manufacturer on October 7, 2020.

Given the potential benefits, the PRC remains committed to adopting turbo blowers onto the APEL. While it is uncommon for the PRC to undertake a pilot study of this scale, the PRC determined that it was necessary to prevent risk to plant operations and to have conclusive evidence of acceptable performance of the different turbo blower technologies. The pilot study adheres to the approved PRC Terms of Reference and is consistent with the previous large scale pilot study initiated in 2016 for the Fujiwara Automatic Scum Removal System at the Niagara-on-the-Lake WWTP. If the results of the trial studies of the two types of turbo blowers are found to be acceptable, this equipment will be reinstated on the APEL.

Other Pertinent Reports

PW 44-2020 Award of Contract 2020-T-116 Port Dalhousie WWTP Upgrades Contract 1 (December 8, 2020)

Respectfully submitted and signed by

Bruce Zvaniga, P.Eng.
Commissioner of Public Works (Interim)
Public Works Department

Appendices

Appendix A W-WW Project Design Manual

Appendix B W-WW Approved Product and Equipment List (APEL)

Appendix C W-WW Product Review Committee Terms of Reference



WATER-WASTEWATER PROJECT DESIGN MANUAL
(ENG-PM-ALL-MAN-001)

REVISION 2
EFFECTIVE AUGUST 2019

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Introduction

The Water and Wastewater Services of Niagara Region have developed this Project Design Manual as a guide for staff and consulting engineers involved in the implementation of water and wastewater capital works projects within the Niagara Region. This manual provides design preferences and guidelines that must be used as minimum requirements of Niagara Region. Design consulting engineers shall ensure all applicable legislations, codes, bylaws and standards are met for the project along with design preferences described within this document. Niagara Region encourages all designers to utilize sound professional judgment, industry best practices, innovation, creativity and ingenuity within their designs.

Any project specific deviations to this manual shall be discussed and approved by Niagara Region staff prior to implementation.

SECTION A - GENERAL

A.1 Document Scope

This document is intended to be used for all water and wastewater projects implemented by the Capital Works Program of the Public Works Department of Niagara Region. Niagara Region expects that all staff and design consulting engineers will comply with the design preferences described within this manual unless otherwise noted within the specific project Terms of Reference or unless written approval has been received from Niagara Region.

This document does not supersede or replace any effective legislation standards and regulations governing the design of water and wastewater infrastructure.

A.2 Reference Documents

This document is intended to be read in conjunction with the latest version of the following Niagara Region documents:

1. [Niagara Region Water and Wastewater Master Servicing Plan](#)
2. *Niagara Region Water and Wastewater Security Technical Specifications*
3. *Regional Municipality of Niagara Integrated SCADA Standards Manual*
4. *Niagara Region Biosolids Management Master Plan*
5. *Niagara Region Water and Wastewater Services Commissioning Guideline*
6. *Niagara Region Water and Wastewater Services Specification for Maintenance Hole Rehabilitation.*
7. [Niagara Peninsula CAD Standards](#)
8. [Niagara Peninsula Standard Contract Documents \(NPSCD\)](#)
9. *Niagara Region's Approved Product and Equipment List (APEL)*
10. *Niagara Region Water and Wastewater Operations Manual template*
11. *Niagara Region Chemical System Design Standard*
12. *Niagara Region Filter Media Replacement Specification*
13. *Niagara Region Water and Wastewater Services Working at Heights Procedure*
14. *Niagara Region Lighting Standards*
15. *Niagara Region's Standard Operating Procedure for Turbidity*
16. *Niagara Region's Quality Management System*
17. *Niagara Region Policy for Lettering on Steel Water Storage Tanks and Stand Pipes*
18. *Niagara Region Sewer Use Bylaw*

A.3 Designer Responsibilities

Design of water and wastewater infrastructure shall comply with the latest version of all applicable acts, codes, bylaws, regulations, guidelines and standards including Niagara Region's *Drinking Water Quality Management System* and *Wastewater Quality Management System*.

All sections of the Project Design Manual (PDM) are related, and each section of the PDM is not necessarily complete in itself. The Designer shall read each section, in conjunction with all other sections, to ensure a complete design, and that all project requirements are met.

A.3.1 Approvals and Permits

The designer will be responsible for the preparation of all applicable approval/ permit applications necessary to construct the facility (including initial submission, follow-up and securing of all approvals and permits).

A.3.2 Non-Compliance with Design Manual

If the designer deems that deviation from this manual is in the best interest of the project, then the designer is required to make a formal request to Niagara Region's Project Manager with a memorandum identifying the deviations with an explanation of the benefits to the project.

A.3.3 Level of Service and Backup (Redundant) Equipment

The level of redundancy for process and equipment shall be in compliance with regulatory objectives, generally with sufficient backup devices to be able to meet peak instantaneous demand following failure (or maintenance) of one largest capacity unit. The designer shall ensure that the flow to any treatment process unit out-of-service can be routed to remaining units in service with minimum impact on their performance.

A.3.4 Risk Assessment

The designer is expected to complete and maintain a risk assessment in the form of a risk register which includes, but is not limited to, the following information.

1. List of all potential risks with unique identification number
2. Date risk was identified
3. Description of risk
4. Type of risk (safety, environmental, financial, social, contractual, technical, schedule, liability, etc.)
5. Stage at which project risk may occur
6. Evaluation of the probability/ likelihood and impact/ consequence of the risk
7. Ranking of the risks
8. Description of potential mitigation measures (accept, avoid, transfer, reduce)

9. Final decisions and status of risk

10. The risk analysis shall address the following questions.

- a) What is the criticality of each asset that is to be taken out of service?
- b) Is the facility to remain in operation while the upgrades are taking place?
- c) What contingency plans will be implemented to mitigate the risks?
- d) What costs are associated with each contingency plan?

A risk analysis meeting involving all potentially affected parties shall be required. The designer shall determine if the area municipality(ies) can be considered to be potentially affected party(ies).

A.3.5 Hazard and Operability Review

The designer is required to complete the Hazard and Operability Review (HAZOP), which is a systematic, critical examination of the process and engineering design of the facility/ plant. The designer will audit this review through workshops at specified stages of the project. The intent of the review is to assess the potential hazard of the failure of individual equipment and the consequential effects on the facility as a whole and its potential for negative impact on the environment. The HAZOP review will identify potential hazards associated with the operation of the facility/ plant and will provide recommendations to be incorporated into the design reports relating to the following.

1. Finished water quality
2. Effluent water quality
3. Hydraulic overload
4. Emergency overflows
5. Module by-pass
6. Equipment hazards
7. Equipment failure hazards
8. Odour hazards
9. Health and safety review
10. High/low nutrient load
11. Spills to the environment
12. Specific hazards for elevated tanks

A.3.6 Health and Safety

In addition to current health and safety guidelines and regulations, Niagara Region has the following requirements for all water and wastewater projects:

1. Roofing designs must include requirements for anchors tie-offs, or other approved means of fall restraint and fall arrest.
2. A general requirement to design facilities to eliminate confined spaces. Where the design cannot eliminate all confined spaces, all reasonable efforts must be made to reduce the quantity of confined spaces and hazards within any confined space. The space must be designed for ease of ingress, prompt egress, and have appropriate fall arrest and retrieval safeguards.
3. To allow Niagara Region to update its Confined Space Entry database accordingly.
4. Under the Health & Safety Review requirement, Niagara Region's Project Manager will coordinate with the Water/Wastewater Health & Safety Coordinator who will be involved in the design review process.
5. Access hatches to be designed with secondary fall protection grating and have four-sided protection.
6. Designs must address travel restriction, fall restriction and fall arrest for work that may be required while working at heights.
7. Designs must identify how Niagara Region's operation and maintenance staff will be protected.
8. Hazardous gas monitoring in potentially hazardous areas shall be conducted using personal, portable devices.
9. Electrical safety considerations must be made according to all applicable acts, codes, standards, and guidelines.
10. Adequate designs must integrate lock-out/tag-out requirements for all sources of energy. The location of disconnects shall be in the most logically safe location for access and operation.
11. Designs must mitigate excessive noise to the environment and to workers.
12. Where possible, designs must identify atmospheric hazards, assess these hazards with respect to incompatible emissions, and provide adequate ventilation.
13. Emergency eyewash and deluge shower stations shall be provided in the vicinity of the chemical storage areas or other potential exposure risks. The water supply should be tepid water and be compliant with American National Standards Institute (ANSI) Standard Z358.1. The water supply and eyewash/ shower facilities shall be protected from freezing.
14. With respect to the area and function of the environment, designs must provide for adequate illumination for worker safety.
15. A Designated Substance Survey (DSS) must be conducted during the design phase.
16. Prior to final commissioning, conduct Pre-Start Health and Safety Reviews as required as per Ontario regulations.

A.3.7 Security

All water and wastewater facilities shall be designed to comply with the requirements of the Niagara Region Water and Wastewater Security Technical Specifications.

1. This shall apply to perimeter fences and gates, site property and access roads, doors, windows, access hatches, ventilation louvers, overflows and outfall sewers.
2. Site specific considerations from the local municipality must also be followed.

A.3.8 Tender Documents

All tenders for construction will be based on the *NPSCD*. The front end of the tender document will be prepared using the latest version of Niagara Region's standard template at the time of preparation. No deviations from the standard template will be permitted without the express approval of the Project Manager and Procurement Department. In all instances the current version of the NPSCD specification sections to be included in the Tender documents and not merely referenced. In all instances the Tender Documents will contain all relevant sections and specifications and not refer to outside or third party documents.

For linear projects, Special Provisions – Contract Items (SPCI) in the *NPSCD* shall be used. Where there is no specific item specification in the SPCI, or a specification requires modification, the designer will provide the required specification, or modification, in the Special Provisions – Contract Items Supplementary (SPCIS) section.

For facility projects, a combination of SPCI, SPCIS and *Canadian National Master Construction Specification (NMS)* (16 Divisions) are to be used.

For facility and linear projects a combination of the above standards will be required.

The designer shall prepare a commissioning plan as per the *Niagara Region Water and Wastewater Services Commissioning Guidelines*, which shall be included in the tender documents.

A.3.9 Operations Manual

The Operations Manual is a written description that provides a basis for operator training, highlighting the operation of the facility and describing the function of the facility and all associated processes. The designer shall prepare, or update, the Operations Manual in accordance with the latest version of the *Niagara Region Water and Wastewater Operations Manual template*.

A.3.10 Energy Efficient Design

The design of any new system, building, or unit process should consider alternatives to reduce energy costs while still meeting overall objectives for operations, performance and longevity. Wherever practical and cost-effective, these ideas should be incorporated into the design.

The designer will include an energy audit benchmark for the consumption of existing equipment and unit processes to evaluate potential energy savings of an upgrade or retrofit.

The designer will select equipment and vendors that meet the performance specifications while having lower energy consumption requirements.

Refer to Section C for specific energy efficient design approaches pertaining to wastewater treatment plants.

A.4 Design Disciplines

A.4.1 General

The main components of facilities shall be designed for the following minimum service life targets.

Item Description	Minimum Service Life(years)
Structures	100 (post disaster)
Piping and Fittings	>80
Pumps	25
Valves	25
Paints and Coating Systems	25
Electrical	15
Controls and SCADA	10

Niagara Region Integrated Services Group will review shop drawings during the construction phase for electrical, control and SCADA equipment.

A.4.2 Civil

A.4.2.1 Design Vision

Buried infrastructure shall efficiently convey water and wastewater, and its installation and maintenance shall have minimal long-term negative impacts on the existing landscape once restoration is complete.

A.4.2.2 Design Basis

Buried infrastructure shall be designed to meet *Ministry of the Environment Conservation and Parks (MECP) Guidelines*, to be structurally sound subject to all dead and live loading, to be capable of withstanding all thrust forces and surge and transient pressures and burial depths, and to minimize maintenance requirements. Buried infrastructure shall consist of suitable materials as specified in this manual.

A.4.2.3 System Layout

Buried infrastructure shall be located within the public right-of-way and shall not conflict with area municipality infrastructure or with buried utilities.

Buried infrastructure on Niagara Region property shall be located so as not to hinder future expansion of facility operations, shall be accessible for repairs or maintenance when required and shall not conflict with existing buried infrastructure.

Buried chemical feed lines in the public right-of-way and at facilities are to be installed in carrier conduits with tracer wire.

A.4.2.4 Facility Layout

The designer shall comply with the following requirements when expanding or upgrading treatment plants and remote facilities.

1. Provide adequate space between existing and new equipment for operation and maintenance requirements.
2. Ensure that installed equipment can be easily removed.
3. Provide flexibility in facility design to accommodate future possible changes in operation.
4. Ensure that the facility is designed to allow for future expansion works.
5. Give consideration to full site build-out conditions.
6. Give consideration to accommodating future capacity increases within the life expectancy of the asset.
7. Avoid confined spaces where possible.
8. Provide reasonable access to all areas of the site.
9. Provide low maintenance landscaping.
10. Bollards must be included to protect equipment, generators, building or other critical site components.

A.4.2.5 Valve Chambers

The designer shall take the following requirements for valve chambers into consideration.

1. A minimum size of 1800 mm x 2400 mm rectangular valve chamber is to be used in all combinations.
2. Chamber size shall be selected to adequately accommodate all pipe and valves
 - a) Provide minimum clearances of 1.0m on both sides of pipe and 0.30m below pipe to allow sufficient space for servicing and/ or removal of valves when required.
 - b) Valve chambers with valves too large to be removed through man-access openings shall be provided with removable access covers or with removable ceiling panels.

- c) The preference is have valve chambers installed in boulevard areas
 - d) Valve chambers located outside of vehicular traffic areas are to have exposed chamber roofs with removable access covers or hatches for equipment maintenance.
3. Valve chambers shall be designed with head room of 2.1m at a minimum and a maximum of 0.60m clearance from bottom of forcemain pipe to chamber benching.
 4. Valve chambers located in gravel shoulders shall be provided with a paved area sufficient for parking of one vehicle.
 5. All concrete valve chambers shall be provided with adequate thrust restraint, approved waterproofing, sealed joints, and must be insulated from the ground surface to below the frost depth.
 6. Adjustment units, as per OPS, shall be provided for grade adjustment(s).
 7. Chambers shall include a sump located in the vicinity of the access hatch with an appropriate discharge point.
 8. All chambers containing electrical equipment shall be provided with a float controlled sump pump which shall discharge to a sewer where possible. If discharge to a sewer is not possible then flow will be discharged to the surface, and directed away from the structure. All sump pumps shall be intrinsically safe.
 9. All access hatch drains to be piped to the sump.

A.4.2.6 Tracer Wire

1. All buried linear and facility piping including: watermains; forcemains; hydrant laterals; service laterals; chemical feed lines; and all other buried facility piping shall be provided with tracer wire as per the tracer wire requirements contained in this Manual.
2. Tracer wire shall not be installed through chambers, but must be placed around the outside ensuring continuity.
3. Tracer wire is not required on gravity storm and sanitary sewers.
4. Tracer wire shall be 10-gauge TWU copper wire with thermoplastic insulation recommended for direct burial.
5. For directional drilling, auguring or boring installations, three #12 AWG Solid Extra High Strength Copper Clad Steel Conductor (EHS-CCS) shall be installed with the pipe and connected to the tracer wire at both ends, or cad welded to the existing iron pipe at both ends.
6. Tracer wire shall be extended below grade in a PVC conduit to dedicated tracer wire test stations.
7. Tracer wire test stations are to be no more than 300m apart, and the location of all tracer wire test stations shall be indicated on all engineering drawings.
8. Tracer wire test stations shall be located at the property line.

A.4.3 Architectural

A.4.3.1 Design Vision

Buildings for water and wastewater facilities shall be designed to match aesthetic requirements of the surrounding neighbourhood and meet the following requirements.

1. Have minimal maintenance requirements.
2. Complement the surrounding environment.
3. Provide access that meets the requirements of the Accessibility for Ontarians with Disabilities Act (AODA) where appropriate.
4. Be designed to post-disaster standards.
5. Ensure that all openings in the exterior walls are equipped with insect screens and vandal proof louvers.

A.4.3.2 Roofing Design

Design roofs with the following considerations:

1. Sloped roofs only.
2. Give preference to metal roofs over asphalt shingles.
3. All metal roofs shall be provided with lightning rods and grounding.
4. Provide snow guards, eaves and downspouts.
5. Downspouts to be located and oriented such that water is directed away from the structure by the shortest path possible.

A.4.3.3 Windows and Doors

Windows and doors must comply with Niagara Region Water and Wastewater Security Technical Specifications.

A.4.3.4 Wall Finishes

Interior and exterior walls shall be provided with the following finishes:

1. All interior walls shall be architecturally coordinated to provide a level of finish selected for the use or service intended. Additional consideration shall be given to humid environments typically encountered within water and wastewater facilities.
2. Painting for aesthetic purposes shall be limited to areas intended for human occupancy.
3. For bathrooms and washrooms, ceramic tile finishes will be provided on walls.
4. Graffiti resistant materials shall be considered for all exterior exposed walls and/or surfaces.

A.4.3.5 Floor Finishes

The floor shall be finished in accordance with the following criteria:

1. Office, laboratories, computer control rooms, lunchrooms and other general-use rooms shall be provided with non-slip ceramic tile floor finishes.
2. Concrete floors within process areas shall be provided with a slip resistant epoxy finish.
3. All other concrete floors shall be provided with non-coloured floor concrete hardener complete with floor sealer.

A.4.3.6 Handrails

1. All ladders, handrails and guardrails, shall be stainless steel Type 316L, aluminum 6063-T6 (acceptability of NSF-61 approved fiberglass-reinforced plastic (FRP) will be reviewed on a case by case basis) based on location of installation unless otherwise stated herein.
2. FRP will only be acceptable indoors and not at Wastewater facilities.

A.4.3.7 Landscaping

Landscaping shall be designed to minimize maintenance requirements and to meet the Municipality Site Plan Approval requirements. Preference shall be given to native plant or tree species in Ontario, which require minimal watering. Xeriscaping shall be considered in landscaping design where applicable.

A.4.3.8 Fencing, Gates and Signs

For the requirements pertaining to the facility fencing, gates and signs, refer to Niagara Region Water and Wastewater Security Technical Specifications.

A.4.3.9 Lighting

See Electrical Section below.

A.4.4 Structural

A.4.4.1 Design Vision

The designer is to construct all structures with the overall lowest life cycle cost. All structures shall to be designed to post-disaster standards.

A.4.4.2 Basis of Design

Complete structural designs in accordance with the following criteria:

1. All below grade structures shall be constructed with reinforced concrete complete with water stops and Zemdren (Type II) formwork liner for all exposed surfaces.
2. Structures shall be insulated from the surface to below the frost level (minimum 1.7m) and buried structures waterproofed.

3. All miscellaneous metals within water and wastewater structures shall be type 316 L stainless steel. Fiberglass reinforced plastic may be substituted for 316 L stainless steel where deemed appropriate by the designer.
4. All materials in contact with potable water shall be American National Standards Institute / National Sanitation Foundation – 61 (ANSI/NSF-61) certified.
5. Stairway access into below grade structures is preferred. Where stairway access is not possible, access hatches shall be provided.
6. All water retaining structures shall contain a minimum of two independent cells. Each cell must be capable of being isolated for inspection and maintenance purposes without affecting the operation of the other cell(s). Each cell shall be provided with a minimum of two entry/exit points.
7. Concrete water retaining structures shall be constructed of high-performance low-shrinkage concrete. Shrinkage bar testing shall be required.
8. In addition to the Zemdren liner, a crystalline or epoxy coating system shall be considered to improve the long term durability and performance of the concrete structure in contact with water.
9. Coatings shall be designed to withstand normal operating conditions including corrosive and potentially high-chlorine environments. Minimum expected service life of coating shall be 25 years.
10. All expansion joint and caulking material must be protected from exposure to chlorine both during normal operation and during the disinfection process.
11. All ground level, partially buried and underground water retaining structures top shall be above the 100 year flood or the highest flood on record.
12. The area surrounding a ground level or below grade water retaining structure shall be graded to be free of standing water for a minimum distance of 15 metres.
13. Where a water retaining structure base slab is below the pre-construction original finished grade it is preferable to install the base slab above the ground water table.
 - a) Consideration must be given to fluctuations in the water table, therefore, a sub-structure drainage layer of granular material drained to atmosphere or a gravity drained storm sewer is required.
 - b) Maintenance hole access shall be provided at changes in directions along the drainage sewer for access and clean outs.
 - c) In the case where a gravity drainage solution is not possible, a pump dewatering system shall be provided.
14. In the event that the groundwater is expected to be unavoidable, hold down anchors shall be considered.
 - a) Pressure relieve valves shall not be used.

- b) It is the expectation of Niagara Region that a comprehensive plan which addresses buoyancy concerns and/or groundwater removal shall be developed by the designer.
 - c) Such plans shall include comprehensive operational and logistical procedures for draining the water retaining structure for inspection purposes while being mindful of groundwater conditions adjacent to the structure.
15. The designer shall provide a minimum separation of 15 metres between potable water retaining structures and sewers, drains, septic tanks and tile fields.
16. Drains, sewers and other piping located within 15 metres shall be constructed of piping material with a pressure rating suitable for a pressure test of at least 350 kPa. Such pressure tests will have zero leakage.
17. Hydraulic gradients for water retaining structures shall be compatible with specified service levels. Gradients shall be designed to accommodate water retaining structure draw down levels of current Master Servicing Plans plus a 100% allowance for future demand.

A.4.5 Process Mechanical

A.4.5.1 Design Vision

Mechanical systems shall be designed to provide ease of operation and maintenance with an emphasis on efficiency and energy conservation.

A.4.5.2 Equipment Tagging

1. Flat surfaces shall be provided with lamacoid nameplates.
2. Valves and equipment having curved surfaces shall be supplied with stainless steel engraved tags complete with stainless steel chain affixed to the equipment.

A.4.5.3 Piping

1. The designer shall ensure that all process piping can withstand all expected internal and external pressures, loads, thrust forces and transient pressures.
2. All exposed process pressure piping in water and wastewater facilities shall be, at a minimum, type 316 L schedule 10 stainless steel.
3. All piping in contact with potable water shall be ANSI/NSF-61 certified.
4. Chemical feed piping shall be Teflon.
5. All process piping shall be provided with colour-coded labels to comply with the latest edition of the *ANSI/ASME A13.1 Pipe Labeling Requirements*.
6. Colour-coded arrows shall be provided indicating the direction of flow.
7. Pipe sweating shall be controlled with ventilation and insulation.
8. Only standard pipe sizes will be used.

9. Adequate supports for all piping shall be designed and shown on drawings with appropriate details.
10. Long radius elbows are preferred.
11. Sample taps shall be installed on all suction and discharge headers.

A.4.5.4 Valves

1. Main process valves shall be stainless steel or cast/ductile iron complete with internal and external fusion bonded epoxy (FBE) coating, or two part liquid epoxy coating.
2. Valves shall comply with *American Water Works Association (AWWA) Specifications and Standards*.
3. All valves in contact with potable water shall be ANSI/NSF-61 certified.
4. All valves shall be of the correct type for the transmitted fluid, pressure expected and the valve use (ie. shut-off, modulating, etc.).
5. Valves and valve operators shall be oriented to meet the following requirements.
 - a) Ease of operation
 - b) Limited interference with structures and with any other equipment or piping
 - c) Space allowance requirement for maintenance and disassembly
 - d) Valves mounted higher than 2 m shall be provided with a chain operator.
6. Butterfly valves in critical locations shall be provided with a redundant gate valve.
7. Valve systems associated with water pumps with more than 100 mm of discharge shall consist of a suction isolation butterfly valve, discharge check valve, motorized butterfly valve and isolation gate valve prior to connection to the discharge header.
 - a) Ball valves, 50 mm in size, shall be located at the top and bottom of the suction and discharge piping.
8. In potable water facilities, non-buried valve type and materials shall be as follows:
 - a) Valves less than 50 mm shall be stainless steel ball valves.
 - b) Valves 75 mm to 300 mm shall be rising stem gate valves.
 - c) Valves greater than 300 mm shall be butterfly valves except for valves whose purpose is to isolate a butterfly valve. These may be gate valves.
 - d) Check valves shall be cast/ductile iron fusion bonded epoxy (inside and out) complete with stainless steel hardware.
 - e) Air release valves shall be cast iron fusion bonded epoxy (inside and out) complete with stainless steel hardware and an anti-slam device. The designer shall provide a flood protection double check valve on a vent within chambers. Air release valves associated with water systems may be direct-bury.

- f) Globe style pressure relief, surge or pressure control valves shall be cast iron fusion bonded epoxy (inside and out) with stainless steel pilots and stainless steel sensing lines complete with anti-cavity trim as required.
 - g) Sluice gates shall be fabricated from 316L stainless steel. Operators shall be located at ground level.
9. For water transmission systems, valve type and materials shall be as follows:
- a) Gate valves conforming to AWWA C509 or AWWA C515 shall be provided on transmission mains up to and including 300 mm diameter.
 - b) Butterfly valves conforming to AWWA C504 shall be provided on transmission mains 400 mm in diameter and larger.
 - c) All valves shall be housed in approved, adequately designed watertight chambers unless specified otherwise.
 - d) All valves require valve boxes and are to open left (counter clockwise) and shall have a 50 mm square standard AWWA operating nut.
 - e) Where possible, valves shall be located outside of the travelled portion of the road and intersections.
10. In wastewater facilities, non-buried valve type and materials shall be as follows:
- a) Valves 50 mm and less shall be stainless steel ball valves.
 - b) Valves 75 mm and larger shall be stainless steel knife gate or fusion bonded epoxy (inside and out) plug valves.
 - c) Knife gate valves shall be selected to meet the anticipated maximum design pressure for each side (i.e. uni-directional vs bi-directional). Specifications for bi-directional knife gate valves shall identify the anticipated maximum design pressure for each side of the valve.
 - d) Check valves shall be cast/ductile iron fusion bonded epoxy (inside and out) complete with stainless steel hardware.
 - e) Air release valves shall be cast iron fusion bonded epoxy (inside and out) with stainless steel hardware or stainless steel body. Flushing ports must be provided to clean the air valve. Direct buried air release valves are not permitted on wastewater systems.
 - f) Sluice gates shall be fabricated from 316 L stainless steel. Operators shall be located at ground level.
11. For wastewater forcemains, all direct bury valves shall be gate or plug valves.

A.4.5.5 Pumps and Motors

1. All equipment and motors shall be supplied with corrosion resistant metal nameplates fitted securely in a location which can be easily read.

2. Pumps and other rotating equipment shall be provided with bearings selected on the basis of a B-10 life expectancy as defined by the Anti-Friction Bearing Manufacturers Association at rated conditions of service of at least 150,000 working hours. Conventional lubricating points shall be specified.
3. Bearings for electric motors shall be constructed of double seal bearings.

A.4.5.6 Equipment Operating Characteristics

1. All pumps furnished shall operate satisfactorily without excessive wear, excessive lubrication or undue attention required by the operating staff. All rotating parts shall be in true dynamic balance and operate without vibration caused by mechanical defects, faulty design or misalignment of parts. The designer shall take these factors into consideration and design a system that is within acceptable tolerances.
2. To ensure that the vibration level is within the specified limit the designer shall ensure that vibration analysis for all pumps, generally 75 KW (100 HP) and up, is carried out as part of the startup procedure of the equipment and also at the end of the three month operating period. The results of the vibration analysis at the startup procedure shall be included in the Contractor-supplied Equipment Maintenance Manual.

A.4.5.7 Equipment Acceptance Testing

1. Pumps shall be acceptance-tested according to Hydraulic Institute Guidelines Level "A" tolerances as per the following.
 - a) Pumps less than 50 hp (37 kW) are to be supplied with a standard performance curve certified by a factory trained technician or a professional engineer.
 - b) For pumps 50 to 300 hp (37 to 224 kW), a certified factory acceptance test (FAT) is required including sign-off by a professional engineer.
 - c) For pumps greater than 300 hp (224 kW), a witnessed FAT is preferred including sign-off by a licensed professional engineer.
2. FATs shall be conducted prior to releasing such equipment for delivery to site. FATs shall be conducted with the actual motor to be used rather than a shop motor.

A.4.5.8 Equipment Guards

1. Equipment guards shall be provided for all rotating components, couplings, belts, chain drives and extended shafts.
2. Equipment guards shall be hot-dip galvanized steel painted yellow or stainless steel.
3. All equipment shall meet the requirements of the Ontario Health and Safety Act.

A.4.5.9 Equipment Maintenance Requirements

1. The designer shall provide a minimum of 1 m of clear space around all equipment for maintenance work or more as directed by the equipment supplier.

2. Equipment that requires removal for maintenance shall be provided with electrical and mechanical isolation devices to allow for removal without interfering with the operation of the process or facility.
3. In designing the layout of the equipment, the designer shall make provisions for its removal including providing a suitable lifting mechanism.
4. All equipment shall be mounted on a concrete pad with a minimum height of 100mm.

A.4.6 Heating, Venting and Air Conditioning (HVAC)

A.4.6.1 Design Vision

1. HVAC systems shall provide the necessary environmental controls to maximize the performance of the equipment in the facility, while providing comfort heating and cooling to occupants. As most facilities are largely unoccupied, the environment required for optimal equipment performance typically takes precedence.
2. Provide heating, ventilation and air conditioning equipment that meet energy efficiency requirements.
 - a) Overly complicated schemes with limited efficiency gains shall be avoided.
 - b) Heat Recovery and Energy Recovery systems shall only be included in a design where they will provide a good return on investment, have reasonable life expectancy, and require minimal maintenance.
3. Preference shall be given to the use of natural gas heating in place of electric heat.

A.4.6.2 Design Features

1. Under no circumstances shall fans be relied on to declassify newly constructed hazardous spaces on a continuous basis.
2. The National Fire Protection Association 820 (NFPA 820) guidelines shall be followed if older hazardous spaces must be de-rated by ventilation.
3. In a hazardous space, all permanent equipment shall be rated for the unventilated environment.
4. Ventilation shall be available when the hazardous space is occupied as follows.
 - a) Air handling unit (AHU) changeable from 3 Air Changes per hour (ACPH) to 6 ACPH controlled via a door contact switch separate from the security system.
 - b) Once the switch has been tripped the AHU will change from 3 to 6 ACPH.
 - c) Motion sensors will be located within the classified area to maintain operation at 6 ACPH.
 - d) If no motion is sensed for a period of time (i.e. 30 to 60 min) the AHU will revert to 3 ACPH. A local audible alarm will pulse on and off for 30 seconds (configurable) prior to reverting back to 3 ACPH to alert current stationary occupants of the transition.

- e) A fault in the AHU that does not allow the switch from 3 to 6 ACPH, or back to 3 ACPH, will activate a local audible alarm.
 - f) The alarm will be acknowledged locally via a button, but a fault indicator will remain on until the fault is corrected. If the alarm is not acknowledged, the local audible alarm will automatically shut off after 5 to 10 minutes (configurable) but the local fault indicator (pilot light) will remain active.
 - g) Faults within the AHU will be monitored locally and through SCADA at the receiving WWTP.
 - h) Ability for "LOCAL Control" via manual override to activate the mechanical ventilation from 3 to 6 ACPH shall be provided.
5. The heating and cooling requirements for each zone shall be achieved by a dedicated control unit linked to the master control system. However, the zone control unit must be capable of being overridden manually from the HVAC master control system.
6. Design shall consider the environment of specific areas and consider dehumidification if required for the environment and to protect equipment.

A.4.7 Standby Power

A.4.7.1 Design Vision

Sufficient backup power must be provided at all critical facilities to maintain a full level of service for at least two days following a loss of grid power. Preference is for a packaged, stand-alone system consisting of an air-cooled diesel-powered generator in a self-contained sound attenuating skin tight outdoor enclosure.

Standby power shall be provided to the following key facilities:

1. Wastewater Treatment Plants and Remote Facilities.
 - a) All facility essential loads must be capable of being fed from the plant's standby generator(s) at peak hour flow conditions in order to meet Environmental Compliance Approval (ECA) requirements.
2. Water Treatment Plants and Remote Facilities.
 - a) All facility essential loads must be capable of being fed from the plant's standby generator(s) to enable the water treatment plant to meet average day demand.
 - b) In a closed loop system where pressurized system storage is not available, the generator shall be sized to meet the pumping system power requirement for maximum day plus fire flow demand.
3. Chlorine Booster Stations. To be reviewed at the pre-design stage of the project and subject to the final decision of the design team.
 - a) All essential equipment (i.e. PLC, analyzers, flow meter, heater(s) and some lights) are to be provided with standby power.
4. Remote Storage Facilities including Elevated Water Tanks and Reservoirs.

- a) All essential equipment (i.e. PLC, analyzers, flow meter, navigation beacons, heater(s) and some lights) are to be provided with standby power.

A.4.7.2 Design Features

Emergency standby power systems shall be designed with the following features:

1. Diesel powered generators are preferred over natural gas.
2. Emergency standby power systems shall be registered through the MECP Environmental Activity and Sector Registry (EASR) system and shall meet requirements regarding air and noise levels as per Part III of Ontario Regulation 346/12.
3. Grounding shall be installed around the generator.
4. Radiator air cooled engines only.
5. The fuel system shall consist of a double walled tank with minimum storage capacity suitable for 48-hour operation at a full generator load starting at 75% full tank. A fuel level indicating transmitter wired to the programmable logic controller (PLC), a low and high float switch, vent whistle and a fuel leakage alarm must be provided.
6. Variances for equipment not meeting the requirements of the B139.ON code must be obtained.
7. The ventilation system shall be complete with fans, dampers, etc. to meet the required air volume for engine combustion and ventilation requirements.
 - a) The engine ventilation system shall be designed to operate with and without local utility power and also for testing of the various modes of operating conditions.
 - b) Combustion Air Ventilation dampers must be fully open before the diesel engine is permitted to start. Obtain variance from the Technical Standards and Safety Authority (TSSA) if the designer and owner choose not to meet this requirement at critical stations where it is necessary for the generator to start even if the damper fails to open.
 - c) Dampers shall "fail safe" in the open position.
 - d) All ventilators shall be vented to the exterior of the enclosure and shall be equipped with an insect screen.
8. The engine shall be started by an electrical cranking motor with power provided from storage batteries, which shall be a 24 volts system.
 - a) Provide sufficient amperage for three cycles of three cranking periods of 15 seconds duration.
 - b) The starting system shall be capable of providing three complete cranking cycles without overheating.

- c) The system shall include a fully automated battery charger to maintain the battery in a fully charged state, with an alarm to supervisory control and data acquisition (SCADA) in the event of malfunction or low battery voltage.
 - d) Storage batteries shall be provided with quick-disconnects.
9. The generator set shall be provided with a microprocessor-based control system which is designed to provide automatic starting, monitoring and control functions.
- a) The control system shall also be designed to allow local monitoring and control of the generator set and remote monitoring and control, suitable for the intended operating environment.
10. An emergency stop red mushroom head button must be provided.
11. Load bank(s) and if needed, automatic load bank controller, shall be considered for safely testing the generator. Load cell shall be automatic type, or staged cells so that during testing, generator is not subject to insufficient loading. Load bank requirements to be reviewed at the pre-design stage of the project and will be subject to the final decision of the design team. Region preference is to not use proprietary controllers on equipment.
12. The generator shall be installed on a concrete pad complete with a sub base fuel tank.
13. The following apply specifically to indoor generator installations.
- a) To eliminate hazards to personnel, safety guards shall be provided around all hot surfaces, belts, shafts, gears, rotating equipment and other moving parts.
 - b) All generator exhaust components, from the engine to the exhaust stack lagging, shall be provided with removable non-absorbent mineral wool blanket insulation.
 - c) The designer shall provide stairs and a landing to assist filling of above grade fuel tanks.

A.4.8 Electrical

A.4.8.1 Design Vision

Electrical systems shall be designed to support the process, control and monitoring infrastructure that relies on them. The design shall focus on reliability and performance needs of equipment, risk reduction, and safety. Electrical equipment shall be provided in protected locations, of sufficient quality and redundancy, so that critical processes are protected from nuisance and catastrophic failures due to electrical malfunction.

1. Seek simplicity where possible.
 - a) Utilize soft starters in place of variable frequency drives (VFDs), where feasible.
 - b) Preference for electrical panels/equipment to be placed in indoor electrical rooms, if the applicable indoor space is not available then an outdoor bus shelter-type kiosk is to be utilized,

- c) Use outdoor stand-alone generators in place of engineered buildings, where feasible,
 - d) Keep electrical equipment out of hazardous spaces, and;
 - e) Provide backup soft starters for pumps larger than 100Hp; to be reviewed at the design stage of the project and subject to the final decision of the design team.
 - f) Group essential and non-essential loads to facilitate simplistic load shedding schemes for utility power failures
2. Load shedding schemes shall be deployed to automatically shed non-essential loads during a utility power failure. Load shedding shall not be dependent on any proprietary controllers or equipment not explicitly listed in the W&WW Division's Approved Product and Equipment list (APEL) or Automation (SCADA) Standards.
 3. Important electrical equipment shall be kept separate from chlorine storage, to prevent accelerated corrosion.
 4. Electrical equipment placed in underground chambers shall be protected with a sump pump, the chamber shall be waterproofed, and devices shall meet NFPA 820 rules (explosion proof heaters, etc.). SCADA equipment shall not be placed in chambers.
 5. An electrical system coordination study must be completed to confirm electrical system protection and setting of protective devices under normal utility and facility standby power.
 6. Where VFD equipment is being used, a harmonics study is required.
 7. The designer is responsible for the updating and production of all single line diagrams in the facility where they have changed or modified the electrical power supply system.

A.4.8.2 Design Features

Electrical systems shall be designed with the following features:

1. Lamacoid nameplates shall be provided for all electrical equipment.
2. All wiring must be identified with permanent indelible machine printed identifying wire markers on both ends of the phase conductors of feeders and branch circuit wiring.
 - a) The phase sequence and colour coding must be maintained throughout, complying with the Canadian Standards Association C22.1 (CSA C22.1) colour code.
 - b) The control wiring must have an identical tag at both ends, including the junction box. The junction box shall have a terminal box.
3. All electric motors greater than 7.5 KW (10 HP) shall be high efficiency motors. For motors greater than 89.5 KW (120 HP), the minimum efficiency shall not be less than 94% at the specified operating point. However, the final determination shall be made based on life cycle costing analysis.
4. Multilins must be provided for motors greater than 89.5 KW (120 HP).

5. The service entrance shall be protected via transient voltage surge suppression (TVSS) and lightning arresters.
6. Power monitoring on incoming feeders must be provided and connected to SCADA.
7. For critical facilities, two separate feeds (with tie breaker) shall be installed to allow for the isolation of one feed while maintaining 75% of the total station load.
8. Single line diagrams shall be “arch D” size, water resistant, plaque mounted and must be posted in all buildings.
9. Motor control centres (NEMA ICS 2-322) must be provided for all 600V and 4160V equipment.
 - a) Indoor MCCs shall be NEMA/EEMAC 1A gasket enclosure and outdoor NEMA/EEMAC 3R enclosures.
 - b) Evaluate the cost benefit of NEMA/EEMAC 4X outdoor enclosures on a project specific basis.
 - c) A main breaker and individual lockage disconnects shall be provided for each starter, complete with removal buckets.
 - d) Arc flash labels shall be provided.
 - e) Lockable equipment disconnects at MCC shall be provided.
 - f) Local disconnects shall also be provided unless their location would be prone to flooding and damage.
10. All electrical equipment including MCCs and control panels shall be located on the main floor of a facility or if outdoors on a concrete pad all above the regional flood line.
11. Concrete pad shall be 150mm high and sized to include a 1m walkway around the enclosure.
12. Insulation resistance tests shall be performed for all wiring and equipment installed.
13. Electrical junction boxes and panels shall be mounted above flood plain elevations or potential submergence levels.
14. A free standing automatic transfer switch shall be provided for all facilities with permanent generators.
15. A free standing manual transfer switch shall be provided for all facilities without permanent generators.
16. The transfer switch and its controls shall be stand alone, independent and not integrated into the electrical switchgear and protective devices.
17. All conduits within driveways or roadways must be concrete encased complete with a 50% spare conduit capacity.

18. The preferred luminaire type for indoor and outdoor applications is light-emitting diode (LED). Photocell control for all outdoor lighting applications must be provided.
19. Outdoor light fixtures shall comply with the Niagara Region Water and Wastewater Security Technical Specifications, latest revision, for security lighting standards, as well as the Dark Skies Compliant Energy Efficiency Standards.
20. For indoor lighting fixtures, the following shall be provided.
 - a) Lighting shall be energy efficient.
 - b) The designer shall be responsible for conducting a photometric assessment to confirm the necessary number of units and optimum locations.
 - c) Locating light fixtures on high ceilings shall be avoided. For light fixtures that must be located on very high ceilings, access shall be provided for servicing by crane or other practical alternate means of accessibility.
 - d) For energy savings, occupancy sensors shall be provided for indoor lighting where reasonably practical.
21. Emergency lighting shall be provided for each building during regular operation and maintenance duties.
22. All electrical equipment shall be designed for 1m clearance for workability and maintenance purposes.

A.4.9 Instrumentation and Control

A.4.9.1 Design Vision

All instruments shall be installed in a location that is safe for workers, easily accessible, serviceable and efficiently calibrated. Devices shall be suitable for their intended environment.

A.4.9.2 Design Features

In general, the following instruments shall be a standard:

1. Flow measurement instruments within pressure pipe systems shall be with electromagnetic flow meters.
2. Ultrasonic level transmitters with a flume are preferred for flow measurement in open channels or gravity pipelines.
3. Level measurement shall be by pressure, ultrasonic, or radar sensors.
 - a) Provide backup float system.
 - b) Preference shall be given to ultrasonic sensors.
 - c) Level measurement design, and selected technology, shall take into account atmospheric conditions (i.e. steam, mist, etc.), floating debris, foam, loss of echo potential, etc.

- d) Ensure that the face of the sensor does not make contact with the liquid during flooding, or high-level conditions, where the sensor may be submerged (i.e. provide flood cap, etc.).
- 4. Pressure transmitters shall be utilized instead of pressure switches.
- 5. Heat detectors shall be implemented in generator building rooms instead of smoke detectors.

SECTION B - **Water**

B.1 Water Treatment Plants

B.1.1 Design Vision

Niagara Region's goal is to produce potable water that not only complies with the requirements of the Ontario Drinking Water Quality Standards (ODWQS), but also meets treated water quality objectives that in certain cases may be more stringent than the ODWQS. Internal plant operating objectives (working levels) identified in this section have been developed for various treated water quality parameters for Niagara Region's Water Treatment Plants (WTPs).

The construction of a new water treatment plant will likely be specific to the treatment needs of the source water. Typically, it is considered more practical to supply new service areas from existing treatment plants rather than constructing a new treatment plant.

The goal of a water treatment plant is to provide efficient and reliable removal and/or inactivation of contaminants and/or pathogens from the source water and supply treated water to the storage facilities. Treatment plants shall have sufficient backup controls and devices to allow for effective maintenance of all equipment without upset to treatment processes or impacts to the storage and distribution system.

B.1.2 Basis of Design

1. Niagara Region's water treatment plants must be capable of meeting the mandated requirements as stipulated in the *Drinking Water System Regulation (O. Reg. 170/03)* as well as the conditions specified in the Drinking Water Works Permit (DWWP) and Municipal Drinking Water License (MDWL) issued by *MECP* for these facilities.
 - a) All equipment contacting water must be NSF approved (NSF International) as stipulated in the MDWL. This includes but is not limited to NSF-61 and NSF-372.
 - b) Any water residuals that are to be discharged to the sewer or wastewater treatment plant must consider and adhere to Niagara Region's, or local, Sewer Use Bylaw.

B.1.3 Facility Layout

In designing the layout of water treatment plants, consideration shall be given for future expansions of the plant to its ultimate site capacity in order to maximize use of available space on the property.

1. The designer shall in all cases give consideration to maximizing the site ultimate capacity in planning the plant layout, which may be higher than capacity requirements as identified in the Water and Wastewater Master Servicing Plan.
2. Design of the expansion works shall be carried out to permit the orderly construction of the facility economically with minimal disruption of the existing facility.
3. Works must be designed for proper flow splitting at each step in the overall treatment train. Interconnections between equivalent treatment processes from different stages of overall plant development shall be incorporated into the design wherever possible.

4. No equipment, heating pipes, chemical pipes / tubing, or other pipes / tubing / conduits containing material that could cause contamination shall be installed directly over tanks, filters, etc. (i.e. open water).

B.1.4 Treatment Processes and Equipment

B.1.4.1 Water Source

Designer must also take into consideration the latest version of the *Source Protection Plan* for the Niagara Peninsula Source Protection Area prepared under the Clean Water Act and the established intake protection zones (IPZ's) described in that document. Furthermore, designers must take into consideration policies and procedures put in place to minimize potential threats to raw water quality in the design of new water sources and modifications to existing sources or intakes.

Where necessary the designer must provide revisions to the *Source Protection Plan*.

B.1.4.2 Water Intakes

The designer shall take into account the Region of Niagara requirement for pre chlorination at all raw water intake sites for the prevention of Zebra Mussel colonization of these structures and associated piping.

Design of water intakes and associated structures shall take into consideration the potential for formation of frazil ice which can sink and block intakes. The designer shall include features or means to address the formation of frazil ice.

Intakes shall have a minimum of 600mm of clearance from the water bed unless shown that a lesser clearance will not impact the function of the intake.

B.1.4.3 Low Lift Pumping

Low lift pumping stations shall be equipped with vertical turbine pumps and shall be designed without the use of foot valves.

The designer is required to comply with the general intent of Section B, Item 3.0 Water Booster Pumping Stations.

B.1.4.4 Disinfection Processes

In an effort to reduce the formation of disinfection byproducts (DBP's) such as Trihalomethanes (THM) and Haloacetic acids (HAA), the Niagara Region has adopted the following disinfection process which the designer is required to comply with in all future upgrades and expansion of water treatment facilities.

1. Disinfection will be provided using ultraviolet and/or a liquid chlorine solution (sodium hypochlorite) and operating with a free chlorine residual.
2. Disinfection shall meet the plant's Environmental Compliance Approval (ECA) treatment capacity and the required level of redundancy.
3. Adequate chlorine contact time (CT) must be achieved on the plant property rather than relying on a transmission main for CT.

4. Processes such as chemically-assisted filtration shall be provided that will be designed to enhance organics removal in order to reduce DBP formation potential.
5. It is recommended that a multi-barrier approach be used for cyst or oocyst removal/inactivation as a matter of good design practice and as a highly favourable approach with regulatory agencies including MECP and the United States Environmental Protection Agency (USEPA).
 - a) As a primary barrier of treatment, conventional treatment technologies (coagulation, flocculation, sedimentation, and filtration) shall be optimized to ensure high solids removal efficiency.
 - b) Generally, chlorination following conventional treatment is an effective disinfection strategy for giardia inactivation removal, meeting the MECP CT requirement.
 - c) Niagara Region's Water Treatment Plants shall be designed to achieve at least 99% (2-log) removal of cryptosporidium oocysts, 99.9% (3-log) removal of giardia cysts, and 99.99% (4-log removal) of viruses through conventional filtration (or alternative technology) and primary disinfection.

B.1.4.5 Taste and Odour Reduction

Performance requirements for taste and odour reduction systems will depend on the Methyl Isoborneol (MIB) and Geosmin concentrations, expressed in ng/L (nanograms per litre) present in the influent to the water plant. The following table indicates recommended performance requirements for MIB and Geosmin removal.

Influent Water MIB or Geosmin Concentrations (ng/L)	Treated Water MIB Maximum Concentration (ng/L) or Minimum Percentage Removal	Treated Water Geosmin Maximum Concentration (ng/L) or Minimum Percentage Removal
< 100 ng/L	< 10 ng/L	< 10 ng/L
100 ng/L or greater	90%	90%

For plants using granular activated carbon (GAC), the system design shall take into consideration selection of the appropriate type of media, loading rates, empty bed contact times (EBCT), mass transfer zones (MTZ), and absorption factors in order to meet Region design objectives. Pilot testing of new systems or new media shall be conducted to confirm the basis for detailed system design. Refer to the *Niagara Region Filter Media Replacement Specification*.

B.1.4.6 Coagulation and Flocculation

The designer shall evaluate and recommend the most appropriate coagulant chemicals and system configuration in consultation with Niagara Region.

1. The designer shall provide a minimum of two trains, sized such that with one train out of service the remaining train(s) are sized to handle a minimum of one half of the ECA capacity. Each train shall be capable of operating independently.
2. Wherever possible, flocculation tanks shall be designed to optimize g-forces provided by mechanical mixing devices.
3. Flocculation of raw water prior to sedimentation shall be achieved by mechanical mixing.

B.1.4.7 Sedimentation

Sedimentation tanks shall be designed for the efficient removal of particulate matter using plate settlers. A minimum of two trains shall be provided, sized such that with one train out of service the remaining train(s) are sized to handle a minimum of one half of the ECA capacity. Each train shall be capable of operating independently. Alternative technologies for the removal of particulate matter may be used if agreed to by, or identified by, Niagara Region.

For efficient operation of sedimentation processes, ensure that:

1. Sedimentation tanks shall be provided with potable water hose stations for cleaning and removal of sludge. Alternative cleaning technologies shall also be considered.
2. Automated sludge removal is the preferred solution where feasible.
3. The bottom of sedimentation tanks shall be sloped to a sump for periodic sludge removal. It is preferable that the sump shall be provided with a drainage pipe for discharge of wastewater by gravity where a suitable gravity outlet is available.
4. Where gravity outlet is not feasible, sumps shall be sized and oriented for operation with a portable submersible pump. All electrical connections required for such an operation shall be included. An appropriate location for the outlet must be selected for the removal of sludge by discharge to local sanitary sewer where available.
5. A means of isolating individual sedimentation tanks must be provided.
6. Process residuals shall be directed to the sedimentation tanks to settle out as much solids as possible.

B.1.4.8 Filtration

General

The *MECP Procedure for Disinfection of Drinking Water in Ontario* includes acceptable minimum standards for the design and operation of a conventional surface water treatment plant using coagulation, mixing, flocculation and sedimentation followed by filtration. In order to produce potable water with the lowest turbidity level, the following is required in all Region water treatment plant filtration systems.

1. Turbidity on each filter effluent line must be monitored to predict filter breakthrough and begin backwashing prior to breakthrough.

2. Air scour and backwash water systems shall be provided.
3. Plant performance shall be monitored for compliance with regulations to receive disinfection credits.
4. The unit process performance within the WTP shall be monitored.
5. Any filtered water that does not meet operational objectives for filter effluent must be rejected to waste.
6. Microbial removal must be maximized.
7. Halogenated DBP formation when chlorine is added must be minimized.
8. Chlorine addition must be minimized by removing material that increases chlorine demand.

Filter Design Objectives

Niagara Region has adopted the operating objective of 0.15 nephelometric turbidity units (NTUs) or lower for filter effluent turbidity. Based on this requirement, the designer shall design the filtration treatment process train to ensure that each filter shall produce water with filtered water turbidity of 0.15 NTU or less. Any filter effluent water that does not meet filtered water objectives must be diverted to waste. For turbidity control set points see the current version of *Niagara Region's Standard Operating Procedure (SOP) for Turbidity*.

Filter Operation

1. The designer shall provide design details of the filter operation in the pre-design report which shall, at a minimum, include the following components.
 - a) Filter Operation Description
 - b) Filter Layout and Cross-section Drawing(s)
 - c) Filter Instrumentation and Control
 - d) Filter Media
 - e) Backwash Pump and Motor Data
 - f) Backwash Wastewater Holding Tank
 - g) Air Scour System
 - h) Underdrain
2. At a minimum, the filters shall be provided with instrumentation for the monitoring of the following to ensure proper operation.
 - a) Loss of head indicator
 - b) Filtration Runtime
 - c) Flow from each filter effluent line

- d) Flow from each filter-to-waste line
 - e) Backwash flow rate to each filter
 - f) Effluent turbidity monitoring on each filter effluent line
3. Filters shall be provided with the characteristics for normal automatic operation as stipulated in *Niagara Region's SOP for Turbidity*. A detailed process description of filter operation and conditions that would trigger initiation of a backwash sequence shall be defined in the Process Control Narrative and the Operations Manual for the plant.
 4. The backwash method for filter media shall include the air scour method as part of backwash. No other filter backwash method will be accepted.
 5. Granular filter media shall comply with AWWA B100 Granular Filter Material and the *Niagara Region Filter Media Replacement Specification*.

B.1.4.9 High Lift Pumping

High lift pumping must comply with the general intent of Section B, Item 3.0 Water Booster Pumping Stations.

B.1.4.10 Chemical Feed Systems

The designer shall refer to the latest edition of the *Niagara Region Chemical System Design Standard*.

1. For monitoring flow of sodium hypochlorite and de-chlorination chemicals, Niagara Region prefers the use of flow switches. The design shall accommodate Niagara Region's critical control points for no-flow conditions and for compliance with *Niagara Region's Quality Management System*. For coagulant chemicals, Niagara Region prefers the use of magnetic flow meters.
2. In chemical filling areas, a spill containment area shall be designed to include the vehicle loading area and hose connections.
3. Monitoring equipment shall be designed to allow for the measurement of residual chlorine to 0.02 milligrams per liter (mg/l) to allow for appropriate disinfection dosage.

B.1.4.11 Residuals Management

Niagara Region requires that settled sludge from the treatment of residuals be discharged to a local sanitary sewer where available or the supernatant de-chlorinated prior to being discharged to the environment.

B.1.4.12 SCADA

The following water treatment processes shall be fully automated.

1. Inlet Works
2. Low Lift Pumping system to meet plant throughput demand
3. Flocculation System

4. Sedimentation System
5. Filtration including:
 - a) Flow equalization of flocculated raw water to each required filter
 - b) Rate of Filtration
 - c) Filter Backwashing
 - d) Air Scour Backwash System
6. High Lift Pumping system to meet water distribution system demand
7. Chemical System for:
 - a) Coagulation
 - b) Taste and Odour Control (if applicable)
 - c) Disinfection
 - d) Zebra mussel control
 - e) pH Adjustment
 - f) Chlorination of backwash water
8. UV Disinfection System
9. Residual Waste Management System
10. Distribution Monitoring

B.2 Water Transmission Systems

B.2.1 Design Vision

Niagara Region's vision is to design a reliable, energy efficient, structurally sound water transmission system that can sustain all operating and surge pressures, accommodate future growth, minimize the water age, and can be easily serviced by maintenance staff while minimizing the need for confined space entries.

B.2.2 Basis of Design

This section outlines the minimum requirements for the design of water supply transmission systems.

B.2.2.1 Design Water Demand

The system shall be designed to meet the following criteria.

1. Peak hourly demand plus fire flow.
2. Pressure in a transmission main is not to be less than 275 kilopascals (kPa) / 40 pounds per square inch (psi) during peak hour demands at hydrant elevation.

3. Pressure in a transmission main under the condition of simultaneous peak hour flow and fire flow demands is to be not less than 140 kPa (20 psi) at the point in our system where the fire flow is being drawn.

B.2.2.2 Fire Flow

Fire flow requirements to be specified by the area municipalities.

B.2.2.3 Equivalent Population

Please refer to the current *Niagara Region's Water and Wastewater Master Servicing Plan* for estimation of water service demand for the different types of development in the design of water transmission systems.

B.2.2.4 Design Factors

For average daily demand values, maximum day factors and maximum hourly demand peaking factors, refer to the current version of *Niagara Region's Water and Wastewater Master Servicing Plan*.

B.2.2.5 Pressure

Transmission mains shall be designed to withstand all surge and transient pressures and full vacuum without consideration for benefit provided by air/ vacuum valves. That is, transmission mains shall be designed as if air/ vacuum valves are not operational.

Transient analyses shall be part of the engineering scope for all transmission mains.

B.2.3 System Layout

B.2.3.1 Transmission System

The transmission system shall be designed to ensure flexibility of operation and to minimize the area of the community affected by shutdowns during water transmission network repairs. The designer shall demonstrate that water quality can be maintained throughout the transmission system. The designer shall consider the following in the design of the water transmission system.

The use of easements to loop transmission mains shall be minimized.

B.2.3.2 Location

B.2.3.3 Separation from Sewer and Wastewater Mains

The designer shall design transmission mains to ensure adequate horizontal and vertical separation between sewers and watermains.

1. Where transmission mains crossing above or below sanitary and storm sewers have insufficient cover and/or separation, the transmission main shall be completely encased with a minimum of 50mm of polystyrene insulation wrap. Insulation shall be designed to provide a minimum time to ice development after flow stoppage of 48 hours assuming the sewer is at minimum ambient temperature.

2. Where the specified vertical separation cannot be achieved, the storm and/or sanitary sewer shall be constructed of material and with joints that will comply with watermain construction standards and shall be pressure tested to ensure water tightness.

B.2.3.4 Private Service Connections

1. Private service connections are prohibited on transmission mains.

B.2.4 Pipe Requirements

B.2.4.1 Pipe Sizes, Material and Valves

1. All pipes shall have a minimum designed pressure rating of 1034 kPa (150 psi).
2. Transmission mains shall be sized for future growth as per the most current version of *Niagara Region's Water and Wastewater Master Servicing Plan*. Designers shall size transmission mains so as to maintain water quality but avoid unacceptable future changes in the pressure zone hydraulic grade line. All pipes shall have a maximum designed velocity of 1.5 m/s at peak hour demand.
3. The size, functionality and operational philosophy of the transmission main shall be reviewed with operations and engineering staff and determined at the preliminary design stage.
4. The designer shall include as part of the pre-design report the reasons for the selection of the proposed pipe material for the project. Where an alternative material is acceptable, the designer shall indicate this in the report and include a cost/benefit analysis of the acceptable alternative.
5. The following pipe materials are acceptable for transmission mains
 - a) Standard poly-vinyl chloride (PVC)
 - b) Fusible PVC
 - c) Molecularly oriented PVC (PVCO)
 - d) Concrete pressure pipe (CPP)
 - e) HDPE
 - f) The pipe shall transition to stainless steel prior to all underground chambers
6. In determining the suitable pipe class to be used, thrust force, internal pressure, surge pressure, live load, dead load, soil type and trench conditions shall be considered in the calculation. The above calculations and pipe manufacturer's recommendations shall be incorporated into the design.
7. Maximum allowable pipe joint deflection shall be 70% of the manufacturer's specifications. Pipe barrel bending/deflection will not be permitted.

Pipe and Fitting Materials

Material	Joint Type	Specification	Fittings
Polyvinyl Chloride	Gasketed Bell & Spigot	AWWA C900 & C905, CSA B137.3	PVC: AWWA C900, C905, C907, CSA B137.2, B137.3
Fusible Polyvinyl Chloride	Fused joints	AWWA C900 & C905, CSA B137.3	PVC: AWWA C900, C905, C907, CSA B137.2, B137.3
Molecularly-oriented PVCO	Gasketed Bell & Spigot	AWWA C909	PVC: AWWA C900, C905, C907, CSA B137.2, B137.3
Stainless Steel	Welded	ASTM A312, Grade 316L, minimum Schedule 10S	Stainless Steel, Type 316, ASTM A403
High Density Polyethylene (HDPE)	Butt fused	AWWA C906	HDPE - AWWA C906 Electrofusion
Pre-tensioned Conc. Cylinder Pipe	Gasketed Bell & Spigot with wrap-around cement mortar diaphragms	AWWA C303	Concrete – AWWA C303
Pre-stressed Concrete, Lined Cylinder Pipe	Gasketed Bell & Spigot with wrap-around cement mortar diaphragms	AWWA C301 & C304	Concrete – AWWA C301 & C304
Pre-stressed Concrete, Embedded Cylinder Pipe	Gasketed Bell & Spigot with wrap-around cement mortar diaphragms	AWWA C301 & C304	Concrete – AWWA C301 & C304

ASTM – American Society for Testing and Materials

B.2.4.2 Thrust Restraint

1. All transmission mains and thrust restraints shall be designed to withstand the maximum operating pressure plus the surge pressure to which it will be subjected. The design pressure shall not be less than that specified in Ontario Provincial Standard Specification 441 (OPSS.MUNI 441) as amended.

2. All plugs, caps, tees and bends will have approved mechanical thrust restraints. Concrete thrust blocks shall not be allowed other than in chambers.

B.2.4.3 Pipe Depth

1. Transmission mains shall not be less than 1.8m deep.
2. Transmission mains shall be deep enough to provide sufficient head room in valve chambers.
3. Under open ditch or unimproved roads, a minimum cover of 2.4m shall be provided to allow for future road improvements or lowering of the road profile.
4. In areas where minimum cover cannot be achieved, special provision shall be considered to protect pipe from live loading and freezing.

B.2.4.4 Bedding and Backfill

1. The bedding requirements for the transmission mains will depend upon the type and the class of pipe used.
2. Water transmission mains shall be provided with bedding and cover as per the Ontario Provincial Standard Drawings.
3. Bedding and cover material shall be Granular 'A' crushed limestone.
4. For all pipe, bedding shall be compacted to 100% Standard Proctor Maximum Dry Density (SPMDD).
5. The type of backfill material will usually be determined from the location of the transmission main within the right-of-way (ROW). Approved granular backfill shall be used within all road bases.

B.2.4.5 Valves

1. Under normal circumstances on transmission mains, three valves shall be provided on a tee intersection and four valves shall be provided on a cross intersection.
2. Line valves shall be spaced a maximum of 500m apart and shall be the same size as the transmission main.
3. All chambers shall be equipped with a flushing port or drain valve.
4. Drain valves shall be provided at each significant low point for transmission mains 400 mm and larger. All drain valves are to be located in a chamber. The valves shall have a stem to chamber roof in order to operate from the surface.
5. Air release valves shall be provided at all significant high points on large diameter transmission mains (400 mm and larger). Where air release valves are located in chambers, they shall be provided with vent lines that include a double check valve assembly for flood protection.
6. The inclusion of pressure reducing or pressure sustaining valves into transmission main will be considered on a project-specific basis.

B.2.4.6 Corrosion Prevention

The designer shall ensure that all metallic components in the water transmission system are protected from corrosion with appropriate protection measures.

1. As a minimum, buried metallic components shall be protected from corrosion using three-part petrolatum tape meeting International Organization for Standardization 9001 (ISO 9001 standards).
2. All components of the corrosion protection shall be supplied by the same manufacturer/ supplier.
3. All exposed metallic components shall be protected from corrosion with a suitable high performance epoxy coating. Specifications must fully identify repairs to damaged surfaces prior to and during installation.

B.2.4.7 Tracer Wire

Refer to General Section – Civil.

B.3 Water Booster Pumping Stations

B.3.1 Design Vision

The overall objective is to design booster pumping stations that are reliable, safe, flexible, energy efficient and simple to operate and easy to maintain, meet all applicable standards, and provide a high level of service to Region customers.

B.3.2 Basis of Design

Designers shall take into consideration the following features at a minimum when designing water pumping stations:

1. The requirements of the Hydraulic Institute with respect to overall hydraulic design shall be followed. The designer shall pay particular attention to suction conditions for all pumps to avoid cavitation under all anticipated operating conditions.
2. Underground flow meter chambers shall be equipped with power supply, means of access and egress that are compliant with the Occupational Health and Safety Administration (OHSA) requirements, flood detection, and communications.
 - a) Control cabinets shall be installed above ground adjacent to the flow meter chamber.
 - b) Control cabinets shall be weatherproof stainless steel enclosures to avoid the need for confined space entry.
 - c) Chamber structures shall be provided with approved waterproofing.
3. Pipe sizing must accommodate future expansion.
4. The pumps selected shall cover the entire expected range of flows, including minimum flows and maximum day plus fire flows.

5. Flow circulation and water temperature rise shall be considered and evaluated for all stations during all combinations of possible demand scenarios including fire flow.
6. The advantages and disadvantages of available pump station configurations shall be evaluated, including storage with re-pumping. In-line booster pumping is not to be considered.
7. The designer shall allow the ability to isolate individual pumps.
8. Station bypass complete with check valve shall be provided.
9. For larger stations, costs and benefits of more than one discharge watermain shall be assessed.
10. A means of flood protection, detection, and alarming shall be provided.
11. The designer shall provide surge relief valves and piping and assess the need for surge tanks.
12. Energy management shall be an integral part of the design of water pumping stations. Refer to Section A on Energy Efficient Design.
13. A flow meter shall be provided on each watermain leaving the station. A pressure transmitter shall be provided on each watermain entering and leaving the station.

B.3.3 Facility Layout

Facilities shall consider the following:

1. The layout shall provide access for emergency vehicles and cranes.
2. The potential for flooding especially in flood plains must be considered.
3. Sufficient parking for maintenance and operational vehicles must be provided.
4. The design must consider noise controls.

B.3.4 Process Equipment

B.3.4.1 Pumps

The following shall apply to pumping systems:

1. The designer shall refer to the Hydraulics Institute for the design of pumping and piping systems. Particular attention shall be given to pump suction conditions and suction piping. Velocity in pump suction header must be 1.0 m/s or less.
2. Pumping systems shall be designed to have adequate available net positive suction head (NPSHA) that is greater than required net positive suction head (NPSHR) and include a 1.5 m safety margin applied to NPSHA.
3. Pumps shall typically be equipped with soft starters and shall be designed without the use of foot valves. VFDs will be considered only on a case-by-case basis and shall be agreed to by Niagara Region.

4. The designer shall size pumps and appurtenances according to the flows expected during the lifecycle of the facility and shall consider staging of pump sizes where applicable.

B.3.4.2 Surge Protection

Surge protection on a pump's discharge header shall be provided, and water shall be recirculated back to the reservoir where a reservoir exists or to the environment as applicable. Surge protection shall be designed on a site-specific basis and will include drainage to a local storm sewer or discharge to the environment with an air gap and de-chlorination.

B.3.5 Process Control

All instrumentation, appurtenances and a control system shall be provided as necessary to meet Niagara Region's requirement that the water booster pumping station be fully capable of unmanned automatic operation.

B.4 Potable Water Storage

B.4.1 Basis for Design (all Storage)

1. Niagara Region's goal is to provide potable water storage that is watertight, energy efficiency, integrates well with the overall water supply and distribution systems, maintains a high level of water quality, maintains uniform water quality, and provides a high level of service to Region customers.
2. Overall system storage as well as individual storage reservoirs shall be sized to have storage components for operational needs, demand balancing (Max-Day demand), LAM fireflow requirements, and emergency storage. Reservoir capacity at the Water Treatment Plants prior to CT time are not to be used in the calculation of these storage components.
3. Where possible, new, retrofits and rehabilitation of reservoirs should consider the triple bottom line (Economic, Social, and Environmental) comparison of status quo versus a change to operational flow philosophy and to ensure water quality and minimize water age. True life cycle costs are to be assessed including any differences in pumping requirements at water treatment plants, other storage reservoirs and booster pump stations.
4. For elevated storage tanks, the designer shall complete the site layout for the facility as well as the design of the tank in terms of capacity, hydraulic levels, operating range, instrumentation, and general tank configuration. The detailed design of the tank including structural design and mixing/circulation systems (including Computational Fluid Dynamic Modelling) is to be undertaken as a design-build contract by a specialty contractor with experience in elevated water storage tanks.
5. Where a chlorination booster system is required it shall be designed per the requirements of Section B5 – Chlorine Booster System

6. The designer shall ensure that all water reservoirs are adequately mixed, have sufficient overflow capacity, sufficient ventilation capacity, and are watertight with reasonable access for maintenance.

B.4.2 Basis for Design (Non-Elevated Storage)

1. Non-elevated reservoirs should only be used in cases where their use, instead of an elevated reservoir, can be completely substantiated, in economic, environmental and social terms. The Region prefers to pump and add chlorine to potable water only once.
2. In-ground reservoirs shall contain a minimum of two operationally independent cells. Each cell shall be capable of full and independent operation of the pumping station/reservoir system while the other cell is in isolation.

B.4.3 Process Equipment

B.4.3.1 Process and Equipment Redundancy

1. For single reservoir systems, valving, appurtenances and controls should be provided at the WTP high lift pumping station to allow for safely pressurizing of the system (with pressure relief and related controls) during reservoir maintenance/cleaning.
2. Alternatively, for systems where multiple storage facilities are in use or proposed, the designer must show how individual storage facilities can be taken offline for maintenance/cleaning while not affecting the ability to supply water throughout the expected demand scenarios.

B.4.3.2 Reservoir Distribution Centre

A Reservoir Distribution Centre (RDC) is recommended to house electrical panels, chlorine analyzers, valves and other control devices.

3. RDC shall contain all reservoir and yard piping process control devices including valves, check valves, motorized inlet control valves, valve operators, process drains and other ancillary process control and/or instrumentation.
4. RDC shall include stairs or hatches with ladder access to the reservoir and adequate ventilation. Additional yard piping chambers shall be eliminated and/or reduced to a minimum.
5. Isolation valves shall not be submerged within the reservoir.

B.4.3.3 Circulation of Fresh Water

1. All inlet, outlet and piping within the potable water reservoir cells shall be designed to allow the circulation of fresh potable water within the reservoir cells.
2. A hydrodynamic mixing system (HMS) shall be included to provide uniform water age. Baffling is not acceptable as a means for mixing within distribution reservoirs. I.E.: Separate inlet and outlet piping must be provided.
3. Rubber “duck-bill” type check valves are a preferred method for mixing in reservoirs. Where required, (and shown by the designer to be effective), recirculation pumping shall be provided to maintain water age and temperature.

4. Reservoirs at the Water Treatment Plant shall be provided with baffling to achieve at least a T_{10}/T of 0.7. It is mandatory that the baffling be designed in accordance with the Computational Fluid Dynamic (CFD) modeling technique.

B.4.3.4 Storage Cell Isolation (Non-Elevated Storage)

All necessary piping and valving must be provided to allow for the bypassing of any reservoir's cell to be taken off-line for maintenance work.

1. A minimum of a two-cell reservoir must be used, with the ability to isolate any one of the reservoir's cells.
2. For water treatment reservoirs, isolation of one cell shall not impact the minimum required CT value.
1. Manually operated butterfly valves shall be provided, as required, as well as piping to permit the isolation of the potable water reservoir cell(s) for maintenance or construction work without having to shut down the entire reservoir.
3. Sufficient valves must be included to allow reservoir cell isolation to facilitate disinfection without impacting operation of other components of the system that must remain in service.

B.4.3.5 Washdown Piping (Non-Elevated Storage)

1. Washdown piping inside the potable water reservoirs shall be sized for two hoses operating at any one time.
2. A stainless steel wash down header must be provided.
3. Connection points must be provided at 30m intervals to cover the entire reservoir floor area.
4. The reservoir washdown system shall be protected by a dedicated backflow preventer.

B.4.3.6 Reservoir Drainage

1. The full capacity of the potable water reservoir shall be designed to be drained by gravity with controlled discharge to the municipal storm drainage system.
2. The drainage system shall incorporate a means of dechlorination prior to discharge to the storm drainage system.

B.4.3.7 Process Control

Process control for potable water storage facilities shall be designed to meet the following requirements:

2. The designer shall ensure that the full depth of the potable water reservoir is available for operation.
3. The flow of potable water out of a reservoir shall be metered and chlorine residual monitored.

4. An engineered potable water sampling station shall be provided. A sampling station shall be complete with 10 mm stainless steel piping complete with appropriate stainless steel valves and sink in order to permit samples to be taken at the desired location quickly. The location of sampling points is to be identified at the pre-design phase of the project.

B.4.3.8 Emergency Overflow

An overflow from portable water reservoirs / elevated tanks is generally not permitted at any time unless emergency conditions arise. The following requirements shall be implemented concerning emergency overflows:

1. A separate instrumentation and control system shall be provided exclusively for this function to alarm and warn of an overflow.
2. Reservoirs shall be equipped with an overflow system sized to convey 150% of the firm capacity of the upstream pumping capacity in the *Niagara Region Water and Wastewater Master Servicing Plan*. Overflow system include all overflow piping, appurtenances, chamber(s) and receiving infrastructure, from the reservoir to the receiving body. Consideration for future flow capacity shall be given. While the use of an overflow weir is not preferable, head on overflow weirs shall not exceed 200 mm.
3. For a multiple cell reservoir, the overflow system shall be capable of handling the full overflow capacity noted above, with one cell offline, regardless of which cell is offline.
4. The overflow is to be directed to an overflow chamber. Where connection from the chamber to a sewer is not possible, flows from the chamber will be directed to an overland drainage ditch, and in any case, the ultimate discharge point and/or receiving body will be identified for compliance purposes.
5. The overflow chamber will be complete with a suitable air gap, duckbill type check valve on the upstream discharge.
6. The overflow chamber shall incorporate a de-chlorination system on the downstream discharge comprising of an aluminum basket c/w stainless steel chain connected to a winch system.
7. Site grading shall take into consideration the effects of potential overflow from the reservoir drainage system. Management of overflow energy must be taken into account during the design of the facility.
8. Overflows shall not operate as vents.

B.4.3.9 Elevated Tanks

In addition to the requirements elsewhere in this document, elevated water storage tanks shall be designed to meet the following requirements:

1. Designed to supply peak demand rates at constant system pressures
2. Designed to include capacity for operational volume, flow equalization volume, fire storage volume and emergency volume.

3. All tanks to be designed as per latest AWWA standard.
4. Provide a painters rail and drip edge for the elevated tank.
5. Install a watertight access hatch of minimum 600mm diameter at bottom of tank, inside the support pedestal.
6. Provide a safety railing surrounding the top of the tank.
7. Circular reinforced concrete pedestal to support reservoir tank including all piping, valves and instruments at base.
8. Provide a recirculation pump system that has the capability to be manually started at the pump.
9. Provide sample points on the intake and discharge pipes. The sample points will be directed to the outer wall using stainless steel tubing, and will be complete with a shutoff valve. The sample point discharges will be routed to the chlorine analyzer(s).
10. Provide a stairway to the mezzanine level.
11. Provide a drainage system to allow for tank cleaning without contaminating riser pipe(s), and connect system into overflow pipe.
12. Provide an appropriate dehumidification system in the valve room.
13. Provide vacuum relief and overflow in tank.
14. Provide separate inlet and outlet piping.
15. Mixing system shall be provided to ensure consistent chlorine residuals and minimize water age.
16. Tank inlet elevation shall be determined at the time of mixing system design.
17. Provide double door entrance at pedestal base.
18. Seal all floors with a slip resistant coating.
19. Provide a minimum 900mm diameter access tube from the top of the pedestal to the reservoir roof.
20. Install aluminum ladders and platforms inside the pedestal and access tube.
21. The design of elevated tanks shall incorporate a central antenna base support structure for the mounting of communications systems on the top of the elevated storage tank.
22. Minimum 2mm corrosion allowance.
23. Elevated tank painting and logos shall be consistent with the Niagara Region Policy for Lettering on Steel Water Storage Tanks & Stand Pipes. Submit three variations of art work to Niagara for review and approval.

B.4.3.10 Structural and layout (Non-Elevated Storage)

The designer shall include the following structural and layout requirements in the design:

1. The design of a buried reservoir roof shall be based on cast-in-place reinforced concrete or pre-cast double tee concrete structure all complete with a membrane overlay. The membrane overlay shall have a 25 year roof warranty. The reservoir roof shall be covered with insulation and soil to a minimum depth of 400 mm.
2. In-ground reservoirs shall be designed with the roof slab sloped to promote drainage, and include a granular zone above the roof, below the cover material.
3. The reservoir base slab floor shall be sloped to sump pit(s).
4. The designer shall ensure that a maximum 50m egress distance is maintained from any location in each cell.

B.4.3.11 Reservoir Hardware (Non-Elevated Storage)

The designer shall include the following mechanical requirements in the design:

1. The overflow pipe shall be secured with a non-corrodible mesh screen installed within the pipe at a location least susceptible to damage by vandalism.
2. Hardware inside the reservoir, including ladders, handrails, etc., shall be stainless steel Type 316L or NSF-61 approved fiberglass-reinforced plastic (FRP).
3. Two aluminum access hatches, at minimum, shall be provided into each cell.
4. Where possible, access hatches shall be located adjacent to driveways or access roads for convenient access by service vehicles and cranes.
5. Submarine reservoir access hatches shall not be used.
6. Hatches shall be equipped with perimeter drains and limit switches.

B.4.3.12 Ventilation

1. Vents shall be designed to prevent vacuum. At no time shall a reservoir have air space pressurized or under partial vacuum.
2. Vent shall be located at least 900 mm above finished grade and be fitted with stainless steel screens to prevent entry of vermin, birds, and insects.

B.4.3.13 Instrumentation and Control

The designer shall include the following instruments and control systems in the design:

1. Ultrasonic level sensor in each reservoir cell.
2. Reservoir low, high and overflow alarm float in each cell.
3. Groundwater level high alarm.
4. Access house and RDC fire alarm.
5. Access house and RDC smoke alarm.

6. Access house and RDC intrusion alarm.
7. RDC flood alarm.
8. RDC low temperature alarm.

B.5 Chlorination Booster Systems

B.5.1 Design Vision

1. The overall objective is to design chlorination systems that are reliable, safe and simple to operate and meet all applicable design and safety standards. Niagara Region currently uses only liquid chlorine (sodium hypochlorite) at its water facilities.

B.5.2 Basis of Design

1. This section relates primarily to Chlorination Booster Systems and post-chlorination for the purposes of secondary disinfection. Chlorination for the purpose of primary disinfection is addressed under Section B.1 Water Treatment Plants.
2. The designer shall refer to the latest edition of the *Niagara Region Chemical System Design Standard*.

B.5.3 Facility Layout

1. Chemical feed systems shall be in separate areas or rooms to prevent impacts from passive off-gassing from chemicals on sensitive equipment.
2. Spill containment for the chemical filling area must be included in the design. The spill containment area shall include the vehicle loading area and hose connections.

B.5.4 Process Equipment

B.5.4.1 Chemical Metering System Design Features

1. The metering pump panel shall be pre-mounted on high-density polyethylene board, pre-piped, pre-wired and pressure tested with Duty/Standby with Remote Control chemical feed capability. The metering panel shall include spill containment for 110% capacity of the storage tank.
2. The metering pump shall be a solenoid driven diaphragm metering pump or a peristaltic type pump complete with the following components where applicable.
 - a) A minimum of two metering pumps sized for maximum day plus fire flow demand.
 - b) A redundant chemical metering pump piped into the delivery panel must be provided that can be put into service immediately by operating the appropriate valves.
 - c) Microprocessor based electronics.
 - d) LCD display of operating status.
 - e) 4-20 mA external analog control.

- f) Meet the required metering capacity at the specified back pressure.
 - g) Auto-degassing liquid end.
 - h) Fault annunciation relay.
 - i) On/Off Keypad.
 - j) Remote On/Off capability.
 - k) Manual stroke length adjustment 0-100% with electrical readout.
 - l) Diaphragm of polytetrafluoroethylene-faced ethylene propylene diene monomer (PTFE-faced EPDM) with nylon reinforcement and steel core.
 - m) Liquid crystal display (LCD) that shows flow rate in litres per hour, frequency, stroke rate, and stroke length.
 - n) Foot valve and injection valve and a 2 m control cable.
3. The accessories package shall include the following components.
- a) Pre-mounted backpressure valve.
 - b) Pressure relief valves.
 - c) Isolation ball valves.
 - d) Pre-mounted pressure gauge complete with diaphragm isolator.
 - e) Pre-mounted calibration column.
 - f) Isolation valves, as required, for isolation of metering system and/or equipment.
 - g) Flow monitors.
 - h) Corporation stop.
 - i) Bleed valve assembly.
4. The chemical shall be contained in a vertical cylindrical tank with the following operating requirements.
- a) The sodium hypochlorite solution shall have a concentration of 12 to 14%.
 - b) The storage tank shall be equipped with a site glass, 19mm diameter, sch. 40 PVC pipe. The ball valves shall be PVC and shall meet ASTM D-1784.
 - c) A vent shall be provided as required and piped to the exterior of the building or structure.
 - d) All seals must be chlorinated polyethylene (CPE).
 - e) A separate fill opening shall be provided and 50mm pipe fill line shall be connected from the opening to the exterior of the building or reservoir complete with quick connector and cap.

- f) An ultrasonic level measuring system shall be provided.
 - g) Chemical storage and dosing facilities shall be provided, with sufficient storage and pumping capacity to meet peak and minimum flow rates and dosing targets for two weeks without refilling, where possible.
5. The chemical feed system shall be sized to provide an increase to the free chlorine residual to 1.0 mg/l at the maximum rate of flow of water into the reservoir or through the facility.
 6. The control and operation of the chemical feed system operation shall be managed by a PLC which is integrated with the plant SCADA system.
 7. The chemical shall be injected by a metering pump into the inlet and/or outlet pipe.
 8. Chemical injection points shall be positioned to promote mixing, mitigate the possibility of damage, and shall not to impede access to surrounding piping and equipment.
 9. The sodium hypochlorite tank(s) shall be located in a containment area. Requirements for the containment area are as follows:
 - a) The minimum volume of the containment area shall be equal to 110% of the total volume of the sodium hypochlorite storage.
 - b) The containment area shall be rectangular and designed to safely contain sodium hypochlorite at a 12% to 14% strength solution. The containment area will be provided with a chemical resistant coating appropriate for the chemical used.
 - c) A float level and alarm sensor shall be provided to detect liquid in the containment area. The float level shall be installed in the lowest part of the area. A digital signal complete with suitable transducer and transmit sensor cables shall be supplied with the signal sent to the PLC.
 10. The level of the chemical in the tank(s) shall be monitored by the PLC field instrumentation, which is connected to the plant SCADA system for monitoring the level from the treatment plant.
 11. An electronic read-out of the sodium hypochlorite liquid level indicator(s) must be provided at the loading station.
 12. The sealed chemical tank(s) shall be vented to the exterior of the building.
 13. The designer shall locate metering pumps within the volume of the chemical spill containment.
 14. A sanitary drain must be provided for samples containing chlorine. If a sanitary drain is not available, provisions must be made to de-chlorinate the sample flow prior to discharge to the environment.
 15. Provide a stainless steel work area complete with stainless steel sample sink.
 16. A safety eye wash and shower station must be provided as per OHSA.

SECTION C - **Wastewater**

C.1 Wastewater Linear Systems

C.1.1 Design Vision

The goal of Niagara Region's wastewater linear system is a reliable wastewater collection system that can accommodate future growth and minimize maintenance requirements.

Forcemains shall be designed to avoid fouling and plugging and to minimize turbulence and generation of hydrogen sulphide.

C.1.2 Basis of Design

This section outlines the minimum requirements for the design of wastewater collection systems.

C.1.2.1 Flow Calculations

Terms related to dry and wet weather flows are defined as the following.

1. Design RDII (Rain Derived Inflow and Infiltration)

$$\text{RDII} = \text{Catchment Area} \times 0.286 \text{ l/s/ha}$$

2. Design Dry Weather Flow (DWF)

$$\text{DWF} = \text{Average Sanitary Flow} + \text{Dry Weather Infiltration}$$

3. Design Peak Dry-Weather Flow (Peak DWF)

$$\text{Peak DWF} = \text{DWF} \times \text{Peaking Factor}$$

4. Design Wet-Weather Flow (WWF)

$$\text{WWF} = \text{DWF} + \text{Inflow and All Infiltration (Dry Weather and Rain Derived)}$$

5. Design Peak Wet-Weather Flow (Peak WWF)

$$\text{Peak WWF} = \text{Peak DWF} + \text{Design RDII (Catchment Area} \times 0.286 \text{ l/s/ha)}.$$

6. The peaking factors to be applied to the average flow rates such as to determine the peak flow rates are dependent on the type of development.

a) Residential – depending on population using Harmon Formula

b) Industrial, Commercial, and Institutional – expressed in equivalent population and combined with residential population, then using Harmon Formula.

C.1.2.2 Design Capacity

The design capacity of a gravity sewer shall be the maximum flow that can be carried by a sewer without surcharging when the sewer is full.

1. The capacity of a gravity sewer is designed to meet either one of the following:

- a) The Peak WWF when it is located upstream of combined sewer overflow (CSO) storage or when no storage exists
 - b) The Peak DWF when it is located downstream of CSO storage (appropriately sized).
2. The design capacity of a gravity sewer is assumed to be over committed when it runs surcharged during Design Peak DWF, or when it runs surcharged during Design Peak WWF with a peak hydraulic grade line less than 1.8 metres below ground elevation where basements exist or could exist.

C.1.2.3 Average Dry Weather Flow

The designer shall perform the wastewater design flow calculations based on the design parameters provided, using population densities by development type and loads, as published in the most current version of *Niagara Region's Water and Wastewater Master Servicing Plan*. In all cases these parameters are to be confirmed/revised as necessary prior to start of preliminary design.

Individual studies may be required for special commercial establishments, major commercial areas, special industrial areas, and major industrial areas

C.1.2.4 Peak Wastewater Flow Factor

The designer shall refer to the most current version of *Niagara Region's Water and Wastewater Master Servicing Plan* for peak flow factors.

C.1.2.5 Infiltration Allowance

Designers shall use an infiltration rate consistent with that provided in the most current version of *Niagara Region's Water and Wastewater Master Servicing Plan*.

C.1.2.6 Flow Velocities

The maximum velocity shall not be greater than 3.0 m/s with the pipe flowing full, the minimum velocity shall not be less than 0.60 m/s with average dry weather flow and is preferred to be above 1.0 m/s during Peak DWF. Oversized sewers shall not be used in an attempt to justify using flatter slopes

The pipe diameter and slope shall be selected to obtain the greatest practical velocities to minimize solids settling.

C.1.2.7 Bedding and Backfill

1. At a minimum, sewers shall be provided with Type B bedding using Granular 'A' crushed limestone.
2. For all pipe, bedding shall be compacted to 100% SPMDD.
3. The type of backfill material will usually be determined from the location of the sewer within the ROW. Approved granular backfill shall be used within all road bases.

C.1.2.8 Rehabilitation of Existing Sewers and Maintenance Holes (Liners)

Where existing sewers are to be rehabilitated the following shall be required.

1. Maintenance Hole rehabilitation shall incorporate corrosion protection and leak tightness against external ground water pressure.
 - a) The amount of time that the maintenance hole is out of service shall be minimized and the proposed bypass pumping plan shall utilize sufficient capacity to accommodate the design Peak WWF. The proposed bypass plan shall be submitted to Niagara Region for review and approval prior to implementation.
 - b) Condition assessments shall, at a minimum, be according to the most current version of the National Association of Sewer Service Companies' Pipeline Assessment Certification Program (NASSCO PACP).
 - c) Material and application specifications for grout shall be adequate to ensure a sound substrate on which to install the liner.
 - d) Specifications for liner properties shall require that the liner meet minimum standards for thickness, structural strength and elasticity and chemical resistance as outlined in *Niagara Region's Water and Wastewater Services Specification for Maintenance Hole Rehabilitation*.
 - e) Minimum requirements for quality control and liner testing shall be specified.
 - f) The rehabilitation design submission shall be stamped by a professional engineer licensed to practice in the Province of Ontario.
2. In the case of structural lining of existing sewers, the designer shall require that the proposed structural liner submission include calculations and measures as follows:
 - a) The amount of time that the sewer is out of service shall be minimized and the proposed bypass pumping plan shall be sized to accommodate the full Peak WWF as per the updating design. The proposed bypass plan shall be submitted to Niagara Region for review and approval prior to implementation.
 - b) CCTV inspections shall at a minimum, be according to the most current version of NASSCO PACP.
 - c) Material and application specifications for grout shall be adequate to ensure a sound substrate on which to install the liner.
 - d) Specifications for liner properties shall require that the liner meet minimum standards for thickness, structural strength and elasticity, and chemical resistance.
 - e) Minimum requirements for quality control and liner testing shall be specified.
 - f) The liner design submission shall be stamped by a professional engineer licensed to practice in the Province of Ontario.

C.1.3 System Layout

C.1.3.1 Location of Trunk Sewers

1. All new trunk sewers shall be located within the road allowance.

C.1.3.2 Pipe Depth

1. The top of the trunk sewer pipe shall be at a sufficient depth that it does not conflict with local infrastructure, where it can accept gravity flow from the area it services and such that the pipe contents are not susceptible to freezing.

C.1.3.3 Service Connections

1. Sewer services from residential, commercial, industrial, institutional and community facilities shall be connected to the nearest local area municipal sewer and not the Regional sewer main.

C.1.4 Pipe Material

1. The preferred pipe materials for trunk sewers are polyvinyl chloride (PVC) and reinforced concrete pipe (RCP).
2. The designer shall determine the best pipe material for use depending on the application. Other materials may be considered provided that the designer provides sufficient justification for their use.
3. The designer shall include as part of the pre-design report the reasons for the selection of the proposed pipe material for the project. Where alternative materials are acceptable, the designer shall indicate this in the report and include a full life-cycle cost/benefit analysis of all the acceptable alternatives.
4. Prior to comparisons of pipe materials, the designer shall use commercially available software or other design techniques, to determine the appropriate class of RCP required.

Pipe Specification

Material	Joint Type	Specification
Polyvinyl Chloride	Gasketed Bell & Spigot	Maximum dimensional ratio – DR 35 CSA B182.2, OPSS 1841
Reinforced Concrete Pipe	Gasketed Bell & Spigot. Maximum joint deflection – 13 mm.	CAN/CSA A-257, OPSS.MUNI 1820; registered with Ontario Concrete Pipe Association (OPCA)

C.1.5 Maintenance Holes

All maintenance holes shall be designed to eliminate heaving/lifting and other movement and to prevent infiltration, based on the following criteria:

1. All maintenance holes shall conform to the *Ontario Provincial Standard Specifications (OPSS's)* and *Ontario Provincial Standard Drawings (OPSD's)* and *CAN/CSA A-257*.
2. At maintenance holes where pipe sizes change from a smaller pipe size to a larger downstream pipe size, the pipe's obvert elevations shall be matched. It is not permissible for the downstream pipe size to be designed to be smaller than the upstream pipe size.

3. Drop maintenance holes shall be provided where the invert elevation of a sewer entering a maintenance hole is 0.9 m above the invert of the outlet sewer.
 - a) Maintenance holes with internal drops will be designed to accommodate person access. Internal drops are preferred to external drops due to servicing issues with external drops. Vortex units or approved equivalents shall be considered for maintenance holes requiring internal drops.
 - b) The drop pipe shall be one nominal size smaller than the wastewater main.
 - c) The economic feasibility of providing deeper wastewater mains versus excessive invert drops, drop maintenance holes, or excessively steep benching shall be ascertained prior to finalizing the design.
 - d) Prefabricated drops internal to the maintenance hole are only permitted on 1500 mm diameter or larger maintenance holes.
 - e) Where the maintenance hole depth exceeds 5m, safety grating must be provided. Additional safety gratings must be provided every 5m as appropriate. The minimum maintenance hole diameter in such instances shall be 1500 mm.
4. When the rate of flow and the depth of the drop are of such a magnitude that there is potential for significant entrainment of air, then the drop shaft and lower connection shall be designed to provide for release of the entrained air and ventilation of the drop shaft.
5. Where significant sections of wastewater mains are provided with watertight covers at access maintenance holes, extended vents may be required which shall be determined by the designer on a case-by-case basis. Wherever possible, the designer shall avoid placing maintenance holes in low-lying areas. Locating maintenance holes in low-lying areas will only be accepted where no other option is available and in such locations, the top of the maintenance hole shall be above the expected water level during a 10-year rain event.
6. Maintenance holes shall be provided with monolithic bases and watertight joints. Adjustment units, as per OPS, shall be provided for grade adjustment(s).
7. Tee maintenance holes may be used for wastewater mains 1200 mm or larger in diameter.
8. For institutional, commercial and industrial establishments, an inspection maintenance hole must be placed at the property line for access to the service connection in accordance with the *Niagara Region Sewer Use Bylaw* (see *Niagara Standard Drawing (RSD S001-R01)*).

C.1.6 Forcemains

C.1.6.1 General

1. Forcemains shall be designed to withstand maximum operating pressure plus all surge and transient pressures and expected vacuum conditions without consideration

for benefit provided by air/vacuum valves. That is, forcemains shall be designed as if all air/ vacuum valves are non-functional.

2. Transient analyses shall be part of the engineering design scope for all forcemains, and shall take into account the number and timing of the pump cycles to which the main(s) will be subjected.
3. A hydraulic transient analysis shall be undertaken as part of the design process considering the worst-case failure scenario involving the most critical pump and forcemain-in-service combination. The analysis will be completed using hydraulic models based on the final sizes and layout of pumps and forcemains including locations of air/vacuum release valves.

Based on the hydraulic transient analysis, provide devices, if necessary, to protect the forcemain such as, but not limited to, air/vacuum breaker, surge valves, surge tanks, etc. Hydraulic transient analysis shall be redone for any change in the forcemain material, class, alignment, or profile.

4. Wherever feasible, the designer shall design forcemains' profiles such that they rise continuously from the pumping station to the termination point. Ideally, local high points or low points shall be avoided. Under special cases, with the approval of Niagara Region, combination air valves will be permitted at local high points in the profile if the depth of the forcemain is impractical and tunneling techniques have been evaluated and discounted.
5. All low points in the forcemain (if provided) shall be equipped with drain chambers for maintenance.
6. For new construction, wherever possible, the designer shall provide redundant pipes/ conduits/ casings for pipeline crossings of major roads or waterways.
7. Forcemains shall be designed such that provisions for cleaning are provided.
8. Forcemains shall be pressure-tested to zero leakage.
9. Isolation valves should be considered where forcemains connect into a common forcemain. Cleanouts at low points and chambers for pig launching and catching should be considered for any forcemain to facilitate inspection and maintenance.

C.1.6.2 Forcemain Pipe Material

The designer shall comply with the following requirements.

1. In determining the suitable pipe class to be used, live load, dead load, soil type and trench conditions shall be considered in the calculation. The pipe manufacturer's recommendations shall be incorporated into the design.
2. The following pipe materials are acceptable for forcemains.
 - a) Standard PVC
 - b) Fusible PVC

- c) Molecularly oriented PVC (PVCO)
- d) Concrete pressure pipe (CPP)
- e) HDPE.
- f) The pipe shall transition to stainless steel at all underground chambers

Forcemain Pipe and Fitting Materials

Material	Joint Type	Specification	Fittings
Polyvinyl Chloride	Gasketed Bell & Spigot	AWWA C900 & C905, CSA B137.3	PVC: AWWA C900, C905, C907, CSA B137.2, B137.3
Fusible Polyvinyl Chloride	Fused joints	AWWA C900 & C905, CSA B137.3	PVC: AWWA C900, C905, C907, CSA B137.2, B137.3
Molecularly-oriented PVCO	Gasketed Bell & Spigot	AWWA C909	PVC: AWWA C900, C905, C907, CSA B137.2, B137.3
Stainless Steel	Welded	ASTM A312, Grade 316L, minimum Schedule 10S	Stainless Steel, Type 316, ASTM A403
High Density Polyethylene	Butt fused	AWWA C906	HDPE - AWWA C906 Electrofusion
Pre-tensioned Conc. Cylinder Pipe	Gasketed Bell & Spigot with wrap-around cement mortar diaphragms	AWWA C303	Concrete – AWWA C303
Pre-stressed Concrete, Lined Cylinder Pipe	Gasketed Bell & Spigot with wrap-around cement mortar diaphragms	AWWA C301 & C304	Concrete – AWWA C301 & C304
Pre-stressed Concrete, Embedded Cylinder Pipe	Gasketed Bell & Spigot with wrap-around cement mortar diaphragms	AWWA C301 & C304	Concrete – AWWA C301 & C304

C.1.6.3 Thrust Restraint

1. Forcemain thrust restraints shall be designed to withstand the maximum operating pressure from the transient analysis. Adequate thrust restraint must be provided to account for all flow conditions.
2. All plugs, tees and bends shall be provided with approved mechanical thrust restraints. Concrete thrust blocks shall not be allowed.

C.1.6.4 Pipe Size

1. Forcemains shall be sized to have a flow velocity in the range of 1.0 m/s to 2.5 m/s, with the lower limit being preferred for the initial phase.
2. The minimum size for forcemains shall be 150 mm diameter.

C.1.6.5 Pipe Depth

1. Forcemains shall under no circumstances be less than 1.8m deep.
2. Forcemains shall be deep enough to provide sufficient head room in valve chambers.
3. Under open ditch or unimproved roads, a minimum cover shall be provided to allow for future road improvements or lowering of the road profile.
4. In areas where minimum cover cannot be achieved, special provision(s) shall be considered to protect pipe from live loads and freezing.

C.1.6.6 Bedding and Backfill

1. The bedding requirements for the forcemains will depend upon the type and the class of pipe used. For all pipe, bedding shall be compacted to 100% Standard Proctor Maximum Dry Density (SPMDD).
2. Forcemains shall be provided with bedding and cover as per the Ontario Provincial Standard Drawings except for above compaction requirement.
3. Bedding material shall be Granular 'A' crushed limestone.
4. The type of backfill material will usually be determined from the location of the forcemain within the right-of-way. Approved granular backfill shall be used within all road bases.

C.1.6.7 Valves

1. All air valves are to be suitable for use with wastewater and shall be low-pressure double acting types.
2. Air relief valves shall be installed over a riser with a minimum diameter of 100 mm.
3. Air valves shall be located on roadway shoulders and out of intersections.
4. Direct-buried valves are prohibited.

5. The minimum drain valve size shall be 150 mm. The valve shall have operator stem extended to the chamber roof in order to be operable from the surface. Drain pipe shall include an appropriate camlock fitting for connecting a hose to the surface.
6. Chambers, pits or access holes containing valves, blow-offs, meters or other such appurtenances to the wastewater system, shall not be located in areas subject to flooding or in areas of high groundwater

C.1.6.8 Corrosion Prevention

In general, it is preferred to not use buried metallic fittings in the forcemain. The designer shall ensure that all metallic components of the forcemain are protected from corrosion with appropriate protection measures.

1. As a minimum, buried metallic components shall be protected from corrosion using three-part petrolatum tape meeting ISO 9001 standards.
2. All components of the corrosion protection shall be supplied by the same manufacturer/ supplier.

C.1.6.9 Tracer Wire

Refer to General Section – Civil.

C.1.6.10 Forcemain Outlets / Transition Maintenance Holes

The designer shall make provisions for a smooth transition from forcemain pressure flow to gravity sewer flow.

1. All sewage forcemains must terminate in a transition maintenance hole on a gravity sewer. The transition maintenance hole must permit a smooth flow transition to the receiving gravity sewer maintenance hole. The forcemain shall enter the transition maintenance hole at a point not more than 0.3 m (1 ft) above the invert.
2. No other gravity sewers shall enter the transition maintenance hole.
3. The gravity main from the transition manhole to the next maintenance hole shall be at least one size larger than the forcemain and shall have sufficient capacity for all design flows.
4. Forcemain transition maintenance holes shall have a corrosion protective coating.
5. Turbulence in the outlet of the transition maintenance hole must be minimized.
6. At a minimum, the last 6 m of forcemain from the outlet shall be one nominal size larger than the forcemain.

C.2 Wastewater Pumping Stations

C.2.1 Design Vision

Wastewater pumping stations shall provide reliable, safe, energy efficient and low maintenance operation with low visual impact to the surrounding community.

1. Preference will be given to housing electrical equipment in outdoor MCCs and control cabinets protected from the elements including a bus shelter-type enclosure.
2. Niagara Region wastewater pumping stations shall use submersible pumps unless specified otherwise in the Request for Proposal or unless a strong case can be made for a dry well / wet well configuration by the designer.
3. Wet wells shall be designed to minimize turbulence, odour problems, frequency of maintenance, and to maximize pump life.
4. DWFs, WWFs and all operational requirements shall be confirmed prior to start of any preliminary design.
5. Pump stop levels should be designed to minimize the volume of sewage remaining in the wet well after each pump cycle.

C.2.2 Basis of Design

Pumping station configuration shall be designed to provide the most efficient layout of pumps, equipment and piping with consideration for ease of access and maintenance.

1. All pumping station designs, both new stations and retro-fits, shall aim at eliminating (or minimizing where elimination is not feasible) the need for confined space entries into classified areas.
2. Pumps shall be selected based on the most optimal combination of pump efficiency, and full life-cycle (capital, operating and maintenance) costs.

C.2.2.1 Wet Wells

Wet wells shall be designed with the following considerations:

1. Wet wells shall be designed to meet Hydraulic Institute guidelines and to prevent dead zones and debris accumulation. Slope of floor benching shall be preferred 2:1 and a minimum 1:1 (other than the pump footprint).
2. Wet well capacity shall have 2 hours reserve capacity from the last duty pump start level to the invert of the inlet.
3. The depth of the wet well shall be sufficient to ensure adequate control bands for each pump within a maximum of six (6) starts per hour.
4. Pump run time shall be a minimum of 5 minutes at Design DWF. Wet well fill time shall be a maximum of 30 minutes at Design DWF.
5. Means for wet well cleaning must be provided. Provide a 50mm diameter yard hydrant complete with approved RPZ backflow preventer located near the wet well for wash down. When RPZ is located within a chamber, ensure the chamber is water tight and include a sump pump.
6. Access hatches for entry, equipment/ instrument removal, and maintenance must be provided. Hatches will have safety grating under the lid that need to be opened

separately from the lid. Drip trays on access hatches shall only drain to the ground surface.

7. Wet wells shall be water tight with zero visible leakage.
8. Other than pumps, only corrosion resistant concrete and stainless steel (316) are permitted in wet wells.
9. The wet well roof (where hatches are located) shall be at least 200 mm above the 100-year regional flood line.

C.2.2.2 Wet Well Ventilation

1. Declassification of classified areas by means of ventilation will not be accepted.
2. Ventilation of wet well shall meet the following requirements.
 - a) Passive ventilation is required for all wet wells complete with Schedule 10S stainless steel minimum 316L gooseneck outlet and screen. All ventilation ducts in wet well shall be stainless steel.
 - b) For entry into the wet well for maintenance and/ or operational functions, the preferred method of providing ventilation is to use portable fans implemented by operations staff.
 - c) The requirement for a positive forced air ventilation fan shall be on a project specific basis.
 - d) Ventilation fan shall be explosion proof and corrosion resistant.
 - e) Ventilation exhausts shall be directed away from nearby properties as much as practical to reduce the chance of nuisance odours.

C.2.2.3 Valve Room Ventilation

For stations where a valve room is required, the following shall apply.

1. Permanent ventilation equipment and duct work is required.
2. Provide positive ventilation system complete with motorized intake and exhaust dampers and fans with automatic and manual control.
3. It is not permissible to use ventilation equipment to de-rate valve room space.

C.2.2.4 Electrical

Electrical requirements for sewage pumping stations shall be as follows.

1. All electrical equipment shall be designed appropriately for the area classification. Where possible, for ease of service and operation, equipment must be installed in an unclassified area.
2. The designer shall ensure there are two 20A ground fault interrupt (GFI) external electrical outlets located close to the wet well and valve chamber access point.

3. Pumps with temperature and leakage sensors tied to the SCADA alarm system are required.
4. The electrical utility box shall be compact and low profile to complement the aesthetics of the location.
5. For a submersible pumping station where the electrical cabinet is located in in a shelter, the cabinet shall be sized, oriented and located to permit safe maintenance work.
6. A junction box equipped with terminal strip shall be provided on the exterior of the station to facilitate changes of the float regulators.
7. A separate junction box is required for pump power supply and to enable the removal and installation of the pump.

C.2.2.5 Odour Control

All sewage pumping stations shall be designed to minimize the escape of odours from the wet well. The designer shall provide engineering calculations of potential for hydrogen sulfide generation in the forcemain and provide recommendations to prevent generation of odours and for odour control.

C.2.2.6 Wet-weather Storage and Overflows

The need for wet-weather storage at pumping stations for both new stations as well as retro-fits is to be identified by the designer during the pre-design stage.

1. Sewage Overflows must discharge to a water body, municipal drain or storm sewer. Discharge to a storm water detention pond is not permitted. Overflow lines shall be equipped with a backflow preventing valve.
2. Reserve capacity of wet well (highest pump start to overflow level) is preferred to be a minimum of 2 hours during Design Peak DWF. Designer must show wherever this is not possible.
3. The discharge from overflows is required to be monitored and measured for compliance reporting to the MECP.
 - a) The design shall incorporate a method to measure the time, duration and the quantity of overflowed sewage to meet this requirement.

C.2.2.7 Sewage Pumping Station Classification

	Pumping Station Capacity	Type	Wet Well Storage Capacity	Number of Primary Duty Pumps Required	Standby Pump Requirement	Type of Drives	Standby Power
1	Inflow: 0 to 120 L/s.	Submersible pumping station with single wet well and bypass inlet maintenance hole. Outdoor sound-attenuating enclosure for the standby generator. Outdoor control panel and MCC complete with bus type shelter.	Storage requirements to be discussed on a project-specific basis.	One or more pumps with a combined capacity equal to design flow. Pumping system shall be designed for the most efficient configuration under average day flow conditions.	One pump rated at peak flow.	Soft starters are preferred. VFDs only as approved by Niagara Region.	Emergency generator sized to handle design flow and all other essential loads required.
2	Inflow greater than 120 L/s.	Submersible pumping station with divided wet well. Outdoor sound-attenuating enclosure for the standby generator. Outdoor control panel and MCC complete with bus type shelter or superstructure for housing controls and MCC.	Storage requirements to be discussed on a project-specific basis.	Two or more pumps with a combined capacity equal to design flow. Pumping system shall be designed for the most efficient configuration under average day flow conditions.	One standby pump rated at the same capacity of the largest unit.	Soft starters are preferred. VFDs only as approved by Niagara Region.	Emergency generator sized to handle design flow and all other essential loads required.

C.2.3 Facility Layout

C.2.3.1 Control Building

1. For projects where a building is required, provide a building to house electrical equipment and pump controls, mechanical ventilation equipment and lighting equipment.
2. Motorized intake and exhaust louvers shall be provided for ventilation requirements.
3. Control buildings shall be equipped with wheel chair accessible washrooms.
4. Floor elevation (including base slabs for outdoor shelters) must be at least 150 mm above regional 100-year flood line.

C.2.3.2 Site Requirements

A paved access driveway and parking area shall be provided with adequate space for access and maneuvering by sewage hauling tanker trucks and fuel delivery trucks.

C.2.4 Process Equipment

C.2.4.1 Pumps

Pumps shall be provided with the following requirements.

1. Pumps shall be high efficiency, explosion-proof, submersible, a non-clog impeller type suitable for fluid to be pumped.
2. The use of grinder pumps is only acceptable for flow rates less than 10 L/s.
3. Vibration and harmonic analysis must be conducted for pumps if installed in dry wells.
4. Pumps shall be equipped with thermal and leak detection devices.
5. Pumps must be removable from the surface utilizing guide rails.
6. Lifting equipment shall be provided for all pumps.

C.2.4.2 Valves

1. All valves must be installed horizontally. Vertical installations are not acceptable.
2. Valves must be located in a separate water tight valve chamber or valve room. Valves located in the wet well are not acceptable.
3. All valves shall be supplied with fully restrained dismantling coupling.
4. Each pump will be provided with a separate air release valve on its discharge pipe.

C.2.4.3 Process Piping and Fittings

In the design of sewage pumping station piping, the designer shall comply with the following criteria.

1. All appurtenances and connectors shall be corrosion-resistant and compatible with the piping material.

2. Piping layout shall be designed with “Y”s and not “T”s.
3. Flushing connections to facilitate cleaning of plugged lines or pumps shall be provided. Flushing connections shall be a minimum of 75mm diameter.
4. A means for draining the forcemain into the wet well is required. Drain connection is to be located prior to the isolation valve on the forcemain.
5. Flow metering shall be provided for all forcemains.

C.2.4.4 Surge Protection

It is preferable that the designer address flow velocities and pressures within the lift station piping and forcemain to eliminate the possibility of pressure transients and dangerous surge pressures. However, if, given the profile of the forcemain and pipe sizes are such that surges cannot be eliminated, the designer shall include a provision for adequate surge control on a pump’s main discharge header. The designer must review this on a project by project basis.

C.2.4.5 Instrumentation

As a minimum, the following instrumentation shall be provided:

1. Wet well level ultrasonic transmitter.
2. Wet well level backup level ultrasonic transmitter.
3. Wet well operating backup floats, high level float and overflow float.
4. Flow meter on each forcemain.
5. Pressure gauge connections on each pump discharge as well as each forcemain, and, for dry well arrangements, on each pump suction.
6. Flood floats to be provided in all chambers.
7. Pump power monitor.
8. Provide temperature, smoke and fire alarms in all buildings.

C.2.5 Process Pump Controls

Operation of the pumps is to be controlled by an ultrasonic level control tied to the station Programmable Logic Controller (PLC) or remote programmable unit (RPU).

C.2.6 Wet Well / Dry Well Pumping Stations

In rare instances where the design calls for a wet well / dry well-type pumping station, the following provisions shall apply.

1. Dry well shall be physically separated from electrical room, which shall be a non-classified area.
2. Pumps are to be supplied with downstream air valves located prior to check valves to ensure priming. Suction pipe cleanouts shall be provided.

3. Wet well suction inlets shall be bell-mouth (flared) type.
4. A surge pressure relief valve with relief pipe extending from the discharge header through the dividing wall and into the wet well above the TWL. Orientation and routing of this relief pipe shall allow the pipe to drain by gravity to the wet well.
5. Flood floats shall be provided in the dry well.
6. Pressure gauge connections shall be provided on each pump suction line.
7. Permanent dry well ventilation equipment and duct work is required. Provide positive ventilation system in the dry well, complete with motorized intake and exhaust dampers and fans with automatic and/or manual control.
8. It is not permissible to use ventilation equipment to de-rate drywell space.

C.3 Wastewater Treatment Plants

C.3.1 Design Vision

Niagara Region's goal is to produce effluent from each of its wastewater treatment plants that meets the effluent quality limits and objectives stipulated in each Environmental Compliance Approval (ECA).

Wastewater treatment plants and upgrades shall be designed to provide for reliable, safe, energy efficient and low maintenance operation while minimizing impacts on the surrounding community.

Internal plant operating objectives (working levels) identified in this section have been developed for various operational parameters for Niagara Region's Wastewater Treatment Plants.

Treatment plants shall have sufficient backup controls and devices to allow for effective maintenance of all equipment without upset to the process or impacts on final effluent or biosolids quality.

C.3.2 Facility Layout

In designing the layout of wastewater treatment plants, consideration shall be given for future expansions of the plant to its ultimate site capacity in order to maximize the utilization of the available space of the property.

1. Works must be designed for proper flow splitting at each step in the overall treatment train. Interconnections between equivalent treatment processes from different stages of overall plant development shall be incorporated into the design wherever possible.
2. Facility layout shall provide sufficient space for complete servicing, removal, and replacement of all process equipment without impacting operation of the facility.

C.3.3 Treatment Processes and Equipment

C.3.3.1 Process and Equipment Redundancy

The designer shall consider multiple parallel treatment trains for each major process treatment step in the overall plant.

C.3.3.2 Inlet Works

The inlet works shall be housed in a building and designed for ease of operation for the removal of collection bins, process equipment, and cleanup of the facility so as to promote a positive working environment for the operators.

At a minimum, it shall include the following.

1. Inlet works shall be sized to handle actual peak WWF into the facility
2. Automatically cleaned screens shall be provided at all headworks. Preference shall be given to multi-rake, travelling bar screens.
3. A manually operable bypass weir gate and associated channel/piping for emergency operation shall be provided.
4. A screening compactor for the compaction of screening waste material shall be provided. Generally, the same manufacturer shall be selected for both screens and compactors to ensure compatibility.
5. Grit removal equipment shall be provided.
6. Grit and screenings shall be deposited in separate bins.
7. All wastewater originating from the grit cyclone and classifier and compactor shall be piped for return to the plant process stream.
 - a) Grit removal area and grit bins shall be designed and sized to minimize the manual labour involved with moving bins.
 - b) Preference is to have the bins as close to an exterior door and driveway as possible and in the correct orientation to allow the bin removal truck access to the bins.
8. Grit removal shall utilize aerated grit tanks or vortex grit separators without the use of air lift pumps, with preference given to aerated grit tanks. Note: Vortex grit separators are suitable when footprint is a limitation.
9. Odour control with appropriate ventilation system shall be designed to minimize the odour level in the inlet works working area.
10. Detection equipment and instrumentation is required for monitoring the operation of process equipment with a fail-safe feature that would be employed in the presence of combustible gases.
11. Parshall Flumes shall be provided in the influent and by-pass channels for flow measurement.

12. A means for the interception and removal of grease at the headworks shall be provided as well as a separate bin for the temporary storage of grease.
13. Where a septage receiving station is required, it shall be located at the head of the plant and shall include the following requirements:
 - a) Be capable of receiving hauled sewage loads from a variety of truck sizes.
 - b) An actuated valve to allow for the disposal to be directed to either the headworks or to the digesters.
 - c) Provision for source separation of hauled waste as some wastes must pass through the entire treatment process while other wastes may be directed straight to the digesters.
 - d) The septage receiving station shall be provided with a kiosk for the deposit and storage of hauled sewage manifests, a refrigerator for storage of collected samples, a writing area to allow completion of manifest information, an electric space heater, and a wash-up sink for disposal of samples and hand washing.
 - e) There shall be no classifications in this area and it shall be designed for human occupancy.
 - f) Septage receiving stations shall be laid out so that:
 - there is adequate room for septage hauling trucks to effectively maneuver
 - spills will be contained to the area surrounding the vehicle and hose connection, and
 - the entire receiving area can be hosed down to a CB connected to the influent channel. See C.3.3.9 for requirements of containment area.

C.3.3.3 Primary Clarification

The designer shall provide a minimum of two primary clarifiers, sized such that with one clarifier out of service, the remaining capacity is more than the Design DWF (ECA capacity). Design HRT shall be no more than 2 hours for low ADF days. Design shall include for even flow splitting between clarifier units. Surface scum collector troughs shall be provided.

C.3.3.4 Aeration

Aeration system design shall include the following features:

1. The designer shall provide a minimum of two aeration tanks.
2. Systems shall utilize high efficiency fine bubble aeration
3. Where applicable, aeration tanks shall be designed assuming a Plug Flow reaction and to have step feed capability.

4. The aeration system is required to meet the minimum oxygen concentration and mixing requirements. Aeration systems shall be capable of achieving, at any point in the aeration tanks, a minimum dissolved oxygen (DO) concentration of 2.0 mg/L at all times. Aeration systems shall also be capable of providing sufficient mixing to maintain all mixed liquor solids in suspension for each aeration zone, with an aeration zone defined as an area of diffuser density different from a neighboring zone.
5. A flow metering device shall be provided at the main air header. For all branch air headers, each branch shall be provided with a flow meter, an isolation valve and a pressure gauge. Isolation valves shall not be used as balancing devices. Any diffuser zone will need a separate device from the isolation valve to balance airflow, if required by the design.
6. The designer shall provide required field instrumentation (including DO sensors) for the measuring of dissolved oxygen levels in each tank at mid-tank and at end of tank (2 DO sensors per tank).
 - a) The field instrumentation and related control system shall be tied to a fully automated dissolved oxygen (DO) control system which links actual DO level to blower(s) capacity and will automatically vary the air output from the blower(s) in direct response to measured DO, with the intent to keep the DO above 2 mg/L throughout the aeration process.
 - b) The type of dissolved oxygen (DO) meter shall be reviewed at the pre-design stage.

C.3.3.5 Secondary Clarification

1. The designer shall provide a minimum of two secondary clarifiers, sized such that with one clarifier out of service, the remaining capacity is more than the Design DWF (ECA capacity).
2. Sludge return capacity shall be designed for 100% return sludge capacity and all activated sludge flows, both return and waste, shall be metered and recorded.
3. A surface scum collector trough shall be provided.
4. Scum collector shall be fully and easily adjustable by hand with minimal tools.
5. All metal parts in clarifiers are to be stainless steel.

C.3.3.6 Sludge Pumping

Sludge pumps, including raw sludge pumps, return activated sludge (RAS) pumps and waste activated sludge (WAS) pumps, must be suitable for handling sludge and gritty material.

1. Each clarifier shall have a dedicated RAS pump.
2. RAS pumps are required to be sized to meet the full range of flow defined in Table 12-1 of the MECP Design Guidelines for Sewage Works (2008).
3. An on-line sludge total solids (TS) meter shall be provided and tied into SCADA.

C.3.3.7 Effluent Disinfection

Current practice at Niagara Region is to disinfect plant effluent with liquid chlorine (sodium hypochlorite) followed by de-chlorination with injection of a second chemical. The objective is to have no presence of free chlorine in the final effluent at the outfall to the receiving stream.

C.3.3.8 Sludge Digestion

1. The primary digesters shall be circular reinforced concrete tanks with conical floors, with one sidewall access bulkhead into the digester for inspection and cleaning.
 - a) The exterior of the tank shall be complete with pre-cast concrete panel veneer or aluminum cladding.
 - b) An insulated fixed steel cover is required for the primary digester.
 - c) Mixing equipment shall be provided for the primary digester. Secondary to primary digester volume ratios shall not be greater than 1:1.
2. Secondary digesters shall be circular reinforced concrete tanks with conical floors with one sidewall access bulkhead into the digester for inspection and cleaning.
 - a) The exterior of the tank shall also be complete with pre-cast concrete panel veneer or aluminum cladding.
 - b) An insulated steel floating cover for secondary digesters.
 - c) A supernatant line, equipped with a flow meter, shall be provided, and TS metering shall be required on all digested sludge lines leaving the secondary digester.

C.3.3.9 Sludge Loading Station

The sludge loading station shall be designed for minimum interference to the operation of the plant during the sludge loading operation.

1. Access to the sludge loading station shall be designed to permit trucks to enter and leave the station directly without backing into or out of the station. (i.e.: drive through access)
2. A fully curbed sludge containment area shall be provided at the loading station with a catch basin in the middle of the containment area.
3. The containment area shall drain to a holding tank.
4. A hosing station shall be provided for the cleaning of spilled sludge off the truck or the containment area.
5. The sludge loading arm shall be heat traced on all outside pipe sections.
6. A lockable remote control at the sludge loading station must be provided for the starting and stopping of the sludge loading pump.
7. A magnetic flow meter in a building or chamber shall be provided to measure the volume of the sludge being pumped into the truck.

- a) An electronic readout at the sludge loading station is required to indicate the volume of sludge pumped into the truck.
- b) The electronic readout shall be visible to the driver of the tanker truck.
- c) Pumped volume data shall be date and time stamped and shall be captured and recorded by the SCADA system.

C.3.3.10 Sampling Stations

Automatic sampling stations are required to perform discrete or composite, flow proportional and time proportional sampling.

1. The sampler enclosure shall be weatherproof, corrosion resistant, insulated, and complete with forced air heater and thermostat, locking door and bolt down base.
2. The refrigerated sample compartment must be lockable.
3. The controller must be programmable with an LCD display.
4. In the event of a power failure, program settings and stored information shall be maintained by an internal lithium battery.
5. The installation of samplers in classified environments is to be avoided.

C.3.3.11 High Pressure Effluent Water System

The designer shall provide a high pressure effluent water system where required as determined by operations staff for the cleaning of process equipment and general site maintenance.

1. The high pressure effluent water system shall consist of a minimum of two pumps and a hydro-pneumatic tank to maintain system pressure when the pumps are not running. All effluent water needs to be screened/filtered to 500 micron size prior to pumping. Designer to use self-cleaning screens/filters.
2. The system shall be fully automatic with the pumps delivering the required flow and pressure at the furthest post yard hydrant of the high pressure effluent water system.
3. Yard hydrants shall be self-draining and non-freezing. Yard hydrants shall be installed above an engineered granular/geomembrane soakaway. Soakaway to be located above the higher seasonal ground water level.
4. Potable water may be provided with the same function if the effluent water cannot be used, as determined by the operations staff. All potable water service to yard hydrants shall include a RPZ backflow preventer located near the potable water service entrance to the property. Where potable water is connected, no connection shall be made to effluent water. RPZ backflow preventers must be installed in a location to prevent freezing, flooding and mechanical damage with adequate space to facilitate maintenance and testing. RPZ backflow preventers must not be installed in a vault, pit or enclosed space. There shall be no type of interconnection between the effluent water system and the potable water system. Drainage for backflow prevention

assemblies shall be provided for all installations of RPZs to accommodate discharge during testing or draining of the unit and for RPZ relief valve discharges.

5. Where effluent water is used, a nameplate shall be permanently fastened on or near every new and existing hose bib, faucet, hydrant or sill cock located on the water system.
 - a) The nameplate shall read 'Caution Non-Potable Water'.
 - b) Nameplates shall be of the lamacoid type.
 - c) Lettering shall be white, 15 mm high, and on a black background.

C.3.3.12 Low Pressure Hot Water Heating Systems

Low pressure piping and hot water systems shall meet the following criteria:

1. The layout of piping shall provide an expansion and contraction allowance of 100°C in water temperature to ambient at a working pressure of 860 kPa or as required to meet system requirements.
2. All heating pipes shall be installed in such a way that all high points have air relief valves and all low points have drain valves and necessary piping/facility for drainage of full system volume.
3. Piping shall be installed so that there will be no interference with the operation or installation of equipment or other piping systems, ducts, etc.
4. Piping shall ensure noiseless water circulation.
5. Pipes shall not be routed over electrical panels/ transformers.
6. An appropriate location in the heating system shall be provided for the injection of chemical into the hot water system.
7. Balancing and flow control valves shall be provided on hot water return piping from each heating unit or equipment and on the supply and return of each primary and secondary circuit. Immediately after the system is started up and prior to being put into operation, the entire system is to be balanced.

C.3.3.13 Circulating Pump

1. Circulating pumps are to be centrifugal pumps or close coupled vertical in-line pumps.
2. Pump installations should include a shut-off valve, and suction guide in pump suction piping; and a combination check-balance-shut-off valve assembly on the discharge.
3. A pressure gauge shall be included at the discharge side of all pumps.

C.3.3.14 Boiler

1. Boilers heating systems shall consist of dual gas fired boilers and have a minimum energy rating of 85% efficiency.
2. All boilers shall use tube-in-tube heat exchangers (HX).

C.3.3.15 Instrumentation and Control

In addition to the requirements specified by the *MECP Guidelines for the Design of Sewage Works*, latest edition, the following shall apply.

1. Flow meters shall be provided on each raw influent stream, including hauled waste, final effluent, internal return or recycle lines, and side streams from sludge processing steps. The objective is to monitor flow to and from all processes sufficiently to allow for an accurate flow balance to be performed across the entire plant.
2. Total solids (TS) meters and flow meters shall be provided on all primary sludge, secondary sludge (RAS), and waste sludge (WAS) lines. The objective is to monitor all process flow sufficiently to allow for an accurate solids mass balance to be performed across the entire plant.

C.3.4 Energy Efficient Treatment Plant (this section must be followed in addition to the above clauses when specified in the design requirements)

In addition to the following, the designer shall review Section A of this manual for general guidelines pertaining to energy efficient design.

C.3.4.1 Primary Treatment

The designer shall consider the potential use of chemically enhanced primary treatment (CEPT) with the goal of reducing energy costs. The designer is to perform a full cost-benefit analysis of this and other options.

C.3.4.2 Anoxic Selectors

Anoxic zones shall be considered for all tanks to improve settling and to allow for denitrification to reduce process aeration costs.

C.3.4.3 Return Activated Sludge Pumps

RAS pumps shall be provided with variable frequency drives and controllers that pace flow based on wastewater flow rate to allow for maximum turndown and energy savings.

C.3.4.4 Disinfection

The designer shall evaluate the cost/benefit of UV versus chemical disinfection for the application. If ultraviolet (UV) irradiation is recommended for disinfection, only low pressure systems offering the highest UV efficiency shall be used.

C.3.4.5 Digestion

The largest energy users in anaerobic digestion include sludge heating and sludge mixing. The designer shall consider the following opportunities to reduce energy use.

1. The cost/ benefit of alternative mixing systems with respect to energy consumption and life-cycle costs shall be considered, including newer technologies (e.g., linear motion mixers). On-off timers for hydraulic mixing systems shall be provided to reduce energy costs, while maintaining performance with slow settling anaerobic biosolids.

2. The thickening of WAS and/or primary sludge to maximize the sludge feed thickness to digestion shall be considered, resulting in lower heating costs and a smaller digester footprint for mixing.
3. Boilers with the ability to utilize both natural and digester gas shall be provided.
4. Appropriate gas metering is required to monitor the performance of gas production.
5. An incoming sludge solids meter and flow meter shall be provided.
6. Sludge pre-conditioning technologies to maximize sludge stabilization and gas production should be provided.
7. The designer should provide a sludge-to-sludge heat exchanger to recover energy from the digested sludge (typically 35 degrees C in a mesophilic digester) by pre-heating the sludge feed (typically 10 to 20 degrees C).

C.3.4.6 Thickening and Dewatering

Low energy technologies (gravity belt thickener, rotary drum thickener, etc.) should be used to thicken WAS or primary sludge. Effluent water should be utilized, wherever feasible, for belt/ drum cleaning.

1. The total life-cycle cost benefit analysis should be performed and considered when selecting the preferred dewatering technology including power, labour, maintenance, cake dryness, solids capture, biosolids haulage and disposal.
2. When dewatering centrifuges are preferred, structure procurement documents to favour equipment with the lowest total power requirements.
3. Polymer systems should be designed to make down at the highest possible concentration (typically 1%) to minimize potable water consumption. Effluent water should be utilized for secondary dilution to the concentration required for the thickening or dewatering process (typically 0.2 – 0.5%).
4. Consideration shall be given to specifying automated sludge thickening and dewatering equipment.

C.3.4.7 Drying

The following opportunities for maximizing the energy efficiency of a drying facility should be considered.

1. Dewatering technologies and/or digester feed conditioning systems should be selected to maximize the dewatering cake solids concentration to drying (i.e., minimize the energy required for evaporation).
2. Opportunities to recover waste heat or energy should be considered (e.g., digester gas, jacket and exhaust heat from co-generation facilities, etc.) in the treatment plant to off-set the costs of natural gas.
3. The feasibility of solar drying to minimize fossil fuel use should be reviewed.

C.3.4.8 Energy Recovery

The designer shall review opportunities for digester gas energy recovery either through co-generation, micro-turbines or gas purification to natural gas quality for injection to the local grid or for use as vehicle fuel.

1. For any co-generation facility, jacket heat recovery shall be provided at a minimum, and potentially exhaust and jacket recovery shall be provided to allow heating of the feed solids to digestion without supplemental fuels.
2. Alternative digestion pre-conditioning systems shall be reviewed to maximize gas production for co-generation or purification.
 - a) For these systems, an energy balance evaluation (i.e., energy in vs. energy out) shall be completed to determine the effectiveness of the conditioning system.
 - b) Only conditioning systems that offer a net positive energy benefit shall be utilized.

C.3.4.9 Other Considerations

Other considerations for energy efficiency in preliminary treatment include the following opportunities:

1. Enclosed equipment and channels with dedicated draw-off to odour control unit may be utilized to reduce air changes required in the main building area.
2. Equipment with lower overall headroom requirements shall be selected to minimize building height and ventilation air volumes.
3. Areas having Class 1, Division 1 classifications shall be designed, where appropriate. The designer may consider a system with flexibility for lower ventilation rates during winter months.
4. The designer may consider the use of heat recovery ventilators suitable for a classified environment.
5. Opportunities to minimize potable water consumption throughout the plant shall be reviewed.
6. The highest potential for headworks energy savings lies in the design of the HVAC system and area classification to reduce heating demand.

C.3.5 Biosolids Management

Refer to *Niagara Region's Biosolids Management Master Plan*, the latest version, for details.

Appendix A - Glossary

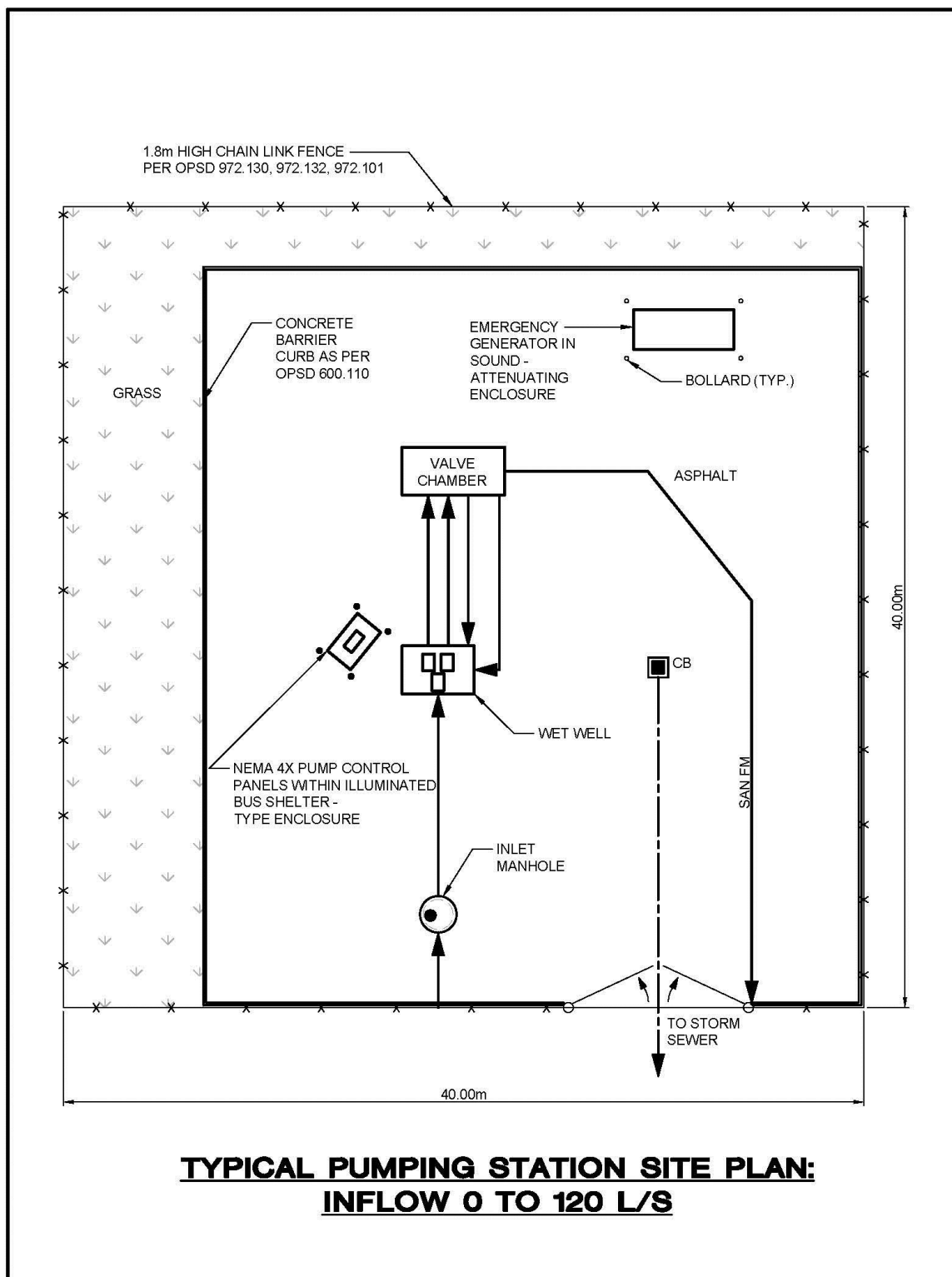
AC	Alternating Current	CAN/CGA	National Standard of Canada/Canadian Gas Association
ACI	American Concrete Institute		
AFBMA	American Friction Bearing Manufacturers	CD-ROM	Compact Disc Read-Only Memory
AGMA	American Gear Manufacturers Association	CGA	Canadian Gas Association
AISI	American Iron and Steel Institute	CGE	Canadian General Electric
AMCA	Air Moving and Control Association	CGSB	Canadian General Specification Board
ANSI	American National Standards Institute	CFD	Computational Fluid Dynamics
AODA	Accessibility for Ontarians with Disabilities Act	CPM	Critical Path Method
APEL	Approved Product and Equipment List	CPP	Concrete Pressure Pipe
ASA	American Standards Association	CPU	Central Processing Unit
ASC	Application Specific Controller	CPVC	Chlorinated polyvinyl chloride
ASCE	American Society of Civil Engineers	CRI	Colour Rendering Index
ASHRAE	American Society of Heating, Refrigerating and Air Conditioning Engineers, Inc.	CRN	Canadian Registration Number
ASTM	American Society for Testing and Materials	CSA	Canadian Standards Association
AWWA	American Waterworks Association	CSO	Combined Sewer Overflows
BOD	Biochemical Oxygen Demand	CT	Concentration Time
BUNA-N	Nitrile	DBP	Disinfection By-Products
C/W	Complete With	DC	Direct Current
C.T.	Current Transformer	DI	Digital Input
CAD	Computer Aided Design	DO	Dissolved Oxygen
		DTC	Direct Torque Control
		DWF	Dry Weather Flow
		DWWP	Drinking Water Works Permit
		EASR	Environmental Activity and Sector Registry
		ECA	Environmental Compliance Approval
		EMI	Electromagnetic Interference

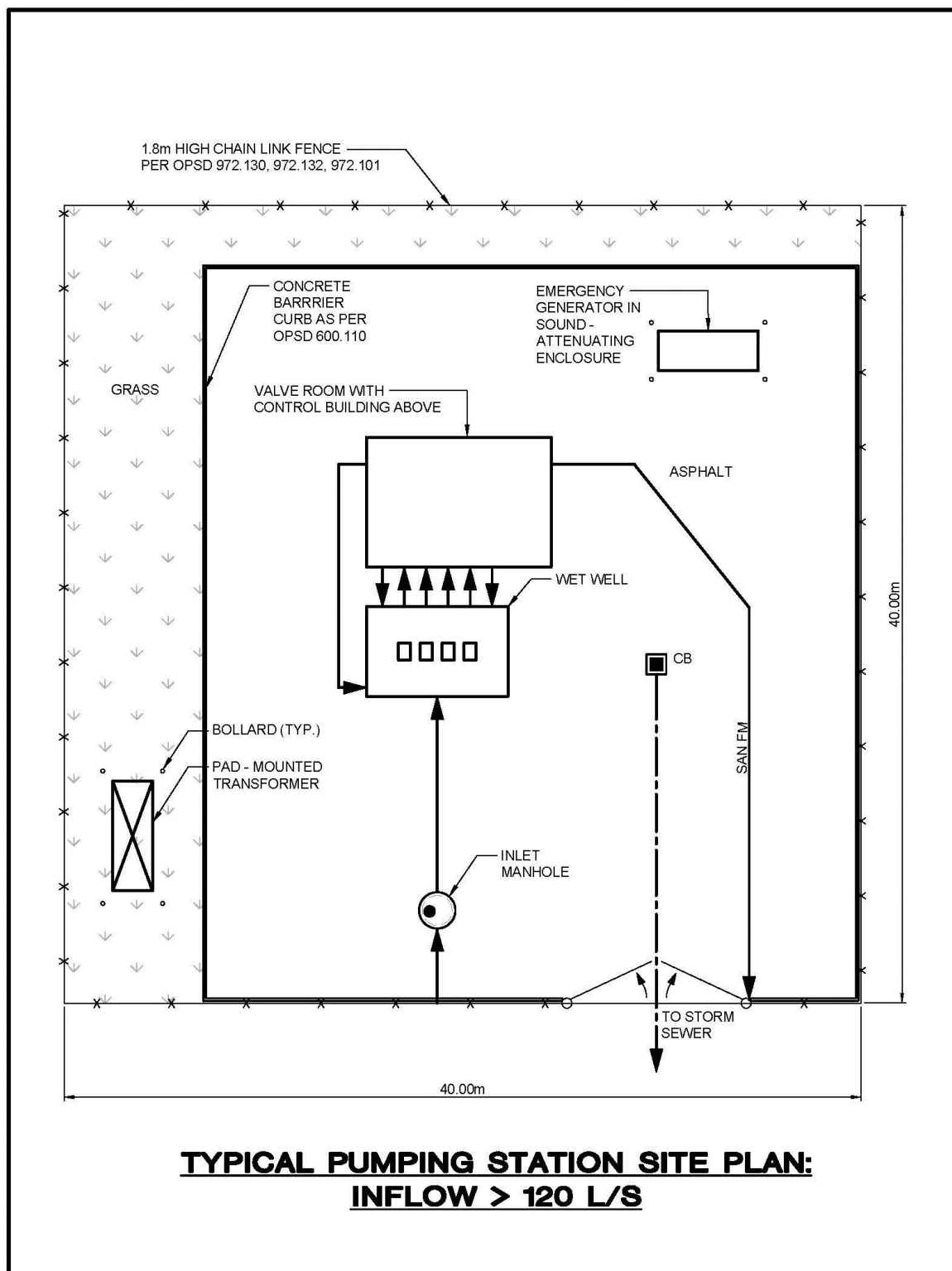
EPA	Environmental Protection Act	IEEE	Institute of Electrical and Electronic Engineers
E.T.M.	Elapsed Time Meter	IGBT	Isolated Gate Bipolar Transistor
EEMAC	Electrical and Electronics Manufacturers Association of Canada	IRQ	Interrupt Request
EEPROM	Electrically Erasable Programmable Read-Only-Memory	ISO	International Standard
EPROM	Electrically Programmable Read-Only-Memory	KPA	Kilopascals
ESA	Electrical Safety Authority	LAN	Local Area Network
FAT	Factory Acceptance Test	LCD	Liquid Crystal Display
FOM	Facility Operation Manual	LED	Light Emitting Diode
FRP	Fibreglass Reinforced Plastic	LCP	Local Control Panel
GAC	Granular Activated Carbon	LL	Low Level
GE Canada	General Electric Canada	LOS	Loss of Signal
GFI	Ground Fault Interrupt	MAC	Maximum Acceptable Concentration
GUI	Graphic User Interface	MAUA	Multi-Attribute Utility Analysis
HAA	Haloacetic Acid	MCC	Motor Control Centre
HAZOP	Hazard and Operability Review	MDWL	Municipal Drinking Water License
HDPE	High Density Polyethylene	MIB	Methyl Isoborneol
HHL	High High Level	MIGD	Million Imperial Gallons per Second
HID	High Intensity Discharge	MNR	Ministry of Natural Resources, Ontario
HMI	Human Machine Interface	MECP	Ontario Ministry of the Environment Conservation and Parks
HP	Horsepower	MOL	Ministry of Labour
HVAC	Heating, Ventilation and Air Conditioning	MOV	Metal Oxide Varistor
HWL	High Water Level	MSDS	Material Safety Data Sheet
Hz	Hertz	MSP	Master Servicing Plan
I/O	Input/Output	MTO	Ontario Ministry of Transportation
I&C	Instrumentation & Control	NASSCO	National Association of Sewer Service Companies' Pipeline
ICI	Industrial, Commercial and Institutional	PACP	
ID	Inside Diameter		

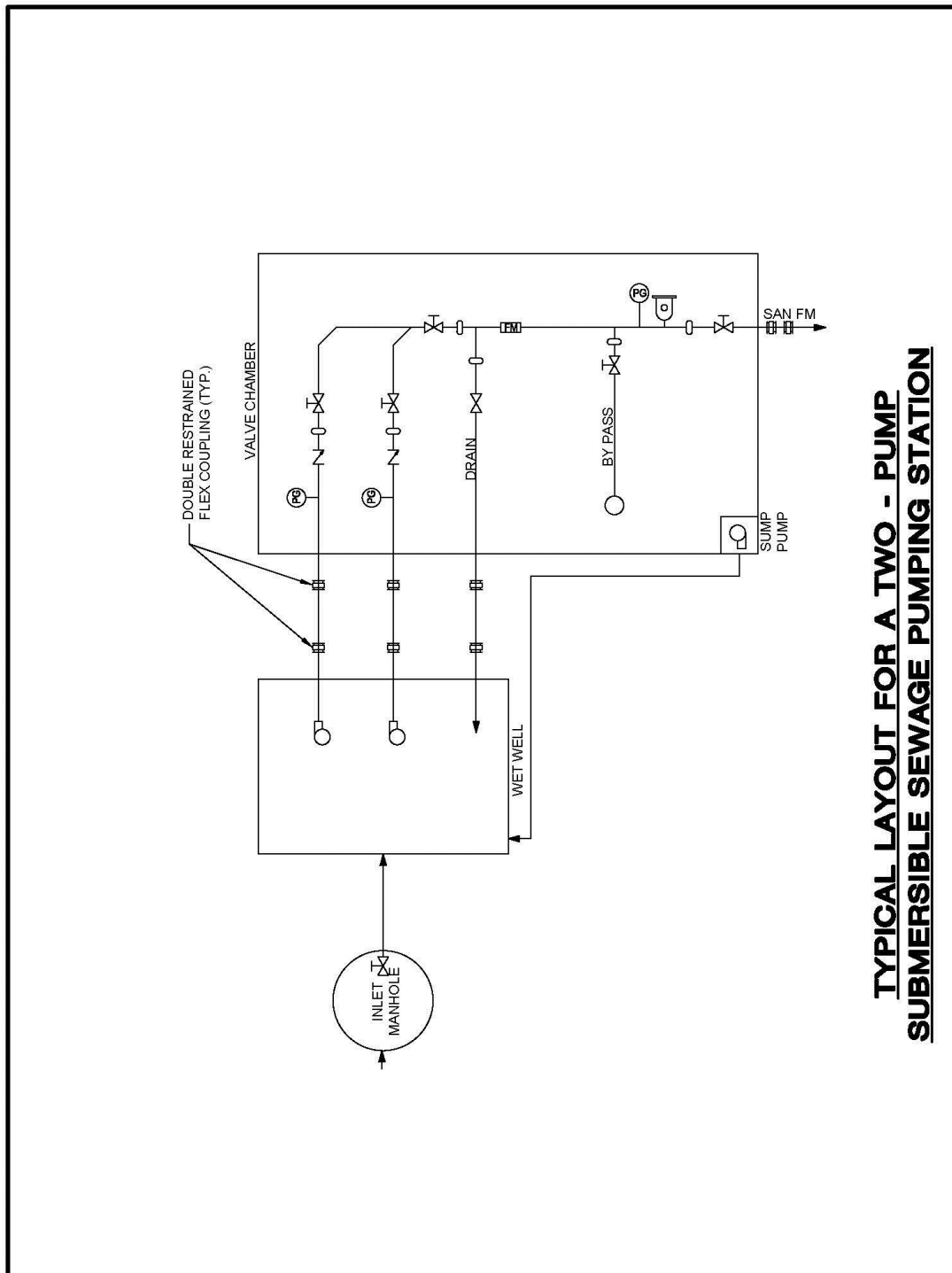
	Assessment and Certification Program	PLC	Programmable Logic Controller
		PMG	Permanent Magnet Alternator
N.C.	Normally Closed		
N.O.	Normally Open	PS	Pumping Station
N.P.T.	Nominal Pipe Thread	PSI	Pounds Per Square Inch
NEMA	National Electrical Manufacturers Association	PTC	Positive Temperature Coefficient
NFPA	National Fire Protection Association	PVC	Polyvinyl chloride
NPC	Noise Pollution Control	PVCO	Molecularly oriented polyvinyl chloride
NPSCD	Niagara Peninsula Standard Contract Document	PWM	Pulse Width Modulated
NSF	National Sanitary Foundation	R.R.O.	Revised Regulations of Ontario
NTU	Nephelometric Turbidity Unit	RAM	Random Access Memory
OBC	Ontario Building Code	RBC	Rotating Biological Contactor
O.D.	Outside Diameter	RCP	Reinforced Concrete Pipe
ODWS	Ontario Drinking Water Standards	Region	Niagara Region
OHS	Occupational Health and Safety Act	RFI	Radio Frequency Interference
		RLC	Resistive Capacitance Inductance
OESC	Ontario Electrical Safety Code	RMS	Root Mean Square
OPS	Ontario Provincial Standards	RPM	Rotations Per Minute
OPSD	Ontario Provincial Standard Drawings	RPU	Remote Programmable Unit
OPSS	Ontario Provincial Standard Specifications	SAE	Society of Automotive Engineer
OWRA	Ontario Water Resources Act	SAT	Site Acceptance Test
P&IDs	Process & Instrumentation Diagrams	SCADA	Supervisory Control and Data Acquisition
PAC	Powdered Activated Carbon	SMACNA	Sheet Metal and Air Conditioning Contractors National Association
PCB	Polychlorinatedbiphenols	SO2	Sulfur Dioxide
PEO	Professional Engineers Ontario	SOP	Standard Operating Procedure
PID	Process and Instrumentation Drawing	SPS	Sewage Pumping Station
		SQL	Structural Query Language

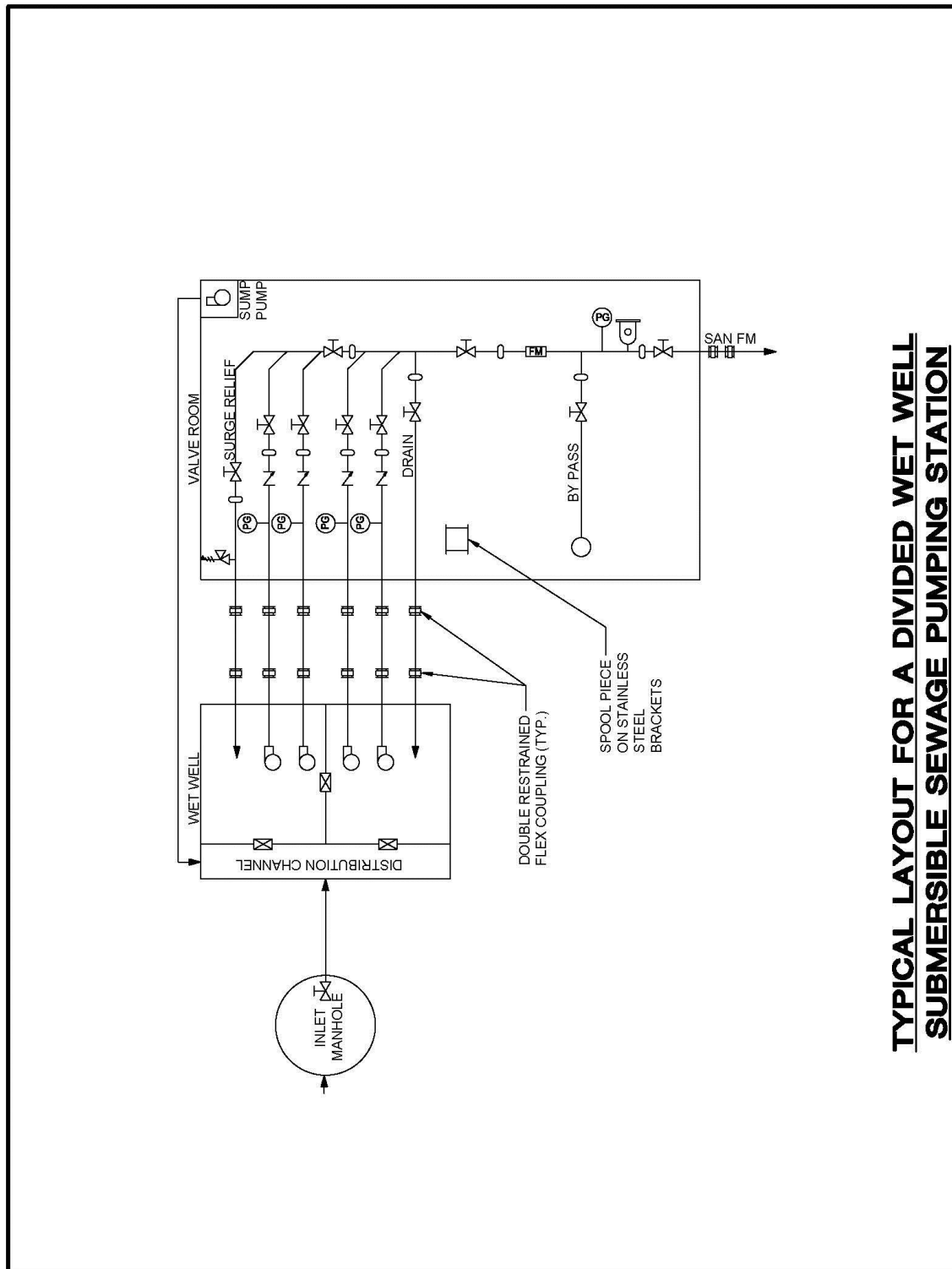
SUE	Subsurface Utility Engineering	UL	Underwriters Laboratories
T&O	Taste and Odour	USEPA	United States Environmental Protection Agency
TC/TC	Tungsten Carbide/Tungsten Carbide	UV	Ultra-Violet
THD	Total Harmonic Distortion	VAC	Voltage Alternating Current
THM	Trihalomethane	VDC	Voltage Direct Current
TS	Total Solids	VFD	Variable Frequency Drive
TSE	Technical and Scientific Equipment	WAN	Wide Area Network
TSSA	Technical Standards and Safety Authority	WEAO	Water Environment Association of Ontario
TTHM	Total Trihalomethanes	WHMIS	Workplace Hazardous Material Information System
TWH, TWU	Type of Wire, Refer to Code, Indicates Thermoplastic Vinyl-Coated Wire that is Moisture-Resistant	WWF	Wet Weather Flow
		WWTP	Wastewater Treatment Plant
		WTP	Water Treatment Plant
TWL	Top Water Level	XO	Neutral

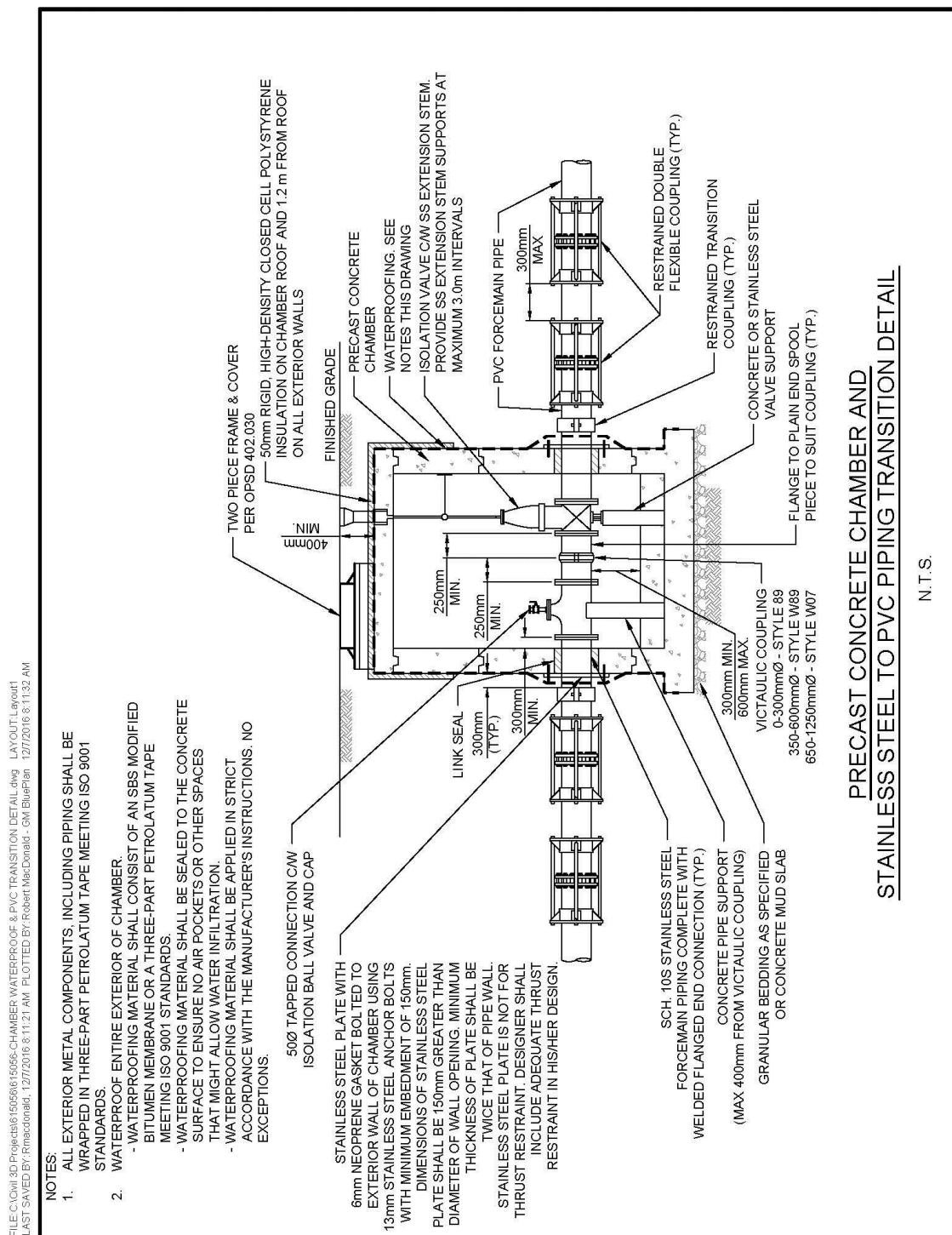
Appendix B - Schematics











Appendix C - Acts, Codes, Standards and Guidelines

Designs shall meet the following acts, codes, standards and guidelines.

1. Ontario Ministry of the Environment Conservation and Parks (MECP) Design Guidelines
 - a) Design Guidelines for Drinking-Water Systems
 - b) Procedure for Disinfection of Drinking Water in Ontario
 - c) Design Guidelines for Sewage Works
 - d) Stormwater Management Planning and Design Manual
 - e) Water and Energy Conservation Guidance Manual for Sewage Works
 - f) Guidelines for Environmental Protection Measures at Chemical and Waste Storage Facilities
 - g) Information to be Submitted for Approval of Stationary Sources of Sound, Publication NPC-233, latest revision
2. Clean Water Act
3. Ontario Safe Drinking Water Act
4. Ontario Water Resources Act
5. Ontario Provincial Standards Specifications
6. Ontario Environmental Assessment Act
7. Ontario Environmental Protection Act
8. Ontario Building Code
9. Accessibility for Ontarians with Disabilities Act
10. Wastewater Systems Effluent Regulations
11. National Building Code of Canada
12. National Fire Code of Canada
13. National Plumbing Code
14. Canadian Standards Association
15. Guidelines for Canadian Drinking Water Quality, Health Canada
16. National Sanitary Foundation (NSF) – NSF 60 and NSF 61
17. Applicable National Fire Protection Association (NFPA) Standards
18. American National Standards Institute (ANSI)
19. American Waterworks Association (AWWA) Standards
20. Canadian Gas Association CGA B105 – Digester Gas Systems

21. Institute of Electrical and Electronic Engineers (IEEE)
22. The Instrumentation, Systems and Automation Society (ISA)
23. Canadian Electrical Code
24. Ontario Electrical Safety Code
25. Ontario Underground Infrastructure Notification Systems Act
26. American Society of Civil Engineers Standard Guideline for the Collection and Depiction of Existing Subsurface Utility Data
27. Local Area Municipal By-Laws

Niagara Approved Product and Equipment List

DISCLAIMER: Inclusion onto the Approved Product and Equipment List (APEL) does not constitute mandatory use of the product in the Region's contract documents. The approved manufacturer(s) on the APEL must meet the specifications as outlined in Niagara Region's tender or quotation. Products are not necessarily listed in preferential order. Niagara Region reserves the right to list manufacturer(s) for specialized equipment and applications outside the APEL in tender or quotation specifications. All materials used in the alteration or operation of a Niagara Region drinking water system that come into contact with water within the system must meet all applicable standards set by both the American Water Works Association ("AWWA") and the American National Standards Institute ("ANSI") including NSF 61 and NSF 372.

Control and Instrumentation

Equipment Type	Equipment Sub-Type	Water/Wastewater	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
Automatic Sampler		Wastewater	Hach			
Chlorine Residual Analyzer	Continuous online	Water	Prominent		DAC	
		Water	Rosemount	Emerson	FCL-56	
Conductivity Level Switches		Water	Warrick	Gems Sensors and Controls		
Diaphragm Seal for Pressure Gauges		Water/wastewater	WIKA			
		Water/wastewater	ABB			
		Water/wastewater	Rosemount	Emerson		
Dissolved Oxygen Sensor / Analyzer		Wastewater	Aysix Technologies			
		Wastewater	Hach			
Gas Monitoring	Fixed combustible gas	Wastewater	MSA		Infrared	
Level Switch	Float	Water/wastewater	Sulzer			
	Float	Water/wastewater	Xylem			

Equipment Type	Equipment Sub-Type	Water/Wastewater	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
	Paddle	Water/wastewater	Siemens			
Liquid Level Transmitter	Pressure	Water/wastewater	Rosemount	Emerson	3051S Series HART Compatible	
	Radar	Water/wastewater	Rosemount	Emerson		Non-contact
	Ultrasonic	Water/wastewater	Miltronics			
	Ultrasonic	Water/wastewater	Pulsar Process Measurement			
	Ultrasonic	Water/wastewater	Rosemount	Emerson		
Magnetic Flow Meter	Chemical dosing	Water/wastewater	Krohne		OptiFlux	
		Water/wastewater	Kohen		EnviroMag	
		Water/wastewater	Rosemount	Emerson		
Mass Flow Meter		Wastewater	Aysix Technologies			
		Wastewater	Fox Thermal Technologies			
		Wastewater	Kruz Instruments	SPD Sales	Series 545FTB and 504FTB	
pH Measurement	In-line analyzer	Water/wastewater	Rosemount	Emerson		
Pressure Transmitter		Water/wastewater	ABB			
		Water/wastewater	Rosemount	Emerson		
Temperature Transmitter		Water/wastewater	Ashcroft			
		Water/wastewater	Honeywell			

Equipment Type	Equipment Sub-Type	Water/Wastewater	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
		Water/wastewater	Rosemount	Emerson		
Thermostat	Low temperature thermostat	Water/wastewater	Honeywell			
Total Solids Analyzer		Wastewater	Metso Kajaani	Valmet		
Turbidity Meter	Online	Water	Hach		TU5300	
Ultrasonic Flow Meter		Water/wastewater	Endress and Hauser		Proline Prosonic	
Uninterruptible Power Supply		Water/wastewater	APC	Schneider Electric		Minimum UPS capacity to be equal to 150 per cent of system full load.
		Water/wastewater	Powerware	Eaton		
		Water/wastewater	SOLAHD	Emerson		
Voltage and Current Transducer		Water/wastewater	Phoenix Contact			
		Water/wastewater	Pribusin			

Crane and Hoist

Equipment Type	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
Trolleys, Hoist, Chain, and Controls		Columbus McKinnon		
		Demag		
		Richards-Wilcox		
		Zelus	Steelway Material Handling	

Electric

Equipment Type	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
Control Relay	GE Multilin Relays			
Electric Motor	Baldor			For all applications
	TECO Westinghouse Motors			1. Service Factor: 1.15 2. Frame and Bracket: Cast Iron
	Toshiba			3. Enclosure >40°C Ambient <90°C, ODP >40°C Ambient <80°C, TEFC
	U.S. Motors	Nidec Motor Corp.		4. Electric motor used for VFD application must be inverter rated 5. Guaranteed minimum full load efficiency. Typical efficiency values are now in the range of 92-95% depending on model selected. 6. The motor is to meet or exceed the following % Guarantee Minimum Full Load Power Factor: 88.3 7. Inverter duty motor rating. Motor meeting all applicable requirements of NEMA MG 1, Section IV, Parts 30 and 31 8. 75 kW and larger to be suitable for solid state reduced voltage starting
Motor Control Centre	Allen-Bradley	Rockwell Automation		All analog signals to be split out in a separate area of the panel. Arc Resistant per IEEE C37.20.7 Low voltage MCC IP20 Finger Safe
	Eaton		Freedom 2100 Motor Control Centre	
	Siemens			
	Square D	Schneider Electric		
Soft Start/Soft Stop Controls	Allen-Bradley	Rockwell Automation		

Equipment Type	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
	Benshaw			
	Eaton			
Surge Protection Device	Total Protection Solution Canada	Innosys Power		
Variable Frequency Drives	ABB			
	Allen-Bradley	Rockwell Automation		
	Danfoss			

Emergency Standby Power

Equipment Type	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
Automatic Transfer Switch	ASCO	Emerson		
	Thomson Power Systems			
Engine/Generator	Caterpillar			Standard prime mover is diesel engine. Natural gas engine to be used by exception only.
	Cummins			
	MTU			
Switchgear	ABB			
	Eaton			
	SandC			
	Square D	Schneider Electric		

Process Equipment

Sub Category	Equipment Type	Equipment Sub-Type	Water / Wastewater	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
Aeration	Air Blower	Centrifugal	Wastewater	Hibon	Ingersoll-Rand		
			Wastewater	Hoffman and Lamson	Gardner Denver		
		Positive Displacement	Wastewater	Aerezen			
			Wastewater	HSI	Atlas Copco		
			Wastewater	Hibon	Ingersoll-Rand		
		Turbo Blower	Water/wastewater				
	Boilers	Dual Gas System	Wastewater	Cleaver-Brook			
			Wastewater	Boiler Smith			
	Fine Bubble Aeration System		Wastewater	Aquarius			
			Wastewater	OTT			
			Wastewater	Sanitaire	Xylem		
			Wastewater	Tideflex	Syntec Process Equipment	Tideflex Bubble Aeration	
Clarifier	Collector Chain	Non-Metallic	Wastewater	Envirex/Viking	Evoqua		
			Wastewater	Polychem	Brentwood		
			Wastewater	Banyan			
	Sludge and Scum Removal Equipment		Wastewater	Envirex	Evoqua		
			Wastewater	WesTech		COP WW Clarifier	

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Sub Category	Equipment Type	Equipment Sub-Type	Water / Wastewater	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
			Wastewater	Ovivo	Ovivo	Type C3(Diagonal Plow) Type C4D (Spiral Blade) Type C3D (Suction Header) Type C3S (Suction Pipe)	
Digester	Digester Cover		Wastewater	OTI			
			Wastewater	Westech			
	Digester Waste Gas Burner	Enclosed Gas Burner	Wastewater	Varec	Westech		
			Wastewater	Shand and Jurs	Vector Process Equipment	97311T Enclosed Burner with Touch Screen Control Pad	
	Heat Exchanger	Rectangle	Wastewater	DDI			
		Tube-in-tube	Wastewater	Claro			
			Wastewater	Napier Reid			
	Sludge Dewatering/ Thickening	Gravity Belt Thickener	Wastewater	Andritz			
			Wastewater	Alfa-Laval			
		Gravity Belt Thickener and Belt Filter Press	Wastewater	Charter Machine Company			
		Spiral Dewatering Press	Wastewater	Arlat			
			Wastewater	Phoenix Process Equipment		Belt Filter Press Models LC,MC, WX-E/G/H, WXG-W, WXH-W	

Sub Category	Equipment Type	Equipment Sub-Type	Water / Wastewater	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
Headworks	Bar Screens	Multi Rake	Wastewater	Duperon			
			Wastewater	Headworks		Mahr Bar Screen	
			Wastewater	Huber Technology Inc.		Rake Max-Multi Rake	
	Grinder/ Comminutor		Wastewater	Franklin Miller			
			Wastewater	Netzsch Macerator Grinder	Syntec Process Equipment		
			Wastewater	JWC		Muffin Monster	
			Wastewater	Moyno		For light duty applications	
			Wastewater	Vogelsang		For light duty applications	
	Grit Collection Systems	Shaftless Screw	Wastewater	Arlat			
			Wastewater	Mabarec		Vistex Grit Removal Classifier	
			Wastewater	Metcan	Veolia	MectanV	
			Wastewater	WEMCO	Weir		
			Wastewater	Claro Environmental	Claro Environmental	Claro Fine Step Screen	
				WTP Equipment Corp.		Vortex Grit Removal System	

Pumps

Sub Category	Equipment Type	Water / Wastewater	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
Displacement Rotary Pumps	Electronically Actuated Diaphragm	Water/wastewater	Grundfos			Reciprocating, for chemical metering
			Prominent			
	Multiple Rotor	Wastewater	Netzsch – Tornado Rotary Lobe Pump	Syntec Process Equipment	T2	
			Vogelsang			Lobe
			LobePro Rotary Pumps	LobePro Rotary Pumps		Lobe
	Progressive Cavity	Wastewater	Moyno			Screw
			Seepex			
		Water/Wastewater	Netzsch – Nemo	Syntec Process Equipment		
			Watson Marlow			
Dynamic Centrifugal Pumps	Chopper	Wastewater	Hayward Gordon		CHOPX Chopper Pump	
			Vaughan			
			WSP	Weir		
	Modified Radial Flow: Vertical Turbine	Wastewater	Byron Jackson	Flowserve		
		Water/wastewater	Sulzer			
		Water	Peerless	Grundfos		
			Ruhrpumpen			
			Worthington	Flowserve		

Sub Category	Equipment Type	Water / Wastewater	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
	Radial Flow, Mixed Flow and Standard Centrifugal	Wastewater	Gorman Rupp			
			Grundfos			
			Hayward Gordon		Torus Recessed Impeller Vortex Pump	
		Water	Ruhrpumpen		Horizontal Split Case	
	Screw	Wastewater	Hayward Gordon		XCS	
			Hidrostal			
			WEMCO	Trillium Flow Technologies		
	Submersible Pump	Water	Hidrosta			For dry and wet pit
		Water/wastewater	Grundfos			
			Sulzer			
			Xylem			

Valves

Sub Category	Equipment Type	Water / Wastewater	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
Check Valves	Duck Bill	Water/wastewater	EVR			
		Water/wastewater	Tideflex	Red Valve		
	Flexible Disc	Wastewater	Crispin		Rubber Flapper	

Sub Category	Equipment Type	Water / Wastewater	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
		Water/wastewater	Pratt		RD Series	
		Water/wastewater	Val-Matic		Swing Flex Check Valve	
	Tilting Disc	Water	Pratt			
		Water	APCO			
		Water	GA Industries			
		Water	Val-Matic			
	Inline	Water/wastewater	WaPro	Devine and Associates Limited	Inline WaStop DN300 Check Valve	
		Water/wastewater	Tideflex Technologies	Syntec Process Equipment	Tideflex Checkmate Inline Check Valve	
Isolation Valves	Ball	Water/wastewater	Chemline			PVC
		Water/wastewater	Ipex			
		Water/wastewater	Asahi/America			
	Butterfly AWWA	Water/wastewater	Clow			Replaceable/Adjustable seat required for valves greater than or equal to 600mm.
		Water/wastewater	Dezurik			
		Water/wastewater	Pratt			
		Water/wastewater	Val-Matic			
		Water/wastewater	At Controls			

Sub Category	Equipment Type	Water / Wastewater	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
	Butterfly Valves Aeration	Water/wastewater	Dezurik			
		Water/wastewater	Sure Seal			
	Gate	Water	AVK			6" and larger
		Water	Clow			
		Water	J&S			
		Water	Mueller			
	Globe	Water/wastewater	Jenkins	Crane Co.	≤75mm Fig. 106A ≤75mm Fig. 108A (Angle) ≥75mm Fig. 142 (Angle)	
	Knife Gate	Wastewater	Dezurik		Styles KGC-BD & KGN- RSB	
		Wastewater	Orbinox			
		Wastewater	Stafsjo		MV-A	
		Wastewater	Trueline			
	Plug	Wastewater	Dezurik			
		Wastewater	Homestead		Eccentric Plug Valve	
		Wastewater	Milliken	Pratt		
		Wastewater	Val-Matic			
	Sluice/Slide Gate	Wastewater	B.N.W			Product is NOT NSF-61 Approved (but uses 316 S.S)

Sub Category	Equipment Type	Water / Wastewater	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
		Water/wastewater	Fontaine Aquanox		Series S	Product is NSF Approved
		Water/wastewater	Orbinox	Devine and Associates Limited	MU, CC, RB, AG, SL, RC, RR	Approved NSF 61 and NSF 372
Miscellaneous Valves	Air	Water/wastewater	A.R.I.			
		Water/wastewater	Cla-Val			
		Water/wastewater	Val-Matic			
		Water/wastewater	H-Tec	Syntec Process Equipment	Model 992 HaVent Auto Air Valve Set	
		Water/wastewater	Vent-Tech Air Valves	Devine and Associates Limited	SWG-145 psi Series C WTW-363 psi Series C	
	Hydraulic Control Valves	Water	Cla-Val			
		Water	Singer			
	Backflow Preventer	Wastewater	Watts			
	Electric Valve Actuator	Water/wastewater	Auma			
		Water/wastewater	Limitorque	Flowserve		
		Water/wastewater	Rotork			
	Inflow Preventer	Water	Val-Matic	Syntec Process Equipment	Floodsafe	
	Relief	Water	Cla-Val			Distribution
		Water	Singer	Syntec Process Equipment		Distribution
		Water/wastewater	Singer			

Ventilation / Heating Equipment

Equipment Type	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
Air Conditioning/Heating	Carrier	United Technologies		
	Trane	Igersoll Rand		
	Engineered Air		FW / DJ	
Air Vents (Recirculation System)	Armstrong			
	Spirax-Sarco			
Custom Air Handling and Energy Recovery Ventilators	Engineered Air			
	Haakon			
Motorized Damper	Belimo			cUL (CSA 22.2) CSA Class 4813 certified
	Honeywell			

Miscellaneous Equipment

Equipment Type	Brand Name	Owner Name	Model	Code, Criteria and Restrictions
Hatch Covers	Bilco			
	EJ			
	MSU Mississauga Limited			

Terms of Reference for the Product Review Committee for Water and Wastewater

1.0 General

Niagara Region has approved the use of the Approved Product and Equipment List referenced in the Water and Wastewater Project Design Manual. The intent is to ensure that equipment that is specified in future contracts is appropriate in nature, represents best value and whenever possible, is similar to the equipment that is already incorporated in these facilities.

This reduces the number of spare parts that the Region must keep on hand in order to maintain its facilities working efficiently as well as to be able to respond effectively for emergency repairs. At the same time, it reduces the number of different equipment types that the maintenance staff must be familiar with in order to provide effective repair and maintenance services. Consultants shall specify which equipment, where applicable, in design and contract specifications.

2.0 Product Review Committee

The Product Review Committee stated purpose is to review and potentially approve new equipment materials for design purposes, equipment replacement and new equipment installations at the Regional water and wastewater treatment plants, water storage reservoirs, pumping stations, bio-solids works and other facilities within the division.

To provide timely responses to requests for product reviews, the chairperson will convene quarterly meetings to review any new submissions. Meetings to hear presentations from suppliers and equipment manufacturers and product reviews will be scheduled on a minimum quarterly basis, or more frequently as deemed necessary by the Product Review Committee chairperson. The committee's administration assistant and chair will meet one week prior to the quarterly meetings to review current and ongoing matters and to confirm quorum will be met.

Product Review Committee quorum is defined as eight members. If there's no prospect of there being a quorum, the chairperson will announce that there is no quorum and confirm that no official business will be conducted. The chair may then move to adjourn the meeting and reschedule it for another date. In the event that no quorum is present, the administrative assistant should reflect in the minutes how many members were present, that quorum was not achieved, the date and time of the rescheduled meeting and make not of any non-binding discussions that were held.

The structure of the committee allows input from the engineering, operations, maintenance and integrated systems section of the division. The associate director of water and wastewater engineering shall be the chair for the committee and the committee shall be comprised of 18 representatives from across the water and wastewater division as follow:

- Chair
- Administrative assistant (one)
- Engineering (one)
- Water operations and maintenance (six)
- Wastewater operations and maintenance (six)
- Integrated system (three)

These categories may include but aren't limited to:

- Electrical and Instrumentation
- SCADA
- Process
- Compliance
- Laboratory
- Mechanical
- Health and safety

Each subcommittee will meet at the direction of the Product Review Committee chair (frequency ultimately depends upon the quantity of products to be reviewed) in order to ensure timely consideration of submitted products for evaluation. Each subcommittee will review the product and submit a report to the Product Review Committee with its recommendations. The Product Review Committee will accept this report and render its decision within 30 days. Consensus by the committee is required to accept any new product.

Other interested Regional staff, not sitting on these committees, may become involved in the Product Review Process with specific products of interest to them. While non-committee members can be invited to attend committee meetings to offer their feedback, they won't carry an official vote with regards to committee approvals.

3.0 New Product Definition

New equipment and/or new material is defined as any product, which has not been included in the Water and Wastewater Project Design Manual. No new product shall be included on the Approved Product Equipment List in the Water Wastewater Project Design Manual without review and written approval by the Product Review Committee.

The Approved Product Equipment List applies to replacement and installation of equipment, as performed by plant operations, plant maintenance, and construction

projects under the capital project program at the Regional water and wastewater treatment plants, water storage reservoirs, pumping stations, bio-solids works, and other facilities within the division.

During emergency repairs required to restore services, products and materials not included on the Approved Product Equipment List may be used.

4.0 Lunch and Learn

Lunch and Learn or other information presentations and training sessions are considered external to the product review process. Suppliers and/or manufacturers of new products must follow the review process as defined in the terms of reference.

5.0 Requests for Consideration

To initiate a product review, complete and submit a request for consideration form. This can be done by water and wastewater staff, consultants, sales representatives or other interested parties. Submit one form per product. The Product Review Committee will review only one application for a specific product, regardless of applicant, once within a one year time frame.

The request for consideration must be accompanied by an information package before the product can be brought to the Product Review Committee for consideration. The request for consideration must consist of the online application with product attachments containing the following information:

1. Suppliers / manufacturer's company name and address including parent company information
2. Applicant contact name and information
3. Product name
4. Designed or intended use for the product
5. Manufacturer's brochure that provides a component-level understanding of the product
6. Product standards and specifications
7. Material safety data sheets, if applicable
8. Listing of applicable standards and the products status with regard to approval with reference numbers (American Water Works Association, American Society for Testing and Materials, American National Standards Institute, National Fire Protection Association and National Sanitation Foundation)
9. Test results showing compliance with applicable standards, including independent laboratory test results, if requested
10. Information on installation, use and product specifications
11. A brief history of the product manufacturer (ex: length of time in business, market and quality objectives, etc.)

12. A brief history of the product(s), (ex: length of time in production, modifications, compatibility with other similar products, how long the manufacturer expects to continue product(s) production)
13. Maintenance requirements, special equipment and procedures, recommended maintenance schedules, availability of service and training required
14. A statement on the availability of the product(s) and replacement parts (ex: supplier names and locations, origin of parts, size of inventory, maximum delivery time, etc.)
15. Cost to supply and maintain product, if applicable
16. Product references (municipal or public users within the Province of Ontario and in applicable industry) shall include users' name, address and telephone number, product application and number of years in use, and name and telephone number of a contact person having knowledge of the particular usage.)
17. Explanation of how the product benefits the division in terms of prolonged service life, reduced maintenance, reduced life-cycle cost and other relevant aspects.
18. Indicate if there are any special conditions (such as pipe size) for optimal performance of the product. Specify conditions or requirements for optimal performance. Where appropriate, include the engineering data required for proper application of the product. Indicate relevant safety factors, and pressure, temperature, or environmental limits.
19. Provide information relating to patents, licenses, user fees and/or franchises held on the product.
20. Provide any other related information

Only complete submissions will be considered by the Product Review Committee. If the submission is incomplete as determined by the committee subject matter expert, the applicant will be advised and provided an opportunity to update the information submitted.

Although not required, application submittal may include other data to assist the Product Review Committee in evaluating the product. This information could include brochures, videos, product samples and/or photographs. The Product Review Committee cannot be responsible for return of these materials. (One copy of video/media and product samples is sufficient for committee review.)

The applicant's request for consideration shall be submitted at least 30 days prior to a Product Review Committee meeting. The Product Review Committee's workload and the number of requests received will dictate the timeline for resolution. After a general review of the applications, one of five decisions will be reached if the product:

- Is not approved as per Section 5.1
- Is under evaluation
- Contains insufficient information to classify
- Is conditionally approved
- Is accepted for use as per Section 7.0

5.1 Not approved

The Product Review Committee may deem the product not approved based on the following:

1. The product isn't within the jurisdiction of the Product Review Committee
2. The Product Review Committee fails to find a value in the product
3. The number of similar products currently listed in the Water and Wastewater Project Design Manual is sufficient and additional products aren't needed
4. Other considerations dictate that the product not be approved

The proceedings will cease and the applicant will be notified specifying the reason for refusal.

If the product is not approved, the applicant, or any other person, must wait for one year from the date of decision before re-submission. The one year waiting period is to ensure that the manufacturer adequately reviews and assesses their product for significant changes to warrant re-submission.

5.2 Under evaluation

The Product Review Committee will further investigate the product as described in Section 6.0.

6.0 In-Depth Review Procedure

For products considered under evaluation under Section 5, an in-depth review will be conducted. The investigation may consist of any of the following:

- Presentation before Committee
- Reference checks
- Samples as appropriate
- In office or site demonstration
- In field application performed by municipal staff
- Site visit to previous installations or manufacturing facilities
- Laboratory testing
- Pilot study
- Other tests or demonstrations deemed necessary by the Committee
- Other information requirements as determined

6.1 Presentation

Following review of the submittals the Product Review Committee may request a presentation by the representative at a regularly scheduled Product Review Committee meeting to demonstrate the product or provide additional information. In addition, submitters may request time for a formal presentation to the Committee. This would be

especially beneficial for products or procedures that are unique or are significantly different from those currently approved or used. Such requests should be made through the Product Review Committee chairperson. Formal presentations, including questions, are limited to no more than 30 minutes.

Representatives at the meeting should be in a position to offer any type of background on product use and locations, design, and reference checks. These representatives should also have the authority to approve a trial run in the Niagara. When additional information is desired by the Product Review Committee, it may request additional information from the sales representative, or that they work with members of the Product Review Committee or their appointees to develop an in-depth study.

6.2 Product demonstration

The need for product demonstration or sample may be determined by sales representatives to better promote their product, or may be at the request of the Product Review Committee to gain a better understanding of the product. All costs associated with the supply and delivery of the product demonstrations purposes will be incurred by the supplier.

6.3 Field tests (less than six month duration)

Some products may require a test period to evaluate the field performance of the product. The requirement for test installations will generally be requested by the Product Review Committee during their review. The duration of the field test will be determined by the Product Review Committee for each individual product. The chairperson or his designate will serve as study coordinator in the development and presentation of these reports to the Product Review Committee. Procedures for testing or evaluation shall be as agreed upon between the supplier and the Product Review Committee. Results will become a part of the product file and will be made available to the supplier upon request.

All costs associated to the trial test period shall be borne by the applicant. These include but are not limited to: installation costs, the costs to remove or expose the product (in some cases), laboratory testing, and any other costs that may be deemed necessary by the Product Review Committee to fully monitor and evaluate the product. If the Region, after completing adequate field tests approves the product, the Region may reimburse the supplier for the cost of the product only. No compensation will be provided for a product that is not approved.

6.4 Pilot study (six months duration or greater)

If the Product Review Committee determines that a long term field test is required to adequately assess the product, a pilot study may be requested. The applicant may arrange for other municipalities to participate in the pilot study. The pilot study must be

fully documented to the satisfaction of the Product Review Committee and the participating municipality.

The trial test site location(s) will be recommended by the applicant for consideration by the Product Review Committee and the participating municipality. More than one test site location may be selected for trial. The performance of the product is to be evaluated at the end of the probationary period. The probationary period shall be of a minimum duration determined by the Product Review Committee. At any time the Product Review Committee reserves the right to extend this probationary period, as deemed necessary.

Procedures for testing or evaluation and cost sharing shall be as agreed upon between the supplier and the Product Review Committee. Results will become a part of the product file and will be made available to the supplier upon request.

7.0 Selection Criteria

Acceptance of the new product or equipment for addition into the Approved Product Equipment List will be guided based on performance, maintenance requirements, life cycle costs, availability of spare parts and response of vendor to the Region, as well as achieving successful field trial(s). In a similar manner, existing products or equipment may be de-listed based on the established criteria.

8.0 Approvals

Following the Product Review Committee review, and provided no further information is required, a letter outlining the Product Review Committee's decision will be sent to the applicant and other interested parties. The letter will also outline the reasons for that decision. This is the final step in the product review process. The decision rendered will be one of the following:

1. The product/equipment is accepted for use. The product/equipment is approved for general use and will become part of the Approved Product Equipment List of the Water Wastewater Product Design Manual when the subsequent issue of the specifications are released.
2. The product/equipment is conditionally approved. The Committee may choose to allow the use of a product, but with certain restrictions. The use of a product/equipment may be limited to pre-approved applications. If conditions or restrictions are imposed, the reasoning will be provided. The product shall be listed in the Approved Product Equipment List of the Water and Wastewater Project Design Manual with all applicable restrictions/conditions clearly noted.
3. The product/equipment is not approved. The product/equipment may not be used in the Division's systems. Notification will be sent to the applicant indicating that the product/equipment is not approved. Reasons will be provided.

The approval for a product or equipment is limited to the stated model(s), conditions or standards/specifications at the date of approval. Any modifications require additional review and approval. Products previously granted approval will not be required to be re-reviewed by the Product Review Committee for minor changes that do not impact the functionality of the product, unless it is determined that the changes may affect how the product performs for its intended use.

9.0 Maintenance of the Approved Product Lists

Once products have been approved, a letter will be sent to the product representative and other interested parties. The review process will be documented and kept on file by the Product Review Committee.

Products in use by the Region are subject to ongoing consideration and evaluation by the Product Review Committee.

A copy of the Approved Product Equipment List will be posted on the Product Review Committee SharePoint site and the Water and Wastewater division's external Product Review Committee website.

10.0 Removal of Products

Existing equipment may be de-listed as deemed necessary, by the Product Review Committee.

Products may be removed from the list for any of the following reasons:

1. The division changes specifications or standards that preclude the use of any particular product
2. Vendors fail to satisfactorily respond to inquiries or service requests
3. Non-use of a product for a period of two years or more may result in the removal from the list
4. Products will be removed from the list when they: are deemed obsolete by the Product Review Committee, are no longer manufactured, are requested to be removed by the vendor, or if the Product Review Committee deems the product has changed significantly enough to warrant a new submission
5. The product is found to be defective
6. Repeated or likely installation errors
7. Performance problems
8. No satisfactory action has been taken by the manufacturer to correct a defect or associated problems with a product
9. Parts or service has become difficult to obtain or is cost prohibitive
10. If the product no longer meets the relevant standards. For example, the current Ontario Provincial Standard Drawing or current Ontario Provincial Standard Specifications; American Water Works Association standards and amendments,

Canadian Standards Association, American Society for Testing and Materials, National Sanitation Foundation; other applicable standards

11. Local Municipal or Regional by-laws
12. Health or safety issues
13. Regulatory non-compliance
14. Process reliability

Any interested parties may notify the Product Review Committee of issues regarding the performance of new and existing products used in the field. Negative feedback shall be submitted to the Product Review Committee for review. Should it become necessary to consider a removal of a product from the Approved Product Equipment List, the procedure shall be as follows:

1. The review process will be initiated when a member of the Product Review Committee tables a motion for a product removal consideration.
2. The chairperson will notify the manufacturer or the supplier that consideration is being given to remove the product from the Water Wastewater Project Design Manual. The product manufacturer and/or its supplier representative will be given an opportunity to appear before the Committee.
3. Upon the completion of the Committee's review, the chairperson will remove the product (if so decided) from the Approved Product Equipment List and will notify the interested parties that the use of the product will be discontinued.

If the reason is health or safety related, regulatory non-compliance or process upset; removal from the Approved Product Equipment List may be issued prior to notifying a representative of the manufacturer. A notification will also be circulated to the users of the Water Wastewater Project Design Manual.

11.0 Moratorium

Products or equipment that are not approved may be reconsidered, if the applicant can supply additional information that may influence the stated basis for the Product Review Committee's decision. However, the Product Review Committee reserves the right to not approve any product or equipment deemed to be incompatible with our current methods and materials and to limit the number of approved manufacturers or models of any particular types of products. Ultimately the best interests of Niagara will be paramount in its decision.

The applicant, or any other person, must wait for one year from the date of rejection before re-application. The one year waiting period is to ensure that the manufacturer adequately reviews and assesses their product prior to re-submission.

If the product is removed from the Approved Product Equipment List, the manufacturer and supplier must wait for two years from the date of removal before re-submission, unless otherwise approved by the chairperson. The application for re-submission must

include a written statement outlining improvements/changes made to the product and/or its supply.

12.0 Tender Specifications

Once a product has been granted approval by the Product Review Committee, the product may be named in tender or quotation specifications. In case of any inconsistency, conflict, or differences by design decisions between the products named in the Approved Product Equipment List and the tender or quotation specifications, the tender or quotation specifications shall govern. Any specifications that deviate from the Approved Product Equipment List must be accompanied by a technical memorandum justifying the proposed deviation for Niagara Region project stakeholder review and approval.

Inclusion of a product into the Approved Product Equipment List does not constitute mandatory use of the product.

The Water Wastewater Project Design Manual and the Product Review Committee terms of reference are living documents and will be updated as required.

Minute Item No. 6

Consent Items for Information

That the following items **BE RECEIVED** for information:

COM-C 34-2020

COVID-19 Response and Business Continuity in Community Services

PHD-C 16-2020

COVID-19 Response and Business Continuity in Public Health and Emergency Services

COM 20-2020

Seniors Services Quality Improvement Report – July to September, 2020

COM-C 33-2020

Activities related to Niagara's 10-Year Housing and Homelessness Action Plan for September, October and November 2020

COM-C 35-2020

Niagara Regional Housing Q3 Report

**THE REGIONAL MUNICIPALITY OF NIAGARA
PUBLIC HEALTH & SOCIAL SERVICES COMMITTEE
OPEN SESSION**

**PHSSC 11-2020
Tuesday, December 8, 2020
Council Chamber/Video Conference
Niagara Regional Headquarters
1815 Sir Isaac Brock Way, Thorold, ON**

Committee Members Present in the Council Chamber:	Chiocchio (Committee Co-Chair), Greenwood (Committee Co-Chair)
Committee Members Present via Video Conference:	Bradley (Regional Chair), Bellows, Butters, Darte, Foster, Gibson, Insinna, Ip, Jordan, Nicholson, Rigby, Sendzik, Whalen, Witteveen
Absent/Regrets:	Bradley (Regional Chair), Villella
Staff Present in the Council Chamber:	S. Guglielmi, Technology Support Analyst, Dr. M. M. Hirji, Acting Medical Officer of Health, A. Jugley, Commissioner, Community Services, A.-M. Norio, Regional Clerk, R. Tripp, Acting Chief Administrative Officer
Staff Present via Video Conference:	A. Alfieri-Maiolo, Director, Clinical Services, D. Barnhart, Executive Officer to the Regional Chair, C. Cousins, Director, Homelessness and Community Engagement, D. Edgar, Director, Children's Services, H. Koning, Director, Senior Services, K. Lotimer, Legislative Coordinator, K. Smith, Chief/Director, Emergency Medical Services, M. Steele, Associate Director, Reporting & Analysis, L. Watson, Director, Social Assistance and Employment Opportunities, D. Woiceshyn, Chief Executive Officer, Niagara Regional Housing, B. Zvaniga, Interim Commissioner, Public Works

1. CALL TO ORDER

Committee Co-Chair Greenwood called the meeting to order at 1:00 p.m.

2. DISCLOSURES OF PECUNIARY INTEREST

There were no disclosures of pecuniary interest.

3. PRESENTATIONS

3.1 Impact of COVID-19 on the Ontario Works Caseload

Lori Watson, Director, Social Assistance & Employment Opportunities, provided information respecting Impact of COVID-19 on the Ontario Works Caseload. Topics of the presentation included:

- Historical impact of economic downturn on caseload
- Current impact of COVID-19 on caseload
- Anticipated caseload surge
- Preparing for a surge:
 - Provincial Recovery and Renewal Plan
 - Social Assistance and Employment Opportunities Recovery and Renewal Plan
- Employment Services Transformation

4. DELEGATIONS

There were no delegations.

5. ITEMS FOR CONSIDERATION

There were no items for consideration.

6. CONSENT ITEMS FOR INFORMATION

Moved by Councillor Witteveen
Seconded by Councillor Foster

That the following items **BE RECEIVED** for information:

COM-C 34-2020

COVID-19 Response and Business Continuity in Community Services

PHD-C 16-2020

COVID-19 Response and Business Continuity in Public Health and Emergency Services

COM 20-2020

Seniors Services Quality Improvement Report – July to September, 2020

COM-C 33-2020

Activities related to Niagara's 10-Year Housing and Homelessness Action Plan for September, October and November 2020

COM-C 35-2020

Niagara Regional Housing Q3 Report

Carried

7. OTHER BUSINESS

7.1 Well Water Testing

Councillors expressed concern with the ongoing suspension of well water testing for residents due to COVID-19 and requested staff explore options to provide safe drop off locations for well water samples. Dr. Hirji, Acting Medical Officer of Health, advised that he would look into options and provide information to the Committee.

7.2 Niagara Region Police Services Headquarters District 1 Building

Councillors requested information respecting the possible use of Niagara Regional Police Services Headquarters, District 1 building, for affordable/assisted housing.

8. NEXT MEETING

The next meeting will be held on Tuesday, January 12, 2020, at 1:00 p.m. in the Council Chamber, Regional Headquarters.

9. ADJOURNMENT

There being no further business, the meeting adjourned at 2:08 p.m.

Councillor Greenwood
Committee Co-Chair

Councillor Chiocchio
Committee Co-Chair

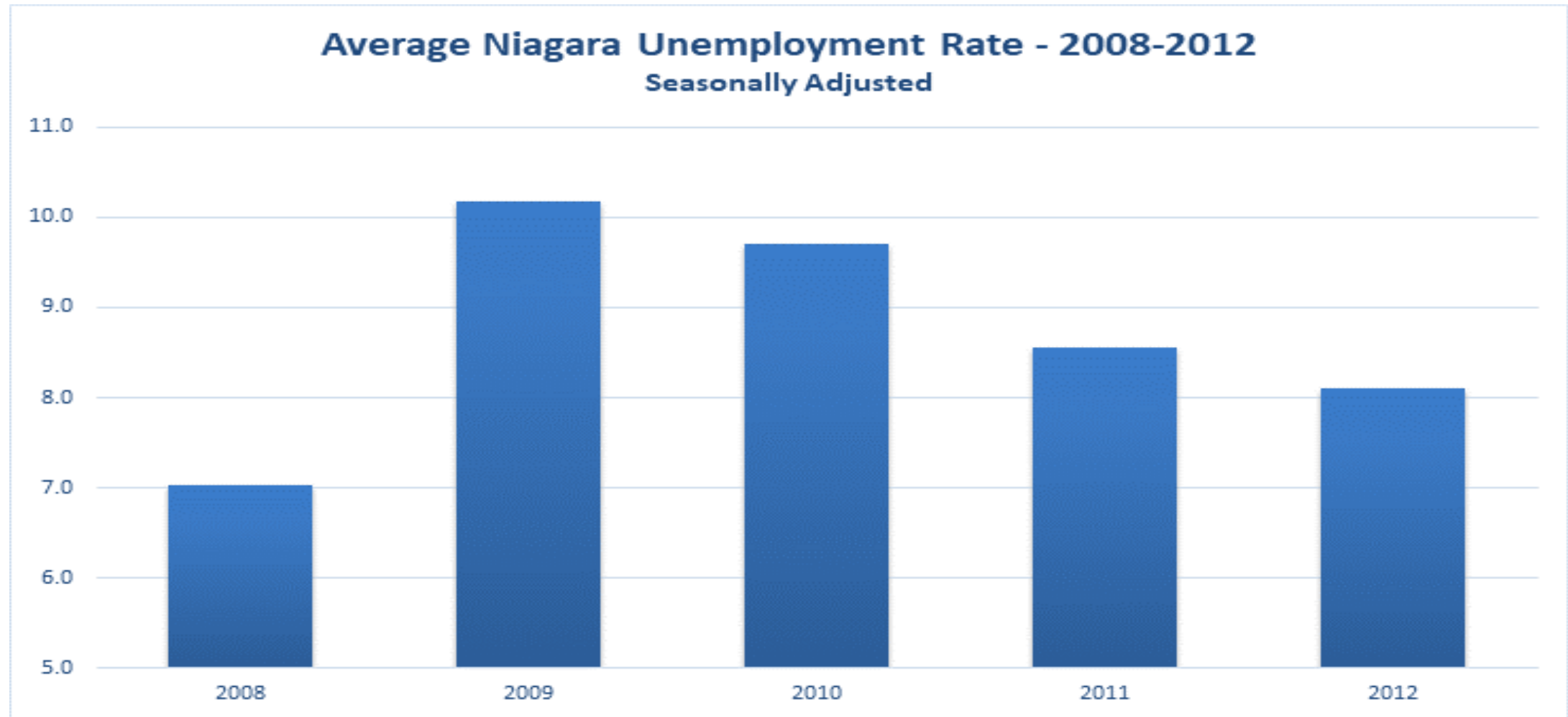
Kelly Lotimer
Legislative Coordinator

Ann-Marie Norio
Regional Clerk

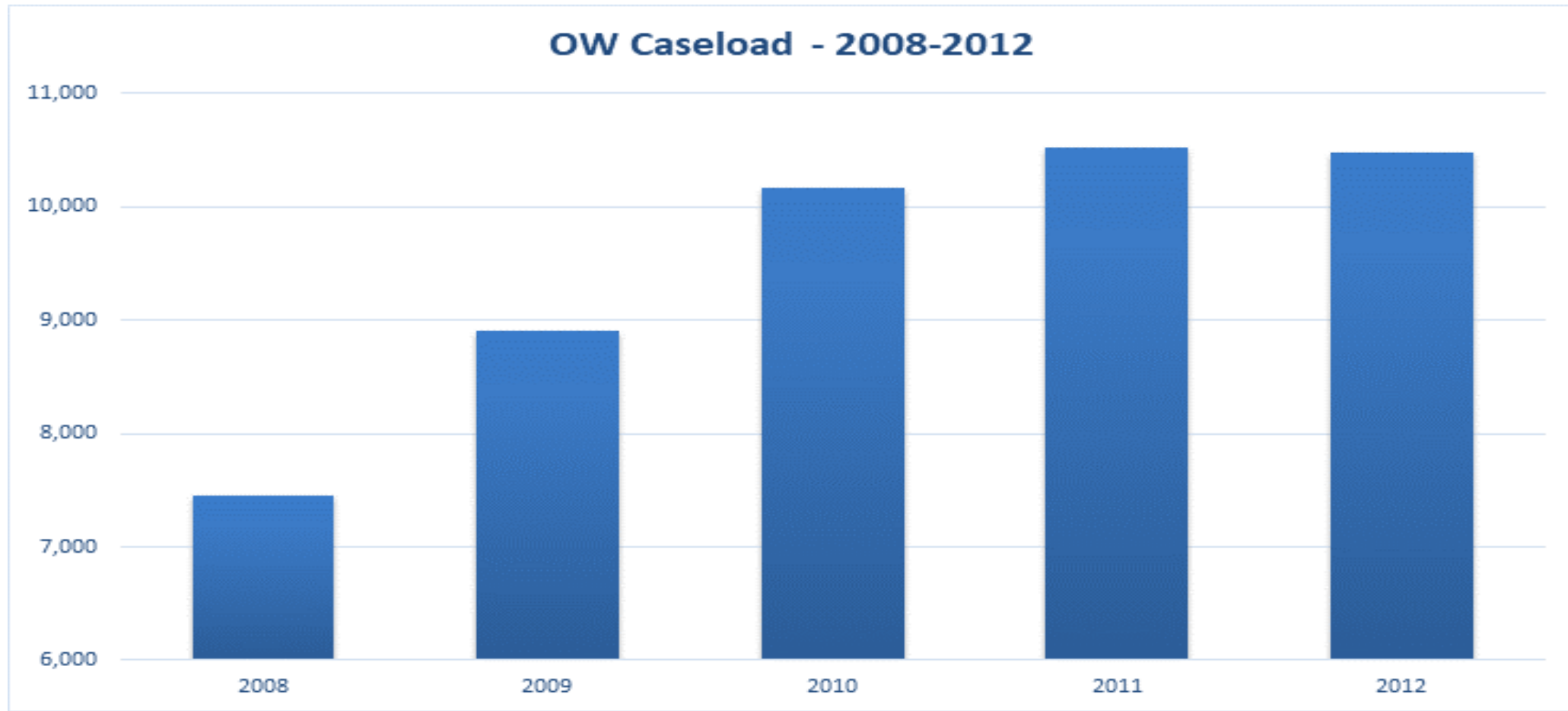
Impact of COVID-19 on the Ontario Works Caseload

- Historical impact of economic downturn on caseload
- Current impact of COVID-19 on caseload
- Anticipated caseload surge
- Preparing for a surge:
 - Provincial Recovery and Renewal Plan
 - Social Assistance and Employment Opportunities Recovery and Renewal Plan
- Employment Services Transformation

2008 Economic Downturn



2008 to 2012 Ontario Works Caseload



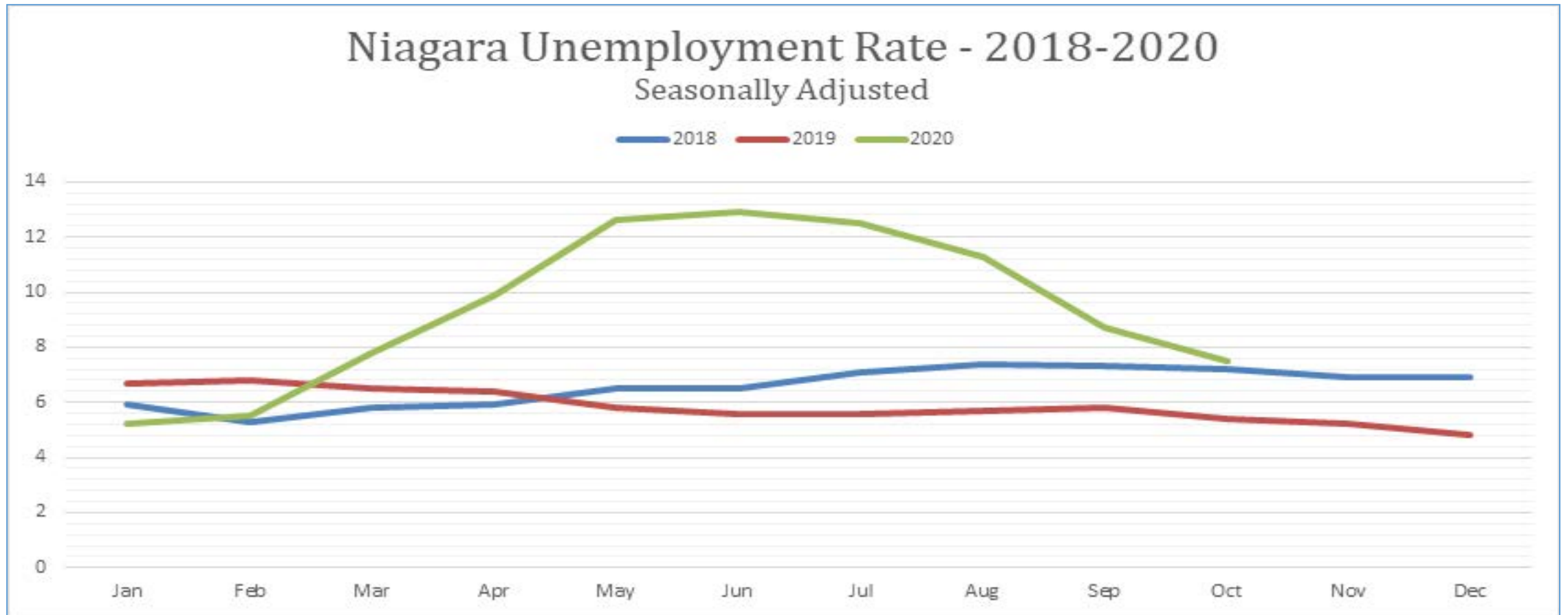
COVID-19

Federal Emergency and Recovery Benefits

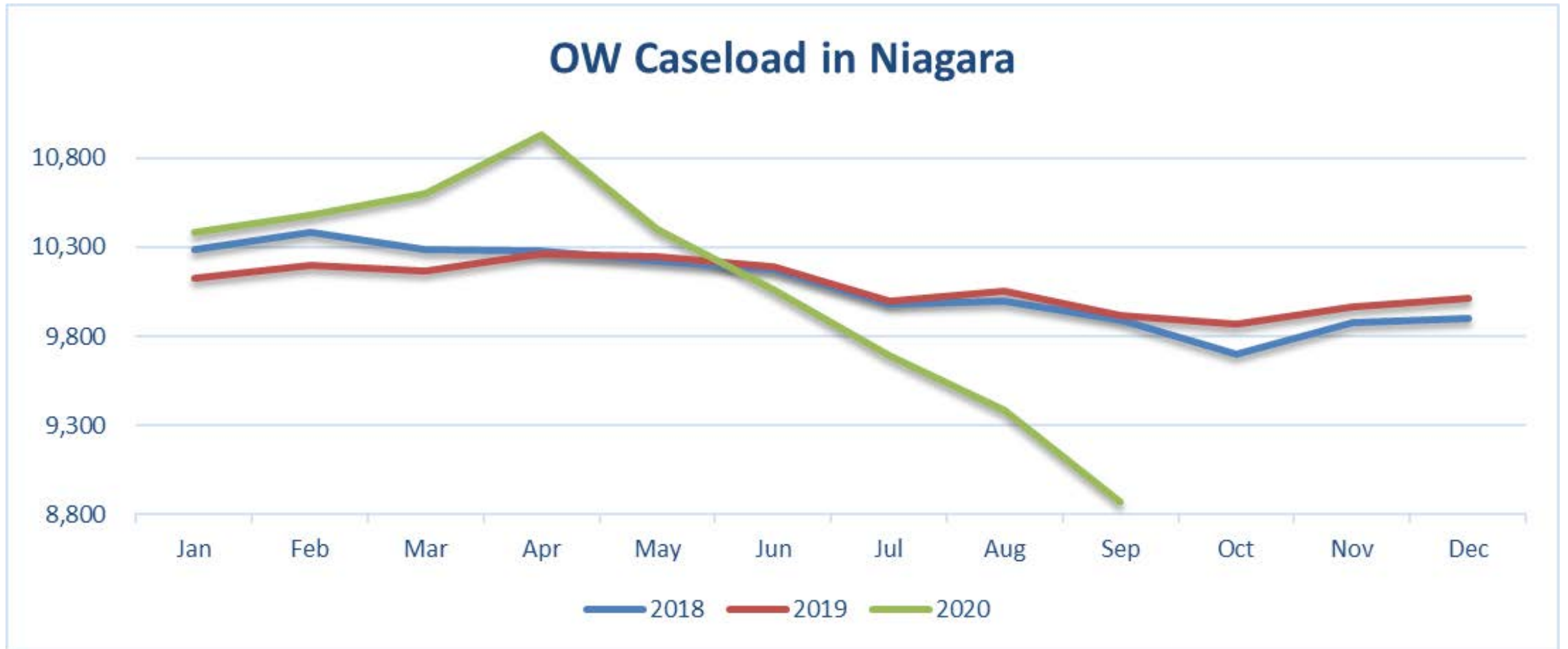


- Canada Recovery Benefit
- Canada Recovery Sickness Benefit
- Canada Recovery Caregiving Benefit
- Modified Employment Insurance (EI) Program

Unemployment Rate 2018 to 2020

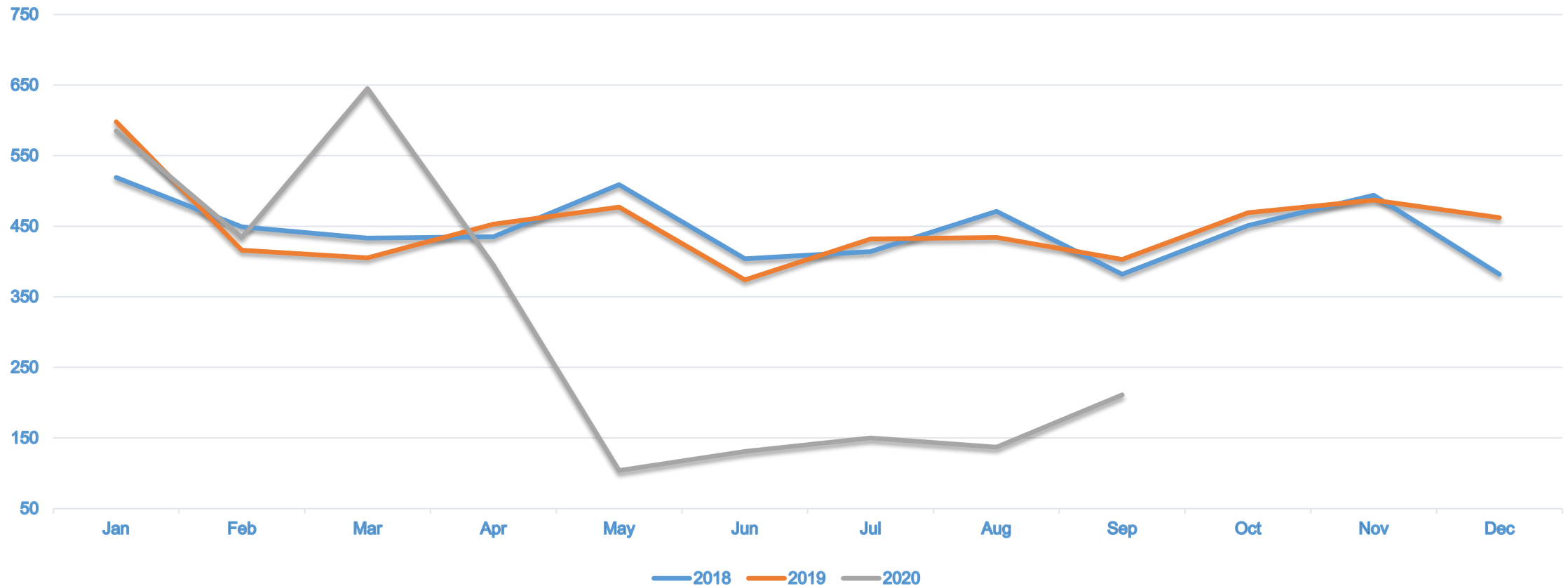


Ontario Works Caseload 2018 to 2020

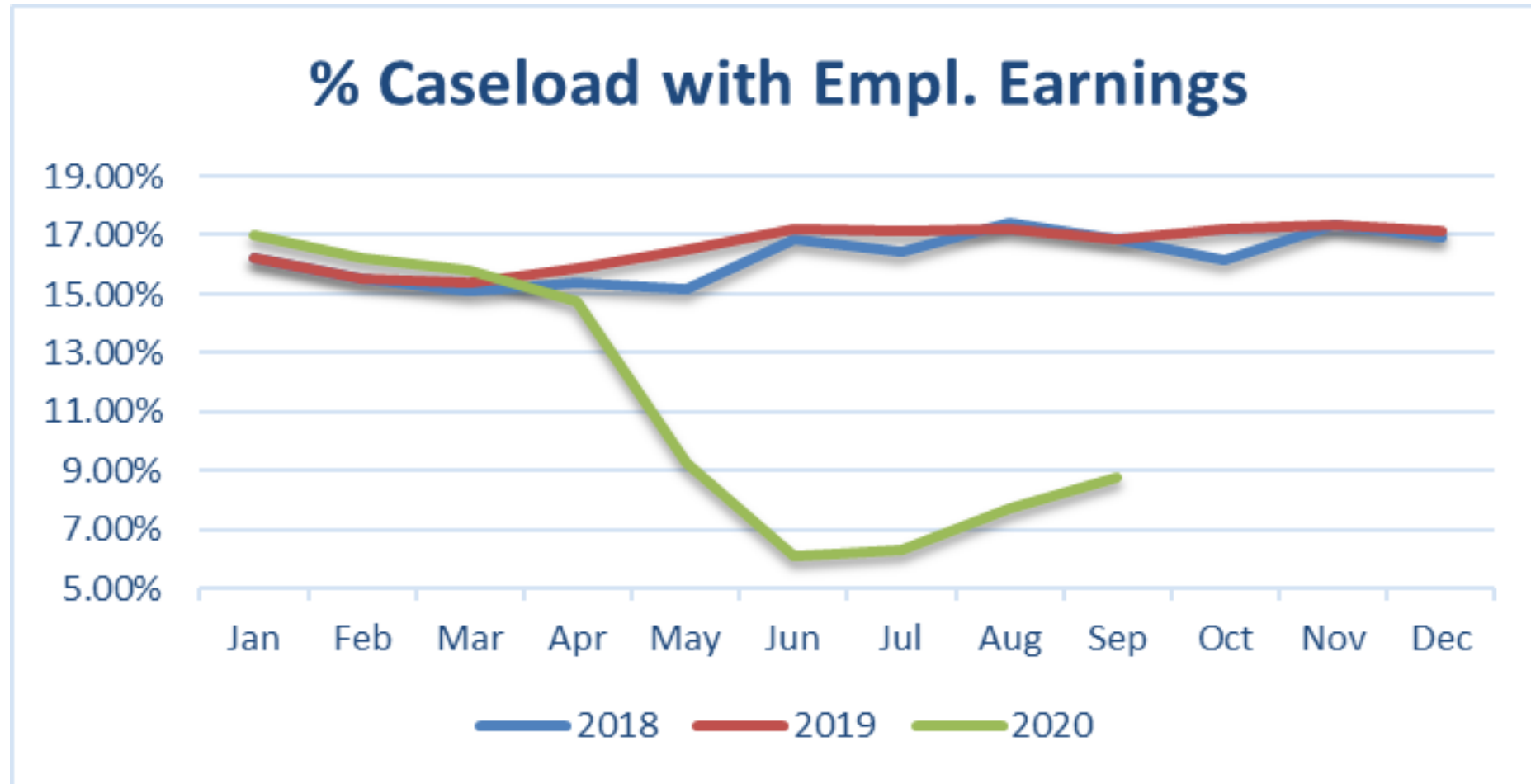


New Applications 2018 to 2020

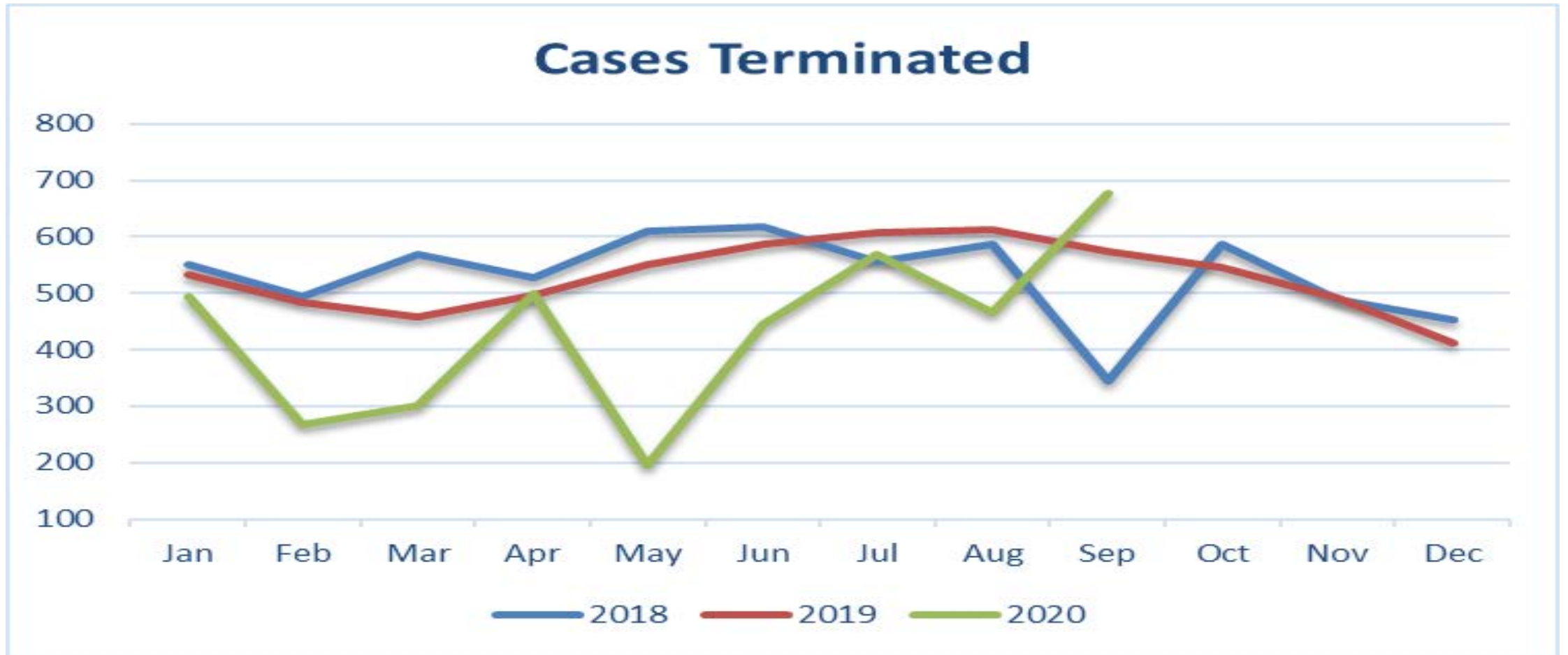
Number of applications processed



Percentage of Ontario Works Caseload with Earnings 2018 to 2020



Case Terminations 2018 to 2020



Impact of Poverty

People living in poverty have been disproportionately impacted during the pandemic. Low-income populations are more likely to:

- Live in overcrowded communities
- Be impacted by the change in the employment landscape; and
- Work in industries that increase their proximity to the public

Average length of time on assistance has increased from 37 months to 41 months

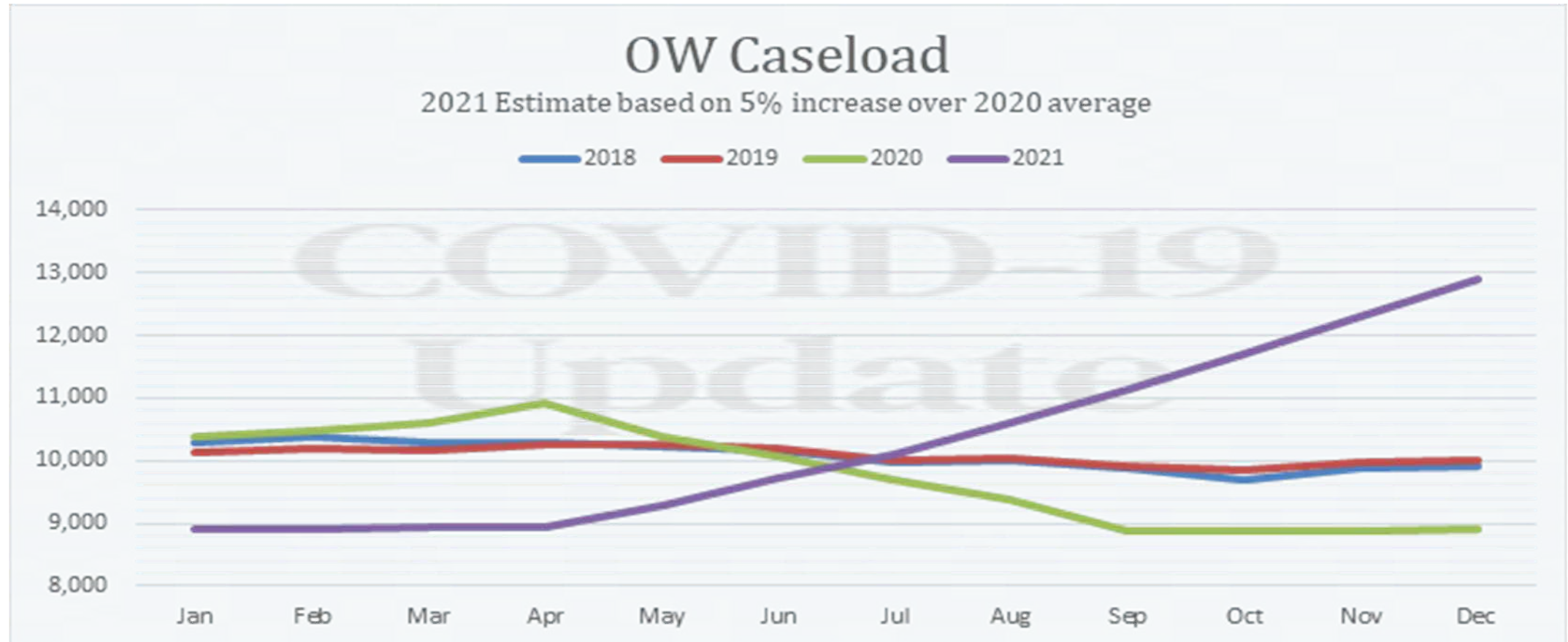
Expanding Access to Benefits

SAEO adapted local policy to improve access and remove barriers:

- Participation Related Expenses (bus pass, telephone)
- Housing Stability Benefits (rent arrears, last months rent, moving)
- Ontario Works Adult Denture Services Program

Launched a temporary Low-Income Housing Stability Benefit

Anticipated Ontario Works Caseload Surge



Provincial Social Assistance Recovery and Renewal Plan

Preparing for a surge in Ontario Works caseload

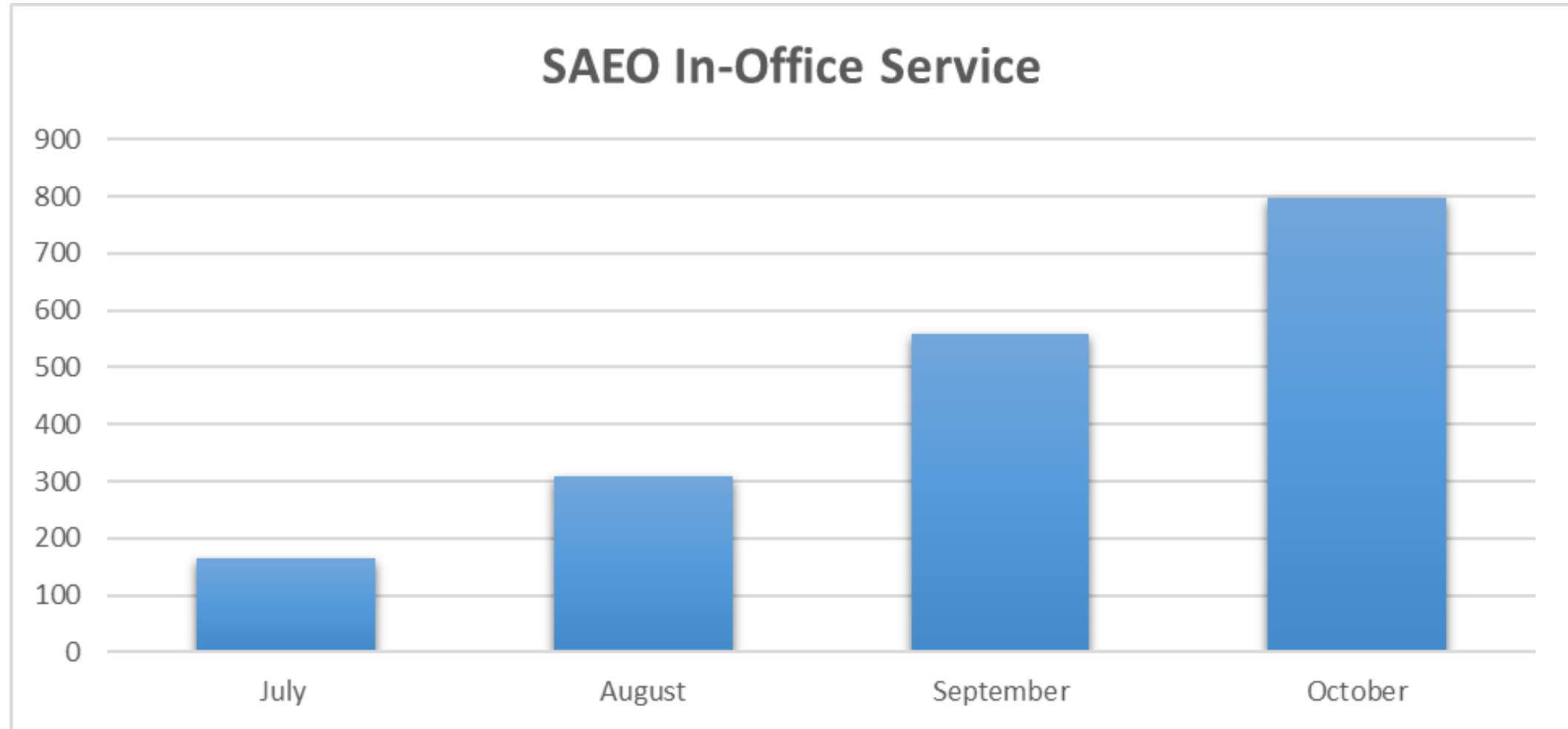
Accelerated Digital Solutions

- Direct deposit, reloadable payment card, electronic document management

Centralized and automated delivery

- Launching centralized intake February 2021

Providing In Person Service



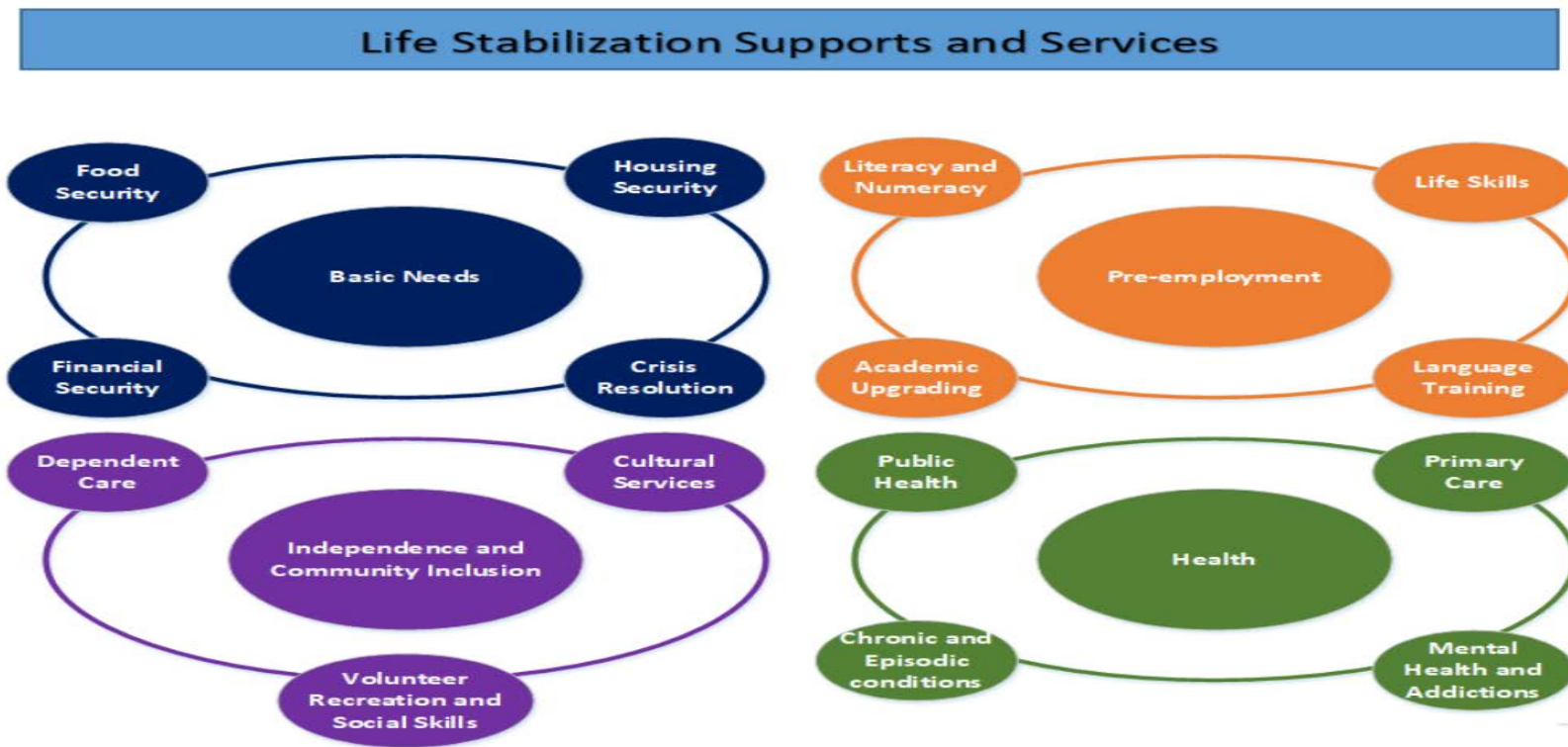
Social Assistance and Employment Opportunities

Assessing Client Needs

	2019	2020
Health - Physical	17.3%	28%
Health Psychological	17.5%	28.5%
Addictions	6.6%	10.6%
Domestic Violence	2.1%	3%
Housing Stability	7%	10.4%

Social Assistance and Employment Opportunities

Connecting Clients to Community Resources and Services



Employment Services Transformation

- Effective January 1, 2021 Ontario Works employment services will be integrated into Employment Ontario to create more streamlined supports that are locally delivered and focused on improving outcomes for all job seekers
- Working closely with the Ministry of Children, Community and Social Services, Ministry of Labour, Training and Skills Development and the new service system manager FedCap to ensure our clients receive the best employment supports
- Provide updates regarding service delivery changes related to redefined roles and performance measures over the next several months.

MEMORANDUM

COM-C 34-2020

Subject: COVID-19 Response and Business Continuity in Community Services

Date: December 8, 2020

To: Public Health & Social Services Committee

From: Adrienne Jugley, Commissioner, Community Services

This memo provides continued updates on the measures Community Services has taken to ensure the ongoing delivery of essential services during the COVID-19 pandemic, and the alternate approaches used to support those most vulnerable in Niagara.

Seniors Services – Long-Term Care

Long-Term Care COVID-19 Outbreak Updates

At the time of writing this report, there are four active outbreaks within Regionally operated long-term care (LTC) homes. Increased community spread of COVID-19 increases the risk for outbreaks in LTC homes. Staff, essential caregivers and visitors to LTC homes, despite all the precautions they may be taking, can still bring COVID-19 into the homes and spread the virus to the residents. The protocols put in place across Niagara's eight LTC homes have supported efforts to keep residents and staff safe for many months. Despite these best efforts to keep COVID-19 out of Regional facilities, we are experiencing first hand, in this second wave, the challenge and unpredictability of this virus.

Each of the LTC homes in an active outbreak have been working very closely with Public Health and have implemented all required measures in order to bring the outbreak to a close. Seniors Services continues to ensure that all infection prevention and control measures are in place, and there remains adequate staffing and availability of necessary personal protective equipment (PPE) to support all required outbreak protocols.

In addition to the outbreaks at Gilmore Lodge and Meadows of Dorchester, Public Health declared outbreaks at both Rapelje Lodge, on November 21, 2020 and at The Woodlands of Sunset, on November 23, 2020, identifying single positive cases further to routinely scheduled staff surveillance testing. These two homes are also working closely with Public Health to ensure that all appropriate outbreak management measures are in place and all resident families have been notified.

Provincial Guidance and Directives: Visiting, Outings, Testing

Recently, the province issued guidance and directives to further mitigate the risk of COVID-19 for residents, staff and families in LTC homes. The guidance is issued in accordance with the levels outlined in the provincial COVID-19 Response Framework and as such, LTC homes across Niagara must follow the guidance applicable to Orange-Restrict level regions.

Effective November 16, 2020, all general visits at LTC homes across Niagara have been suspended. Resident outings including short stay absences and temporary absences have also been suspended, however, essential medical appointments continue to be permitted. Seniors Services acknowledges that these restrictions are very difficult for residents and families, and continues to work together with residents and families to coordinate virtual visits, window visits and ensure ongoing communication is facilitated.

Under new provincial guidelines, essential caregivers are permitted to continue to come to a LTC home at this time. An essential caregiver provides direct care to a resident, such as providing assistance with feeding, mobility, cognitive stimulation, or meaningful connections to support emotional well-being. Each resident may designate an essential caregiver if they require one. LTC homes ask anyone who is considering taking on the role of an essential caregiver for a resident, to consider their personal health and their susceptibility to the virus in making their decision. To ensure the safety of residents, staff and families, essential caregivers complete training relevant to their specific essential care role as well as training on the safe use of PPE and hand hygiene.

The province has also issued an updated Minister's Directive for COVID-19 testing. All essential caregivers are now required to complete weekly COVID-19 testing and to provide evidence of their negative test result as part of their active screening process upon entry to a LTC home. The updated Directive for COVID-19 testing also requires staff surveillance testing to be increased from twice monthly to weekly. Each of the Niagara Region LTC homes provide COVID-19 testing for all staff on-site. With the

revised testing requirements, homes will be completing approximately 6,000 COVID-19 tests each month. Seniors Services is currently reviewing the logistics of completing this volume of testing in-house each month and the associated staffing pressures this might create.

Provincial Commitment to Increased Hours of Direct Care to LTC Residents

On November 2, 2020, the province announced a commitment to increasing the hours of direct care for each LTC resident to an average of four hours per day. Direct hands-on care is provided by nurses or personal support workers to support individual clinical and personal care needs of a resident. Seniors Services is awaiting further details on how this commitment will be implemented, staffing strategies that will be put in place by the Ministry of Long-Term Care as part of this commitment, and if there will be any funding implications.

Additional Funding for Infection Prevention and Control (IPAC)

In October, Niagara Region received additional funding of \$774,050 for LTC homes to support minor capital improvements directly linked to improving IPAC practices. According to the funding requirements, eligible IPAC measures that funding can be directed toward include (but are not limited to) minor renovations to support physical distancing, plumbing or water supply cleaning and repair, HVAC systems upgrades or repairs and / or replacement of furniture and equipment that cannot be fully cleaned.

Homelessness Services & Community Engagement

Homelessness Services continues to operate the full emergency shelter system, overflow hotel rooms, the self-isolation facility and an enhanced street outreach service. As of November 15, 2020, 277 individuals have been referred to the isolation facility with testing administered in shelter, resulting in negative (COVID-19 testing) findings to date.

In collaboration with Regional Essential Access to Connected Healthcare Niagara, the Niagara North Family Health Team, Welland McMaster Family Health, and the McMaster University Family Medicine Residency Program, nine flu immunization clinics were offered, throughout the month of November, across multiple locations commonly accessed by the homeless population in Niagara, including emergency shelters and breakfast programs. In addition to this, flu shots were also provided by Niagara

Assertive Street Outreach staff to individuals living in encampments. In total, 101 flu shots were provided to the homelessness system.

Niagara Region, the City of Niagara Falls and Niagara Regional Housing are collaborating on the development of an innovative bridge and permanent supportive housing project in Niagara Falls. The project will leverage a surplus building provided by the City of Niagara Falls. The Bridge Housing project will support individuals in Niagara that are living in a state of chronic homelessness, and who have also demonstrated significant high need in the areas of mental health, addictions, and physical health. The new facility will include up to 21 beds of temporary bridge housing for individuals preparing for permanent housing and permanent supportive housing, as well as three beds dedicated to recuperative care. The recuperative care beds would ensure that homeless individuals, recently discharged from hospital, have access to necessary care beyond what an emergency shelter can support. A range of services will be offered at the facility, including 24/7 case management support services, mental health and addictions programming, meals, primary care support on site, and adult experiential learning.

The facility, estimated at a cost of \$3.7 million, will be developed with renovation funding provided by the Ministry of Municipal Affairs and Housing (MMAH) through Phase 2 of the Social Services Relief Fund, an in-kind property transfer and building permit fees waivers from the City of Niagara Falls, and a funding contribution from Niagara Region. The MMAH funding program stipulates that the project must be completed and ready for occupancy by December 31, 2021, therefore, a design-build approach will be taken to renovate the building to meet the strict timelines.

Children's Services

Niagara's licensed child care service providers have reopened centres through a staggered approach, after the Ministry of Education permitted all licensed child care centres to reopen at full capacity September 1, 2020. EarlyON Child and Family Centres remain closed to on-site visits; however, the centres continue to offer virtual programs and services to children and families, with a small number of centres reopening to support supervised access visits for families that are involved with Family and Children's Services Niagara.

Licensed child care centres and home child care programs have documented 1,725 child absent days in the month of October that were directly related to COVID-19. These absent days were either for testing, due to children exhibiting COVID-19 like symptoms,

or due to isolation by a child or family member. This number has been reduced by more than half from what was reported in September of 2020, mostly due to the change in the COVID-19 operational guidelines around screening and symptoms. This does not include any absent days incurred by children for regular occurrences such as illness, injury, vacation, etc. The absences have resulted in a system's cost of approximately \$232,700 to Children's Services in the past two months alone. Children's Services continues to support licensed child care service providers with this cost through one-time support from COVID-19 relief funding. Children's Services expects this to rise as COVID-19 cases continue to increase and more testing is conducted, and isolation is directed.

Children's Services is continuing to monitor the reopening of child care centres and also continues to provide funding to child care service providers to support their ability to remain open.

At the end of October 2020, there were approximately 5,070 child care spaces operating across 160 licensed child care centres and 75 home child care providers in Niagara. Although there were roughly 11,035 licensed child care spaces available across Niagara by the end of October, the continued shortage of qualified Registered Early Childhood Educators and the parental decisions to not return their children to child care due to the pandemic, has meant that many child care centres are not operating at their full licensed capacity. At this time, approximately 46 percent of licensed child care spaces are operational from the overall licensed child care system. Prior to the COVID-19 pandemic, there was a total of 11,595 licensed child care spaces across 169 child care centres, and 90 home based providers in Niagara.

Social Assistance & Employment Opportunities (Ontario Works)

On September 30, 2020, the provincial government announced the first phase of the Social Assistance Recovery and Renewal Plan. The province will be focusing on improved access to employment and training services, developing new tools and modern service options, and ways to process financial assistance faster. Based on many process improvements already implemented and continuous efforts to align services with emerging provincial policy, Social Assistance & Employment Opportunities (SAEO) is well positioned to move forward with the first phase of the Social Assistance Recovery and Renewal Plan.

In October, SAEO made a number of temporary policy adjustments in order to respond to the needs of OW and Ontario Disability Support Program (ODSP) clients during the pandemic:

- Expanding the Housing Stability Benefit exceptional circumstances criteria to allow for flexibility in responding to individual and family housing crisis
- Providing up to an additional \$600 of coverage for OW clients accessing denture services (in addition to the fees outlined in the Niagara Region Adult Denture Services Program fee guide)
- Expanding participation related benefits to improve access to supports and services and remove barriers (e.g. bus pass, phone, clothing, masks, cleaning supplies, sanitizer, etc.).

Niagara Regional Housing (NRH)

The pandemic has exacerbated many additional health and well-being concerns, particularly related to mental health and addictions. NRH is noticing these concerns first-hand, as many tenants are experiencing increased mental health issues, addiction and social crises, that are often heightened by the effects of poverty and poverty-related issues. In-person supports from traditional agencies that provide supports to tenants, such as mental health services, continue to be extremely limited and many tenants are uninterested in, or unable to access, virtual supports.

NRH continues to deliver programs, supports and services as effectively as possible within the context of changing provincial and regional guidelines (e.g. pick-up breakfasts, delivery of craft / recipe / activity kits, after school programming with in-person homework help, weekly newsletters with puzzles and games, bulletin board bingo, etc.). New initiatives include a partnership with CyberSeniors and Niagara College to distribute refurbished laptops and tablets to tenants in senior and integrated communities in order to equip them for virtual programs and supports. Another partnership with Niagara College is providing intense programming in St. Catharines' Scott Street community, which has experienced a high number of negative social issues.

Construction continues with five new units being developed on Ormond Street / St. David's Road in Thorold and 73 new units on Hawkins Street in Niagara Falls. NRH's development team is also working on the application for the Rapid Housing Initiative (RHI) that will be submitted in early December through the RHI project stream. This

funding is hoped to support the full capital requirement for 25 new units on the POA lands in Welland that have been purchased by NRH.

Respectfully submitted and signed by

Adrienne Jugley, MSW, RSW, CHE
Commissioner

MEMORANDUM

Subject: COVID-19 Response and Business Continuity in Public Health & Emergency Services (December 2020 Update)

Date: December 8, 2020

To: Public Health & Social Services Committee

From: M. Mustafa Hirji, Medical Officer of Health & Commissioner (Acting)

Current Status as of November 26, 2020

- The latest updates including statistics can be found at <https://niagararegion.ca/covid19>
- Globally, much of the northern hemisphere to experience a resurgence of COVID-19.
- Most countries in Europe [have reinstituted national lockdowns](#) to bring COVID-19 back under control, while other countries are instituting geographic lockdowns.
- As Canada grapples with the surge of cases, most provinces have instituted province-wide measures that resemble partial lockdowns, including BC, Alberta, Manitoba, and Quebec, as well as the territory of Nunavut. [BC has now introduced a mask mandate](#) for indoor spaces, while [Alberta has instituted a partial mandate](#).
- Similar to the rest of the world, the [surge in cases in Ontario](#) that began in mid-August continues. Ontario, however, is choosing to take a regional approach to COVID-19 restrictions rather than province-wide measures.
- Ontario has instituted a lockdown in Toronto and Peel Region, partial lockdown measures in other regions (including Hamilton, and Halton) and progressively lower restrictions in other areas depending on COVID-19 circulation, as well as health care and public health capacity.
- Niagara continues to be in the Restrict-Orange level of the provincial framework.
- However, Ontario is neighbouring areas with much higher cases including Hamilton, Halton Region, Erie County (New York), and Niagara County (New York). This puts Niagara at particular danger.

- Additionally, given the lockdowns in Peel Region and Toronto, and the high quality of local amenities as well as relative openness of Niagara, there could be an influx of visitors to Niagara from these higher risk areas.
- The two largest drivers of cases remaining high in Niagara are the following:
 - Persons continuing to have active social lives with many close contacts, leading to infection spreading through a large social network. Provincial guidance since October 2, and local advice since late-September has been that [people should limit their in-person social interactions to just their households](#). Restaurants and other venues where people congregate socially is a prime driver of this spread, where people often socialize beyond their households.
 - Persons continuing to go about their social interaction and attending work despite having some symptoms of illness. This is leading to infection spreading to many more people. People must isolate at the first signs of infection, even very mild symptoms (e.g. runny nose, sore throat, nasal congestion) to ensure that they are not spreading an infection around, and get tested. Workplaces must actively screen their employees for symptoms to ensure that they are not allowing an ill person into the workplace. Although the province has regulations to prevent this, those regulations are being inadequately enforced. Public Health has been advocating to the province for better enforcement of existing rules in order to avoid needing to institute new rules if cases rise further.
- [Outbreaks in long term care homes and retirement homes](#) remain increased, with more residents affected, but still far fewer than in April. As cases rise in the community, there are likely to be more cases that work or visit long term care and retirement homes, leading to more outbreaks.
- With the increase in cases in the community, Public Health capacity is being stretched in several ways:
 - Increased work to follow-up with each person infected with COVID-19 and all of their contacts,
 - Each person infected with COVID-19 typically now has a very large number of contacts as compared to in previous months, so each new case of COVID-19 is requiring more work for management.
 - Increased cases in the community are leading to increased cases in persons associated with schools, child care, long term care, retirement homes, and other institutions. All of these require significant work by Public Health to prevent and/or manage outbreaks.

- To deal with the surge of work associated with the new cases, Public Health has again scaled back and stopped other program areas to focus on COVID-19. Programs such as vaccination and dental health are unlikely to be able to operate this year; other programs such as mental health and child health will need to be further scaled back, depriving vulnerable residents of needed support. The limits of scaling back other work to find capacity have been reached now; no further opportunities for redeployment remain.
- Other [Boards of Health in Ontario are investing](#) additional funding into Public Health to ensure a strong pandemic response, [as well as the continuation of robust programs](#) to support the health of the public from all other health issues which have been exacerbated by the Pandemic. Niagara Region Public Health is attempting to hire temporary positions (as opposed to permanent positions similar to our peers) to manage the pandemic response, but given the intense competition province-wide to hire staff, there has been only limited success in recruitment. For example, it took over 3 months to recruit the complete complement of 20 new nurses for the enhanced school health program funded by the Ministry of Health. After over 3 months, Niagara remains unable to recruit a replacement Associate Medical Officer of Health. Given a highly competitive job environment where qualified staff are in demand by hospitals, long term care, primary care, and public health in every region of the province, Niagara Region has proven not to be sufficiently competitive to secure needed staff in this environment. The impact of this could be exacerbation of health problems in Niagara relative to our peers.
- In Emergency Services, call volumes for EMS have largely returned to normal levels as business and life has resumed.
- EMS is closely monitoring patient flow within local emergency departments and working with Niagara Health to ensure capacity and surge planning for anticipated COVID-19 related hospitalizations.
- Emergency Management continues to support both Regional and Local Area Municipal EOC's for coordinated response and business continuity planning.

Previous (November 19) Summary on Business Continuity

Public Health & Emergency Services deliver essential services year-round to impact the health and health equity of Niagara residents, and to pursue Council's strategic goal of building a Healthy and Vibrant Community. During the current pandemic, the department is playing a central role in the response to protect and mitigate the impacts of COVID-19, while also continuing the essential work around all other health issues that continue to affect residents.

While COVID-19 has commanded the primary focus of Public Health and society at large, it is important to remember that most of the pre-existing health issues continue to exist and are responsible for more deaths (4,500 per year in Niagara) than the projected number of deaths from COVID-19 in Niagara (250–1,000 deaths).

Activity in Public Health & Emergency Services reflects focusing on COVID-19 response, while also ensuring ongoing service to protect the health in other essential areas.

Public Health Emergency Operations Centre for COVID-19

Current Status of Operations

Public Health began work in response to COVID-19 on January 8, 2020. As volume of activities grew, the Public Health Emergency Operations Centre was partly activated on January 28, 2020 to ensure coordination of work and central leadership. By March 9, staff had begun to be redeployed from regular duties to supporting the activities of the Emergency Operations Centre, which was fully activated at this time. Currently 131 staff work in COVID-19 emergency response (35% of staff complement in Public Health), as well as an additional 42 staff on contract to support the response with 31 additional staff being recruited.

Emergency Operations are currently in the process of being transitioned to the new temporary Pandemic Response Division to consolidate most pandemic response activities, and streamline reporting lines and management processes. This was explained in more detail in [CWCD 299-2020](#).

Significant Initiatives or Actions Taken

There are three principle lines of response to COVID-19:

1. **Case, Contact, and Outbreak Management.** Public Health is following-up with every person diagnosed with COVID-19 to ensure they are isolated and no longer infecting others. Public Health identifies all contacts of that person who may also have been infected, and arranges for those contacts to be isolated as well. That way, if they develop illness, they cannot have exposed anyone. By isolating all persons who may be infected with COVID-19, the chain of transmission can be broken. Case and contact management will be critical to ensuring ongoing control of COVID-19 transmission if and when physical distancing measures are relaxed.

A critical subset of this work is advising and supporting the management of outbreaks in long term care homes, retirement homes, and other health care facilities. We have seen that most cases and deaths in Niagara, Ontario, and Canada as a whole have occurred in these settings. Better protecting them and supporting these facilities to manage outbreaks are our top priority.

Public Health usually has 12 staff working on case, contact, and outbreak management year-round for 75 diseases of public health significance (e.g. measles, influenza, salmonella, HIV). Within the Emergency Operations Centre, this has been scaled-up to over 100 staff. In addition, Public Health is further expanding its capacity by “out sourcing” some of this work to staff offered by the Public Health Agency of Canada. With Council’s approval received on August 13, 2020, there is now the ability to enter into assistance agreements with other local public health agencies to further expand capacity if needed. However, with most parts of the province experiencing surges of cases, it is unlikely Niagara will be able to leverage the support of others. The case/contact/outbreak management operation now works 7 days a week, 08:00 to 20:30.

2. **Supporting Health Care & Social Services Sector.** The health care and social services sectors play an essential role in supporting those most vulnerable, including diagnosing and caring for those who contract COVID-19. Public Health has been working with the sector to advise and support protocols that will minimize risk of infection to both clients and staff.

A dedicated health care provider phone line supports health care providers in providing advice and latest recommendations around COVID-19.

Approximately 5 FTE currently support the health care and social services sector within the Emergency Operations Centre, all redeployed from normal public health work.

3. **Supporting Schools & Child Care.** A new call line has been created to support schools, teachers, staff, and child care operators with keeping children safe in their reopening's. Supporting these sectors is a priority in terms of protecting vulnerable children as well as older staff who may work in these settings and are at risk of severe illness. However, it is also a priority given the potential for children to spread infections through families and through the large populations in schools which could trigger a second wave. As well, successful reopening of schools and child care is critical for our economic recovery to enable parents to return to work. This is a particular equity issue for women given the disproportionate role women play in child care. Approximately 40 staff, including the 20 new provincially-funded hires are supporting schools and child care.

Since the reopening of schools, the school health team has

- Managed over 1000 clients who are cases or contacts of COVID-19 and associated with a school
 - Provided 350 consultations to schools
 - Provided, on average, 5 engagements with each school
 - Conducted, on average, 4 in-person visits a week to schools in Niagara to do proactive infection prevention work
 - Supported 145 school staff with virtual professional development around preventing COVID-19
 - Provided resources that have been accessed over 10,000 times (on-line or in hard copy) by school staff or school boards.
4. **Public Messaging.** Given the rapidly changing landscape of COVID-19. Public Health seeks to provide the public with the information to address their fears and concerns, as well as to understand their risk and how to protect themselves. These efforts include a comprehensive web site library of frequently asked questions, an information phone line to speak to a health professional that operates 09:15 to 20:30 on weekdays and 09:15 on 16:15 on weekends, an online chat service with health professionals that operates during the same

hours, social media, and approximately 15 media requests per week. Daily, Public Health has over 20,000 interactions with the public across all channels.

Approximately 10 staff have been redeployed from usual public health operations to support the Emergency Operations Centre with public messaging.

In addition to these lines of work, there is significant work around data entry, customizing data systems and process management to make the above three lines of work as efficient and effective as possible. As well, there are comprehensive planning teams, logistics teams, a finance and administration team, and liaison activities. Approximately 45 staff have been reallocated to these activities.

Finally, existing mass immunization plans are being updated and preparedness is underway for if and when a COVID-19 vaccination is available.

Operational Outlook

1 month

- Case & Contact Management capacity readied for deployment as cases increase with increased economic and social interactions

3 months

- Assistance agreements may be entered into with other local public health agencies to prepare for managing the risk of a local surge of COVID-19 cases.

3 months to 6 months

- Projections on operations in the future will depend on Provincial government policy decisions around COVID-19 response. The expectation is that current emergency operations would continue with emphasis shifting based on provincial response.

Clinical Services Division (Excluding Mental Health)

Current State of Operations

Most efforts in this area normally focus on infectious disease prevention. Many staff (60 FTE of 84 total) have been reallocated to the Emergency Operations Centre for COVID-

19 response. ~~This number has been scaled back as sexual health services as well as vaccination cold chain inspections have been scaled up, the latter in preparation for vaccination against influenza.~~ Current operations are focused on

- case and contact management of sexually transmitted infections
- case and contact management of significant infectious diseases (e.g. tuberculosis, measles)
- distributing provincial vaccination stockpiles to primary care
- ~~inspection primary care for appropriate cold chain with respect to vaccinations~~
- advising primary care around complex immunization scenarios
- emergency contraception
- outreach to marginalized populations around vaccination and sexual health

Services/Operational Changes

- Cessation of immunization clinics
- Cessation of school vaccinations
- Cessation of enforcing the *Immunization of School Pupils Act*
- Cessation of supplying the public with immunization records
- Cessation of sexual health clinics
- Cessation of health promotion around vaccinations
- Cessation of health promotion around healthy sexuality

It is a priority ~~in the coming weeks~~ to develop a plan to resume school vaccinations and enforcement of the *Immunization of School Pupils Act*. However, the recent surge of cases threatens the ability to restart vaccinations.

Operational Outlook

1 month & 3 months

- Return of staff to vaccination and sexual health programs to scale up operations in these areas.
- Attempt to resume school-based vaccinations.
- Plan for enforcement of the *Immunization of School Pupil's Act*.

Mental Health

Current State of Operations

Mental Health supports clients in the community who would often otherwise need to be hospitalized. This work is critical to keep people out of the hospital and ensure health system capacity for those with COVID-19. As well, given current challenges around loss of employment, anxiety, and social isolation, delivery of mental health services is more important than ever. With the resurgence of COVID-19, some staff have again been redeployed to the COVID-19 response, affecting waiting times for Mental Health services. Two staff returned to Mental Health have once again been reassigned to pandemic response.

Services/Operational Changes

- Shift of some in-person clinics to remote delivery
- Reduction in some volume of work to shift 6 FTE to provide mental health case management in shelters.

Operational Outlook

- With the resurgence of COVID-19, staff have been redeployed to COVID-19 response, and likely will remain redeployed for several more weeks.
- Mental Health services are expected to continue to have long waiting times given loss of staff to COVID-19 response.

Environmental Health

Current State of Operations

Several lines of inspection that were discontinued due to closures of certain sectors (e.g. food services, personal services, recreational pools) have resumed as those sectors reopen. In addition, other sectors of inspection remain more important than ever (e.g. infection control inspections of long term care homes and retirement homes). No staff remain completely deployed to support Emergency Operations. However, almost all staff are supporting emergency operations in their home program by inspecting COVID-19 prevention measures as part of their normal inspection work, or taking on roles around non-COVID-19 infection prevention normally done by staff redeployed to

Emergency Operations. For early October, 1 staff person has been formally redeployed to emergency operations. Currently staff focus upon

- Investigation of animal bites for rabies prevention
- Investigation of health hazards
- Foodborne illness complaints
- Food premises complaints
- Infection prevention and control lapse investigations
- Inspection of reopened food premises
- Inspection of housing and infection prevention amongst temporary foreign workers
- Support and advice to private drinking water and small drinking water system operators
- Inspection of reopened recreational water establishments
- Inspection of reopened personal services settings
- Surveillance and prevention of West Nile Virus, Lyme Disease, and other vector borne diseases
- Investigation of adverse water quality
- Supporting businesses and other partners with infection prevention and control, especially as many businesses move to re-open
- Supporting operators with other unique health risks from resuming after a period of extended closure, such as flushing and managing stale water in pipes

Services/Operational Changes

- Increase of infection control investigations of long term care facilities and retirement homes
- Simulations of outbreaks with long term care facilities and retirement homes to increase their preparedness for outbreaks have now been discontinued
- Refocusing infection control investigations of day cares to focus on very frequent inspection of those that remain operational
- Inspections conducted as part of COVID-19 case and outbreak investigations in workplaces and public settings

Operational Outlook

1 month

- Continuing with intense inspections of long term care facilities and retirement homes, as well as other congregate living locations (e.g. group homes)

- Additional inspections of local farms and workplaces where transmission is likely.
- Loosening of social restrictions has necessitated resumption of inspections of food services, personal services, beaches, and other areas, and this will only increase

3 month & 6 month

- Projections on operations in the future will depend on Provincial government policy decisions around COVID-19 response.

Chronic Disease & Injury Prevention

Current State of Operations

Chronic illnesses are responsible for 70% of ill health and lead to more deaths (75,000 deaths per year in Ontario) than are likely to be caused by COVID-10 (Ontario government projects 3,000 to 15,000 deaths from COVID-19). Chronic diseases are heavily exacerbated during this period of social restrictions. As well, since chronic disease make one more likely to suffer severe illness from COVID-19, mitigating chronic diseases remains a high priority.

Efforts are being consolidated around three areas:

1. Mental health promotion. This reflects the greater risk of persons suffering mental health challenges including suicide during this time.
2. Substance use prevention. This reflects the risk of greater substance use while people are unemployed and lack other means of recreation.
3. Health eating and physical activity. The goal is to ensure physical activity despite current social restrictions, and support healthy eating when mostly fast food is available to purchase for take-out.

The above three priorities align with the underlying causes of most ill health and most deaths in Canada. Of 35 staff, 29 remain in their role supporting work on these health issues.

Services/Operational Changes

- Consolidation of resources around the previously mentioned three priorities
- Elimination of engagement of populations in-person

- Elimination of activities in schools, workplaces, and other public settings
- Cessation of most cancer prevention work
- Cessation of most healthy aging work
- Cessation of most injury prevention work
- Expansion of role of Tobacco Control Officers to also enforce Provincial emergency orders around physical distancing

Operational Outlook

1 month

- Continuing new initiatives
- Working with partners on new opportunities enabled by the pandemic

3 month & 6 month

- Resumption of workshops for smoking cessation
- Roll-out of major suicide-prevention initiatives
- Projections on operations in the future will depend on Provincial government policy decisions around COVID-19 response. Loosening of social restrictions will enable delivery of programming with more direct engagement.

Family Health

Current State of Operations

There continues to be redeployment of 79 of 144 staff in Family Health to support Emergency Operations. As well, 20 school health staff while not formally redeployed, work overwhelmingly in COVID-19 response. In addition, most staff working in normal assignments are managing the exacerbated harms from the pandemic on other health issues.

Families in Niagara are burdened now more than ever to try to provide safe and healthy care, environments and opportunities for children. The Family Health division continues to provide essential services for families with a small number of staff. Limited services are provided by phone, live chat and virtual access to nurses through Niagara Parents where families can seek support with breastfeeding, parenting, pregnancy, postpartum mental health and child health issues.

Efforts are now underway to plan with schools on how school health programming may be delivered this fall. The Healthy Babies Healthy Children program has begun transitioning back to in-person visits with physical distance to better support families, as well as in-person screening in the hospitals. The Nurse Family Partnership has also been able to transition to mostly in-person visits using physical distance having maintained visiting at pre-COVID levels for the prior 3 months with more virtual visits.

Staff are focusing their efforts on the following areas:

- Prenatal/postnatal support
- Supporting vulnerable families
- Parenting supports
- Providing enrollment and information towards emergency dental care

Home visiting programs for some of our most vulnerable families are also offering virtual support to assist with

- adjusting to life with a new baby,
- addressing parenting concerns,
- promoting healthy child development,
- accessing other supports and services as they are available, and
- assessing for increased risk related to child protection

Services/Operational Changes

- Cessation of dental screening
- Cessation of dental services
- Cessation of breastfeeding clinics
- Cessation of well baby clinics
- Shifting all prenatal/postnatal support to virtual options from in-person service
- Shifting home visits to remote connections

For the period of March 16, 2020 to November 14, 2020:

- 491 registrants for online prenatal education
- 2,420 HBHC postpartum screens and assessments completed by PHN
- 1,678 HBHC home visits
- 742 Nurse Family Partnership visits
- 408 Infant Child Development service visits
- 652 Breastfeeding outreach visits

- 1,659 interactions with Niagara Parents (phone, live chat, and email)
- 170 moms received support and skill building through our cognitive behavioural therapy post-partum depression group
- 117 visits to families received support and skill building through Triple P Individualized Parent Coaching

Operational Outlook

1 month

- Resumption of breastfeeding clinics has been halted due to redeployment of staff to support COVID-19 again.

3 month & 6 month

- Future operations will depend on Provincial policy decisions around COVID-19 response. Loosening of social restrictions will enable delivery of programming with more direct engagement.
- Breastfeeding clinics may resume in the winter.
- Resumption of dental clinics and fluoride varnish administration is also being planned for the winter.
- Positive Parenting Program being planned for resumption in the fall. There has been high uptake to virtual class options.

Organizational and Foundational Standards

Current State of Operations

Organizational and Foundational Standards supports the data analytics, program evaluation, quality improvement, professional development, communications, engagement, and customer services activities of Public Health. There has been redeployment of 34 of 39 staff to Emergency Operations. Ongoing activity includes

- Opioid surveillance reporting
- Active screening of staff at Regional buildings
- Managing data governance and privacy issues

Services/Operational Changes

- Cessation of public health surveillance work

- Cessation of most public health communications and engagement work
- Cessation of public health data analytics
- Cessation of expanded implementation of electronic medical record system
- Cessation of all public health quality improvement work
- Cessation of Public health applied research
- Cessation of evaluating public health programs
- Cessation of public reception service in Public Health buildings
- Scaling back data governance initiative

Operational Outlook

- Expectation is that resources will remain reallocated to Emergency Operations for at least 6 months.

Emergency Medical Services

Current State of Operations

Emergency Medical Services (EMS) continues to dispatch land ambulance services to the population calling 911, as well as modified non-ambulance response to 911 calls as appropriate (the System Transformation Project). At present, call volumes have returned to expected values and operational response is normal. EMS has moved from the Monitoring stage of their Pandemic Protocol back to the Awareness stage following the recent increase in COVID-19 cases and the impact on resources. EMS is experiencing many staff in all areas of EMS operations needing to self-isolate due to family testing requiring business continuity procedures to be enacted. EMS continues to face pressures around personal protective equipment procurement as global shortages continue.

Services/Operational Changes

- Providing enhanced community support through COVID-19 specific programs (refer to PHD 05-2020 for additional details)
- Additional requests by the Province for EMS to supplement community support through enhanced Mobile Integrated Health services – 100% funding for any new initiatives approved by the LHIN

Operational Outlook

1 month

The Pandemic Plan for response prioritization remains in place ~~in case there is a resurgence of cases in Niagara~~. This is a unique plan to Niagara, enabled by Niagara's local control and tight integration of both ambulance dispatch and the land ambulance services.

3 month & 6 month

- Projections on operations in the future will depend on Provincial government policy decisions around COVID-19 response, and the subsequent circulation of COVID-19 in the population. Higher COVID-19 circulation would create demand for more calls to 911 as well as increase risk for EMS staff who must be off work due to COVID-19 infection or exposure. As 911 calls increase and/or staff are unable to work, the Pandemic Plan will prioritize which calls continue to be served, and which 911 calls receive a modified response (e.g. phone call and advice from a nurse) or no response.

Emergency Management

Current State of Operations

Emergency Management is currently fully deployed to supporting the Regional Emergency Operations Centre and advising the Public Health Emergency Operations Centre. Emergency Management is also deeply engaged with supporting emergency operations teams at the local area municipalities, as well as other key stakeholders (e.g. Niagara Regional Police, fire services, Canadian Forces). The CBNRE team has also been supporting emergency operations part time. Paramedics are also assisting with staffing the shelter system.

Services/Operational Changes

- Cessation of preparedness activities to focus fully on current response to COVID-19.
- A mid-response review is being conducted by staff to assess the functionality and effectiveness of emergency management coordination internally and with external stakeholders, primarily LAM EOC's to identify what is/has worked well

and opportunities to improve emergency management coordination as the emergency continues

Operational Outlook

Ongoing support of current Emergency Operations Centres and recovery planning efforts. There are some elements of recovery planning that are begin implemented.

Recommended by:

M. Mustafa Hirji, MD MPH FRCPC
Medical Officer of Health & Commissioner (Acting)
Public Health & Emergency Services

Submitted by:

Ron Tripp, P. Eng
Acting, Chief Administrative Officer

Subject: Seniors Services Quality Improvement Report – July to September 2020
Report to: Public Health and Social Services Committee
Report date: Tuesday, December 8, 2020

Recommendations

1. That this report **BE RECEIVED** for information.

Key Facts

- The purpose of this report is to provide Committee and Council with highlights of quality initiatives and outcomes for the third quarter of 2020 for Seniors Services. Areas of focus in this quality report include key updates on:
 - Ontario's Long-Term Care COVID-19 Commission Report and associated topics including:
 - Staffing in Long-Term Care Homes
 - IPAC Capacity Building and Partnerships
 - Ongoing Family Access to LTC Homes: Essential Caregivers

Financial Considerations

The Ministry of Long-Term Care (MLTC) and Ontario Health West are the primary sources of funding for the Seniors Services division. Other funding sources include user fees and levy. The activities referenced in this report are expected to exceed the originally approved 2020 operating budget. Additional funding from the province has supported increased costs due to implementation of pandemic related orders, directives and guidance. However these incremental costs have exceeded the budget and are not fully addressed through additional provincial funding. The shortfall is being presented to the Ministry and has been regularly reported to council.

Analysis

As the pandemic unfolds there are many issues arising that have operational implications for Senior Services. This report seeks to provide context on a few of these emerging issues and the respective impact on long-term care.

Ontario's Long-Term Care COVID-19 Commission

The provincial government launched a commission into COVID-19 in Ontario's long-term care system in September 2020. The intent of the commission is to provide the government with guidance on how to improve the long-term care system and better protect residents and staff from any future outbreaks.

The Commission is expected to submit their final report to government by April 30, 2021. The Commission provided recent communication in advance of the final report because now that the second wave of COVID is upon us, there is a sense of urgency as the virus presents a particularly high level of risk in long-term care homes.

The recommendations fall under three key areas of focus:

1. Increase Staffing

- increase the supply of PSW's and address the requirement for an appropriate staff mix
- more full-time positions must be created to ensure staffing stability and retention and resident continuity of care
- develop and implement a comprehensive human resources strategy
- increase permanent funding to support a minimum daily average of four hours of direct care per resident per day
- ensure that families and caregivers have ongoing, safe and managed access to LTC residents

2. Strengthen Healthcare Sector Relationships and Collaboration

- where there are LTC homes likely to have difficulties (whether based on past experience, high infection rates in the surrounding communities or other data) a collaboration model should be mandated immediately (i.e. hospitals, Public Health and LTC Homes)
- formalize relationships proactively – clearly define supports and surge capacity for each LTC home to quickly mobilize when an emergency situation arises

3. Improve IPAC Measures

- Ensure every LTC home has a dedicated IPAC (Infection Prevention and Control) lead
- enhance LTC ministry resources and capacity to provide compliance support
- provide highest priority access to testing and quick turn-around of results for residents and staff
- residents who are COVID-positive, especially in older homes, should be given the option to transfer to alternate settings (i.e. hospital) to avoid further transmission of the virus and to help them recover

The Commission's final report will provide an account of what happened in the first wave of the pandemic and provide a broad range of recommendations that deal with pre-COVID systemic challenges and factors that contributed to COVID-related outcomes in LTC homes.

The Ministry has provided a response to some of the recommendations made in the report with respect to: staffing, IPAC capacity building and partnerships, and ongoing family access to homes.

Staffing in Long-Term Care Homes

Long-Term Care Homes have been advocating for an increase in direct care staffing for many years. Ontario's Long-Term Care COVID-19 Commission confirmed the need for enhanced front-line staff in preliminary recommendations.

The provincial government announced on November 2, 2020 that staffing in long-term care homes across Ontario will be increased to four hours per resident per day. The province pledged to achieve that standard by 2024-2025. The lengthy time line on the implementation is, in part, because meeting the new standard will involve training a significant number of new personal support workers, registered practical nurses and registered nurses.

Currently there is a health human resource shortage across the province including in Niagara. Long-Term Care Homes across Niagara currently have many vacant positions. A recent local Health Human Resources survey identified that there are currently 460 PSW vacancies, 17 RPN vacancies and 78 RN vacancies in LTC homes across Niagara. In order to address these existing vacancies, as well as the additional positions required to meet the four hours per day standard, there will need to be a concerted focus on recruiting more health care workers in Niagara and on training many more future health care workers.

Work has been initiated with the District School Board of Niagara through the Skills Catalyst Funding Agreement to support an enhanced class of personal support worker students this January, and the Region's Seniors Services division is pleased to be able to provide support to this effort through the offering of student placements. Seniors Services is also participating in the Provincial Health Force Ontario program that incents new graduates to pursue a career in Long-Term Care.

The move to a four hour per resident day standard will have a significant positive impact on resident care in Long-Term Care Homes. To ensure that homes are able to fill

current and future vacancies, Seniors Services will continue to work in collaboration with Human Resources, Communications, AdvantAge and post-secondary institutions in support of creative recruitment and training efforts.

IPAC Capacity Building and Partnerships

The MLTC has announced a new infection prevention and control initiative, with associated funding, to support IPAC staffing, training and partnerships.

IPAC Hubs are local networks that will be established to support capacity building in LTC homes and congregate settings. They will enable access to IPAC expertise, collaborative assistance and just-in-time advice, guidance and direct support on IPAC practices for both prevention and response. The IPAC hubs will work in partnership with Public Health and Public Health Ontario.

The expected role of LTC homes in the IPAC Hubs is to build on existing infection, prevention and control programs and expertise through the Hub model as follows:

- IPAC delivery/programming in the home as per Hub expectations
- Collaboration with the hub to optimize IPAC
- Disseminating knowledge, expertise and assistance from the hub
- Providing access to education programs to enhance knowledge and skills of staff

Seniors Services will be moving forward as part of this IPAC Hubs program.

Ongoing Family Access to LTC Homes: Essential Caregivers

Essential caregivers are a new concept introduced by the Ministry of Long-Term Care (MLTC) during the pandemic. Essential Caregivers are defined as essential visitors designated by the resident and / or their substitute decision maker. Their role is to provide direct care to a resident that may include feeding assistance, mobility assistance or cognitive stimulation. Essential Caregivers are usually family members but may also be friends, privately hired caregivers, paid companions and / or translators.

The MLTC details that each resident may designate a maximum of two caregivers and that this designation has to be submitted to a home in writing.

To mitigate risk of transmission of COVID19, essential caregivers are now required to be COVID tested weekly. They are required to provide proof that they have tested negative for COVID-19 within the previous week and not subsequently tested positive each time they actively screen upon entry to the home.

Essential caregivers, unlike infection prevention and control practices prior to the pandemic, are now permitted to continue to come to a home during an outbreak and / or if the resident they are caring for is in isolation. However, essential caregivers are not permitted to visit a second resident who is self-isolating or symptomatic and / or a second home in outbreak.

Long-Term Care Homes provide education to all essential caregivers including training on how to safely provide the type of care they will be assisting with (e.g. feeding assistance training). To support the continued safety of residents and staff in this unprecedented time, all essential caregivers are also required to regularly review the visitors' policy and to complete infection prevention and control training with a focus on safe donning and doffing of personal protective equipment and effective hand hygiene.

As we see increased community spread of illness in Niagara, there have been a number of COVID positive cases among essential caregivers at the regional long-term care homes. Essential caregivers, like staff, must follow universal masking and eye protection protocols to decrease the risk of transmission of the virus to residents. LTC Homes continue to work with the province and Public Health to strike a balance between safety of residents and the unintended consequences to residents if they are unable to access essential caregiver support. The most recent change to testing guidance has introduced weekly COVID-19 testing for all essential caregivers with a requirement to provide evidence of a negative test result as part of the active screening process.

Alternatives Reviewed

Not applicable.

Relationship to Council Strategic Priorities

Healthy and Vibrant Community – supporting the delivery of quality care to Niagara's Senior population.

Other Pertinent Reports

- COM 13-2020 Seniors Services Quality Improvement Report – January to March 2020

Prepared by:

Kim Eros
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Services, Seniors Services
Community Services

Recommended by:

Adrienne Jugley, MSW, RSW, CHE
Commissioner
Community Services

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

This report was prepared in consultation with Henri Koning, Director Seniors Services, Michelle Johnston, Project Manager, Community Services, Jordan Gamble Program Financial Analyst, Corporate Services, Carol Rudel Administrator Seniors Community Programs, Jennifer Butera Outreach Services Program Manager, Viviana Menendez Central Support Services Administrative Lead, Jennifer Laughher Administrative Lead, Seniors Community Programs.

Appendices

Appendix 1 Seniors Services Report Card 2020

Appendix 1 Seniors Services Report Card Q3 2020

Seniors Long Term Care Home Metrics

Measures	Definition	2019 Q4	2020 Q1	2020 Q2	2020 Q3
Resident Satisfaction Survey	This metric provides a measure of resident perception of services and overall rating of a great place to live. The survey is issued annually. In 2019 the average for the eight Niagara Region LTC Homes was 95%. The 2019 MBN average for upper-tier municipalities was 93%.				94
Pressure Ulcers	This is a measure of the number of residents with worsened stage 2-4 pressure ulcers. (provincial average: 2.6%).	2.96	2.91	2.71	3.02
Outbreaks	The resident home area may be declared in outbreak by Public Health if two or more residents residing in the same resident home area have two or more consistent infectious symptoms (in 2019 the total number of outbreaks was 16). ⁱ	3	6	3	9
% of Residents who have fallen in the last 30 days	This is a measure of the percent of residents who sustained a fall in the last 30 days. (provincial avg: 16.40%)	16.65	17.01	17.15	17.49
% of Residents with New Fractures	This is a measure of the percent of residents who sustained a fracture during this quarter. (provincial avg: 1.4%)	1.075	1.36	1.13	1.30

Seniors Community Programs

Measures	Definition	2019 Q4	2019 Q1	2020 Q2	2020 Q3
Number of unique individuals served in 2019-2020	Individual is counted once in a calendar year regardless of the number of services one individual may be accessing.	1614	1611	1247	1263
% satisfied with overall services	Average across all Seniors Community Programs.				
# of complex case consultations	Multi-agency collaboration is required to support the diverse needs of the individual in developing a community plan of support/care.	4	11	2	12

ⁱ For COVID-19, Public Health will declare an outbreak if a single resident or staff test positive for COVID-19. Two of the nine outbreaks in Q3 were COVID-19 outbreaks. Each outbreak was associated with a single COVID-positive case.

MEMORANDUM

COM-C 33-2020

Subject: Activities related to Niagara's 10-Year Housing and Homelessness Action Plan for September, October, November 2020

Date: December 8, 2020

To: Public Health and Social Services Committee

From: Adrienne Jugley, Commissioner, Community Services

Further to council direction in October (COM 40-2019), staff continue to provide regular updates about activities, local targets, outcomes and challenges related to Niagara's 10-Year Housing and Homelessness Action Plan (HHAP), as new information is available. The following highlights activities related to the HHAP in September, October, and November 2020:

- Beginning in October a second landlord engagement specialist position was funded. Landlord engagement specialists recruit landlords to work with programs such as Housing First and assist service providers and program participants to have positive relationships with landlords in order to sustain successful tenancies.
- On November 3, 2020 Niagara became one of 23 Canadian communities in the Built for Zero Canada (BFZ-C) movement to have quality real-time, person-specific data for everyone experiencing chronic homelessness. Niagara can now coordinate support and services to end homelessness for these individuals and families, and can use the system level data on inflow, outflow, and total active homelessness to inform improvement projects and monitor trends and progress to achieving functional zero chronic homelessness.
- In November, Niagara's Built for Zero Away Team selected three improvement projects to be completed by spring 2021 to support homeless system transformation and achievement of 'functional zero' chronic homelessness. The Housing and

Homelessness Action Plan (HHAP) Housing Focused Shelter Working Group is also contributing to these projects. The improvement projects include:

- Expanding diversion to the whole shelter system
 - Increasing shelter discharge to permanent housing
 - Expanding the use of VI-SPDAT assessments across the homelessness system
- In October, Niagara launched a Supported Transitional Housing Working Group as part of the HHAP. This group will support the transformation of transitional housing in Niagara's homeless serving system by increasing use of nationally recognized best practices, developing program and system level policies, and introducing coordinated access for transitional housing. Seven transitional housing providers are participating.
 - In November, the shelter diversion pilot expanded to the YWCA shelter. Now four local shelter providers are using a common formal diversion process as part of the pilot. Shelter diversion supports individuals seeking access to emergency shelter to find and secure safe alternatives to emergency shelter that may be available to them (for example, staying with family or friends). Diversion can help people facing homelessness to maintain their supports in the community while reducing demand for emergency shelter beds. It is mainly successful for youth and first time shelter stayers.
 - Niagara Region, the City of Niagara Falls and Niagara Regional Housing (NRH) are collaborating on the development of an innovative Bridge and permanent supportive housing project in Niagara Falls. The project will leverage a surplus building provided by the City of Niagara Falls. The Bridge Housing project will support individuals in Niagara that are living in a state of chronic homelessness, and those who have also demonstrated significant high need in the areas of mental health, addictions, and physical health. The new facility will include up to 21 beds of temporary bridge housing for individuals preparing for permanent housing and permanent supportive housing, as well as three beds dedicated to recuperative care.

The recuperative care beds would ensure that homeless individuals, recently discharged from hospital, have access to necessary care beyond what an emergency shelter can support. A range of services will be offered at the facility, including 24/7 case management support services, mental health and addictions programming, meals, primary care support on site, and adult experiential learning. The facility, estimated at a cost of \$3.7 million, will be developed with: renovation funding provided by the Ministry of Municipal Affairs and Housing (MMAH) through Phase 2 of the Social Services Relief Fund; an in-kind property transfer and building permit fee waivers from the City of Niagara Falls; and a funding contribution from Niagara Region. The MMAH funding program stipulates that the project must be completed and ready for occupancy by December 31, 2021, therefore, a design-build approach will be taken to renovate the building to meet the strict timelines.

- Niagara Regional Housing awarded the contract for the Affordable Housing Master Plan in early November, with work beginning immediately. The Master Plan will provide a long-term road map to ensure the sustainability of existing affordable housing stock and outline the future needs for housing in Niagara.
- Construction began on the units on Ormond Street, which will provide six net new units of affordable housing.
- Construction continues on the Hawkins St. development in Niagara Falls. The two apartment buildings will provide 73 units of community housing for applicants on the NRH waitlist, including 10 Housing First units. The build is 25% complete, on budget and on schedule for occupancy January 1, 2022.
- NRH and Niagara Region staff continue to work with the development community to explore innovative housing solutions that address the costs of affordable housing, such as modular construction, shipping container homes, and smaller homes including micro condominiums.
- NRH is currently developing an application to the Canadian Mortgage and Housing Corporation Rapid Housing Initiative program for community housing funding. This proposed build is crucial to help with the great need for single rent-geared-to-income

units in Niagara. The submission will include a modular build that is shovel-ready and able to meet the tight timelines required for the funding.

- NRH and Niagara Region staff continue to provide data and other support for local area municipalities working on affordable housing plans and policies.
- The Planning and Development Services Department is retaining the Canadian Centre for Economic Analysis to update the housing and housing affordability data and analysis previously completed in 2019. The 2019 analysis provided base data for the updated Housing and Homelessness Action Plan and was intended to be used for the housing strategy component of the new Niagara Official Plan. However, due to the recent amendment to the Provincial Growth Plan, updates are needed to conform to new employment and population forecasts to the year 2051. The update will include data on affordable housing requirements, core and deep core housing need at the regional and local area municipal level, and for different submarkets, income levels and job categories. The analysis will also evaluate demographic and economic trends in Niagara that persisted prior to the pandemic and the potential structural shifts in the economy as a result of the COVID-19 crisis.

Respectfully submitted and signed by

Adrienne Jugley, MSW, RSW, CHE
Commissioner



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November 27, 2020

Ann-Marie Norio, Regional Clerk
Niagara Region
1815 Sir Isaac Brock Way
Thorold, ON L2V 4T7

Dear Ms. Norio,

At their November 27, 2020 meeting, the Niagara Regional Housing Board of Directors passed the following motion as recommended in attached report NRH 16-2020:

That Niagara Regional Housing Quarterly Report July 1 to September 30, 2020 be APPROVED and FORWARDED to the Public Health and Social Services Committee and subsequently to Regional and Municipal Councils for information.

Your assistance is requested in moving report NRH 16-2020 through proper channels to Regional Council.

Sincerely,

A handwritten signature in black ink, appearing to read 'Walter Sendzik', with a long horizontal line extending to the right.

Councillor Walter Sendzik
Chair



Q3 (July 1 to September 30, 2020) to Board of Directors

Recommendation:

That Niagara Regional Housing Quarterly Report July 1 to September 30, 2020 be APPROVED and FORWARDED to the Public Health and Social Services Committee and subsequently to Regional and Municipal Councils for information.

Submitted by:

A blue ink signature of Donna Woiceshyn, written in a cursive style.

Donna Woiceshyn
Chief Executive Officer

Approved by:

A blue ink signature of Walter Sendzik, written in a cursive style.

Walter Sendzik
Chair

Directors:

Walter Sendzik, Chair
Regional Councillor
St. Catharines

Gary Zalepa, Treasurer
Regional Councillor
Niagara-on-the-Lake

Tom Insinna
Regional Councillor
Fort Erie

James Hyatt, Vice-Chair
Community Director
St. Catharines

Betty Ann Baker
Community Director
St. Catharines

Betty Lou Souter
Community Director
St. Catharines

Karen Blackley, Secretary
Community Director
Thorold

Barbara Butters
Regional Councillor
Port Colborne

Leanne Villella
Regional Councillor
Welland

Q3 (July 1 to September 30, 2020)

***V**ISION*

That the Niagara community will provide affordable, accessible and quality housing for all residents

***M**ISSION*

To expand opportunities that make affordable housing an integral part of building healthy and sustainable communities in Niagara

As the administrator of social housing for Niagara Region, Niagara Regional Housing (NRH) works to fulfill our vision and mission through six main areas of responsibility:

1. [Public Housing \(NRH Owned Units\)](#)
2. [Non-Profit Housing Programs](#)
3. [Rent Supplement Program](#)
4. [Affordable Housing Program](#)
5. [Service Manager Responsibilities](#)
6. [Housing Access Centre and Centralized Waiting List](#)



Definitions can be found in the attached Reference Sheet.



Q3 (July 1 to September 30, 2020)

1. Public Housing (NRH Owned Units)

DAY-TO-DAY MAINTENANCE:

In Q3, **2,656 work orders** were issued, representing \$1,840,535.80. \$42,806.95 of this amount was charged back to tenants who were held responsible for damages.

	2019-Q3	2019-Q4	2020-Q1	2020-Q2	2020-Q3
# of work orders issued	3,111	3,675	2,575	2,302	2,656

Work orders continue to be lower due to COVID-19; regular maintenance has resumed within COVID guidelines.

CAPITAL PROGRAM:

The Capital Program is responsible for maintaining the Public Housing (NRH Owned Units) asset and planning for future sustainability.

In Q3, 52 purchase orders were issued and four public tenders closed.

The Capital Program was responsible for 12 capital projects and 52 purchase orders valued at \$1,825,000:

- 12 projects
 - Carlton Street – replacement of balconies and railings
 - 4900 Buckley Avenue – exterior insulation and finish system – canopies
 - 52 Ormond Street North– building renovations
 - 10 Old Pine Trail – bathroom replacements
 - Powerview Avenue/Galbraith Street/Wallace Street – bathrooms
 - 12 St. David's Road East – building renovations
 - Various locations - upgrading heating systems
 - 300 Davy Street – parking lot replacement
 - 3874 Portage Road – parking lot replacement
- 49 RFPs and RFQs – various consulting services, elevator investigations, health and safety repairs, structural repairs (roofing) and pavement retrofits

As of September 30, 2020, \$2,144,800 of the \$8,454,858 budget (excluding emergency) has been committed and or actually spent (25%).



Q3 (July 1 to September 30, 2020)

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TENANT MOVE OUTS:

Move Outs By Reason

Health	8	NRH Transfer	9
Long Term Care Facility	12	Moved to Coop or Non-Profit	1
Deceased	24	Bought a House	2
Private Rental	12	Left Without Notice	2
Voluntarily Left Under Notice	2	Other/None Given	17
Eviction – Tribunal	1	Cease to Qualify	0
		TOTAL	90

In Q3, there were **90 move outs**. One involved an eviction order granted under the Ontario Landlord Tenant Board (LTB) for Arrears and was enforced by the Sherriff.

	2019-Q3	2019-Q4	2020-Q1	2020-Q2	2020-Q3
# of move outs	57	71	62	57	90

ARREARS:

NRH Housing Operations actively works to reduce rent arrears but saw a continued increase in 2020-Q3 due to COVID-19 and tenants not paying rent due to the provincial no eviction order.

	Sept 30, 2019	Dec 31, 2019	Mar 31, 2020	Jun 30, 2020	Sept 30, 2020
Rent charges for the month	\$1,267,460.00	\$1,286,793.00	\$1,302,721.00	\$1,289,907.00	\$1,295,815.00
Accumulated rent arrears	\$35,549.21	\$36,134.21	\$71,135.25	\$110,958.69	\$113,204.57
Arrears %	2.80%	2.81%	5.46%	8.60%	8.74%

INSURANCE:

Nothing to report for Q3.

COMMUNITY RESOURCES AND PARTNERSHIPS:

Due to COVID-19, in Q3, we had partnerships with only **six community agencies** across Niagara. As a result of these partnerships, 15 support and enrichment activities were offered to tenants at NRH sites. Each partnership contributes to tenant lives and, in turn, the success of the Public Housing community as a whole:

- RAFT summer camps began in four NRH Public Housing communities (Old Pine Trail/Manchester/Rykert in St. Catharines and Warden and Waters in Niagara Falls) in July. They had 152 children attend and reported that there were no issues with adhering to COVID-19 guidelines.



Q3 (July 1 to September 30, 2020)

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- Faith Welland opened After School programs in Welland's McLaughlin community in September, with scheduled in-person homework help for a maximum of three children and the delivery of craft/recipe kits
- There was a dramatic increase in social issues attributed to anxieties and lack of supports related to COVID-19. Some communities experienced such disturbing social issues that NRH had to transfer several tenants and request that hearings to evict the perpetrators be prioritized at the Landlord Tenant Board, which reopened virtually in September.
- Common Rooms were only open during High Heat alerts, with guidelines posted and increased cleaning.

Also during Q3, NRH Community Programs Coordinators (CPCs) offered supports to **534 new referrals of tenants in need of assistance**. Of those new referrals, **35% were considered medium-high need**, (e.g. child safety concerns, eviction, social issues, cognitive concerns). In particular, there was a continued increase in the number of tenants needing help with social issues, supports and referrals to other agencies, however most of these agencies were either virtual or unavailable due to COVID-19. CPCs reported that many tenants were uninterested or unable to access virtual supports.

Eviction Prevention and supports have been extended to Housing Providers and the Rent Supplement program on a pilot basis through Ontario Priorities Housing Initiative (OPHI) funding. There is one full-time Community Program Coordinator (CPC) for Non-Profits/Co-operatives and one dedicated half to Rent Supplement and half to assisting with NRH-Owned units.

2. Non-Profit Housing Programs

As administrator of social housing for Niagara Region, NRH provides legislative oversight for **60 Non-Profit Housing Programs (non-profit and co-operative)**. Operational Reviews are conducted to determine the overall health of each.

	2019-Q3	2019-Q4	2020-Q1	2020-Q2	2020-Q3
Healthy	40	39	37	37	38
Routine Monitoring	17	18	21	21	18
Intensive Monitoring	1	1	0	0	2
Pre-PID (Project in Difficulty)	1	1	1	1	1
PID (Project in Difficulty)	1	1	1	1	1
TOTAL	60	60	60	60	60

NRH Housing Programs staff continue to work with Housing Providers as they move toward End of Operating Agreements (EOA) / End of Mortgage (EOM).



Q3 (July 1 to September 30, 2020)

3. Rent Supplement Program

Rent Supplement/Housing Allowance

In the Rent Supplement program, tenants pay 30% of their gross monthly income directly to the private landlord and NRH subsidizes the difference up to the market rent for the unit. The Housing Allowance program is a short-term program that provides a set allowance to help applicants on the wait list. In Q3, there were **1,663 Rent Supplement/Housing Allowance units** across Niagara.

Canada-Ontario Housing Benefit (COHB)

The COHB is a portable rent benefit that helps applicants on the Centralized Waiting List pay their rent to their current landlord in the private market. In Q3, 230 applications for were sent to the Ministry of Municipal Affairs and Housing on behalf of Niagara residents in need of housing. To date, **206 have been accepted**.

In-Situ Rent Supplement

An In-Situ Rent Supplement program has been developed to engage new landlords and offer applicants on the Centralized Waiting List an opportunity to receive Rent-Geared-to-Income assistance where they currently live. This removes the need for moving related expenses and broadens the network of landlords in business with NRH. In Q3, NRH initiated new agreements with **3 new landlords**.

	2019-Q3	2019-Q4	2020-Q1	2020-Q2	2020-Q3
Fort Erie	32	30	32	31	31
Grimsby	24	22	18	22	21
Lincoln (Beamsville)	11	13	14	14	12
Niagara Falls	240	239	237	226	220
Niagara-on-the-Lake	5	5	5	4	4
Pelham	19	19	17	17	17
Port Colborne	65	64	67	64	61
St. Catharines	773	778	798	751	712
Thorold	56	57	61	61	61
Welland	200	198	192	259	302
West Lincoln	15	16	16	16	16
COHB Region-wide					206
TOTAL	1,440	1,441	1,457	1,465	1,663

Variance in the Rent Supplement program are a reflection of fluctuation between agreements ending and new agreements taken up with landlords.

Q3 (July 1 to September 30, 2020)

4. Affordable Housing Program

NIAGARA RENOVATES PROGRAM:

The Niagara Renovates program provides assistance to low-to-moderate income homeowners for home repairs, accessibility modifications and the creation of secondary suites in single family homes.

Niagara Renovates inspections for new applicants for the 2020-2021 funding cycle have commenced. Inspections of completed work are being verified by homeowner photographs and formal inspections will take place as soon as possible and will include all areas inside and outside of the home to ensure compliance with program guidelines. Issues will be identified and a detailed Inspection Report provided to the homeowner.

NRH received \$545,920 through the Ontario Priorities Housing Initiative (OPHI) for all 3 streams of the program.

15 homeowners are currently approved for funding and NRH is working toward streamlining the program as we become more proficient at working under COVID-19 rules.

HOMEOWNERSHIP PROGRAM – “WELCOME HOME NIAGARA”:

The Homeownership program assists low-to-moderate income rental households to purchase their first home by providing a down payment loan.

In April 2020, NRH received \$100,000 through the Ontario Priorities Housing Initiative (OPHI) program.

In Q3, **seven homeowners** received assistance through Welcome Home Niagara.

	2019-Q3	2019-Q4	2020-Q1	2020-Q2	2020-Q3
# of homeowners assisted	6	7	4	5	7

HOUSING FIRST PROGRAM:

The Housing First program helps people move quickly from homelessness to their own home by providing supports to help difficult to house individuals find and keep housing.

In Q3, **seven individuals/families** were housed through the Housing First program. Since 2012, Housing First has helped 467 individuals/families.

	2019-Q3	2019-Q4	2020-Q1	2020-Q2	2020-Q3
# of individuals/families housed	15	16	13	9	7
# of Housing First units (at quarter end)	197	202	199	201	195



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17 of these Housing First units were created with NRH's new development at 527 Carlton Street in St. Catharines.

RENTAL HOUSING (NEW DEVELOPMENT):

NRH New Development

Hawkins Street/Dell Avenue, Niagara Falls		
Ontario Priorities Housing Initiative (OPHI)	\$3,600,000	
NRH Reserves	\$3,061,500	
Regional Development Charges	\$14,132,500	
Canada Mortgage & Housing Corporation Seed Funding	\$106,000	
TOTAL	\$20,900,000	73

Building A – 55 units

- Masonry completed on 1st level
- Structural steel installed for 1st level
- Mechanical and electrical rough in work ongoing
- 2nd floor Coreslab installed and grouted up to Gridline H (half of the building)

Building B – 18 units

- Foundations completed and site backfilled for concrete slab
- Underground plumbing completed and inspected by city of Niagara Falls
- Main level concrete slab poured
- Masonry block installation started



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AFFORDABLE HOUSING UNIT #'S BY MUNICIPALITY:

Fort Erie		Grimsby		Lincoln (Beamsville)		Niagara Falls	
NRH Owned	116	NRH Owned	55	NRH Owned	61	NRH Owned	884
Housing Providers	389	Housing Providers	0	Housing Providers	41	Housing Providers	828
Rent Supplement	31	Rent Supplement	22	Rent Supplement	12	Rent Supplement	239
New Development	0	New Development	0	New Development	0	New Development	140
NOTL		Pelham		Port Colborne		St. Catharines	
NRH Owned	40	NRH Owned	0	NRH Owned	88	NRH Owned	1,017
Housing Providers	0	Housing Providers	0	Housing Providers	139	Housing Providers	1,666
Rent Supplement	5	Rent Supplement	19	Rent Supplement	64	Rent Supplement	775
New Development	0	New Development	0	New Development	35	New Development	346
Thorold		Welland		West Lincoln (Smithville)		Region-wide	
NRH Owned	29	NRH Owned	394	NRH Owned	0	NRH Owned	2,684
Housing Providers	85	Housing Providers	425	Housing Providers	86	Housing Providers	3,659
Rent Supplement	57	Rent Supplement	194	Rent Supplement	15	Rent Supplement	1,433
New Development	46	New Development	167	New Development	0	New Development	734*

Note: there are no affordable housing units in Wainfleet

*166 New Development units are NRH Owned

as at December 31, 2019

Q3 (July 1 to September 30, 2020)

5. Service Manager Responsibilities

APPEALS:

In Q3, NRH began hearing appeals virtually. Adapting to this new process went well and **15 appeals** were heard (12 upheld, 3 overturned).

	2019-Q3	2019-Q4	2020-Q1	2020-Q2	2020-Q3
# of appeals	10	11	11	0	15

INVESTMENTS:

See Appendix 1 – Investment Report

6. Housing Access Centre & Centralized Waiting List

APPLICATION ACTIVITY:

# of Applications Received & Processed	604	# of Eligible Applications	581
# of Special Provincial Priority Status Applications	76	# of Ineligible Applications	23
# of Urgent Status Applications	88	# of Cancelled Applications	315
# of Homeless Status Applications	96	# of Applicants Housed	128

In Q3, there was a 36% increase in the number of applications processed (compared to Q2) and **315 households were removed** from the Centralized Waiting List because they were no longer eligible, they found alternate housing or we were unable to make contact.

Q3 (July 1 to September 30, 2020)

CENTRALIZED WAITING LIST:

		2019- Q3	2019- Q4	2020- Q1	2020- Q2	2020- Q3
		# of households				
A	Rent-Geared-to-Income (RGI) waiting list:					
	Niagara resident RGI waiting list	5,012	5,154	5,322	5,264	5,296
	Applicants from outside of Niagara	897	977	1,045	1,078	1,129
	TOTAL RGI waiting list:	5,909	6,131	6,367	6,342	6,425
	Housing Allowance: a set allowance to help applicants on the waiting list with affordability in the private market until housed in an RGI unit	747	742	739	723	702
A1	RGI waiting list demographics:					
	Seniors	2,362	2,455	2,514	2,487	2,506
	Adults no dependents	1,922	1,979	2,041	2,026	2,049
	Adults with dependents	1,625	1,697	1,812	1,829	1,870
A2	RGI list further segmented (#'s included in A & A1):					
	SPP – Special Provincial Priority (Ministry Priority): helps victims of violence separate permanently from their abuser	165	148	146	142	128
	URG – Urgent (Local Priority): for applicants with mobility barriers and/or extreme hardship where their current accommodation puts them at extreme risk and/or causes hardship	130	142	152	144	135
	HML – Homeless (Local Priority): provides increased opportunity for placement to homeless households	1,007	1,075	1,145	1,119	1,134
	SUP – Supportive/Transitional: provides targeted, provisional services to assist individuals to transition beyond basic needs to more permanent housing	12	16	23	10	11
B	In addition, NRH manages:					
	Overhoused: households who are living in subsidized accommodation with more bedrooms than they are eligible for	181	174	176	173	157
	Transfer: households who are currently living in subsidized accommodation and have requested a transfer to another provider	603	613	635	637	660
	TOTAL RGI households on waiting list managed by NRH:	6,693	6,918	7,178	7,152	7,242
C	NRH maintains a waiting list for market rent units (62 Non-Profit Housing Programs):					
	Market: applicants who have applied for a market rent unit in the Non-Profit Housing Programs portfolio	752	784	810	805	808
	TOTAL households on waiting list managed by NRH:	7,445	7,702	7,988	7,157	8,050
	TOTAL individuals on waiting list managed by NRH:	13,059	13,587	14,197	14,180	14,429

Note: the above chart includes only those who apply to the Centralized Waiting List and does not capture the full number of those in need of affordable housing in Niagara.

Q3 (July 1 to September 30, 2020)

ESTIMATED WAIT TIMES:

CITY	SENIORS Age 55 and older		SINGLES Age 16-54		HOUSEHOLDS WITH DEPENDENTS			
	Bachelor	1 Bed	Bachelor	1 Bed	2 Bed	3 Bed	4 Bed	5 Bed
	Y E A R S							
Fort Erie	-	11	3	7	2	2	6	-
Grimsby	-	5	-	-	-	-	-	-
Lincoln	-	6	-	10	6	10	-	-
Niagara Falls	5	7	-	18	5	5	12	16
Niagara-on-the-Lake	-	6	-	-	-	-	-	-
Port Colborne	-	8	-	12	5	3	4	-
St. Catharines	-	5	9	16	3	3	3	11
Thorold	-	7	-	13	3	11	-	-
Welland	-	6	7	16	7	3	8	7
West Lincoln	-	5	-	-	10	6	-	-

- no units of this size available in this community

January 2020

Please note:

- wait time information can fluctuate and is an approximation only
- wait times may not reflect the actual time one may wait for affordable housing

Quarterly Report on Cash / Investments for Period Ending September 30, 2020

	This Quarter Balance	Last Quarter Balance	Variance \$	Variance %	Comments
CURRENT BANK ACCOUNT					
Royal Bank account used for day-to-day operations for the owned units. Also to cash flow various short terms programs funded by Prov and Fed gov't usch as development, homeownership and capital repair programs.	9,845,711	6,248,806	3,596,906	57.56%	Since the February 2016 transition to PeopleSoft, day-to-day accounts payable transactions are paid by the Region through PeopleSoft. Reconciliation of the due to the Region account will be performed on a quarterly basis to transfer amounts due to the Region.

INVESTMENTS					
Various investment vehicles are used to protect and optimize the cash that is held for specified purposes. Investments are both short-term and long-term in nature. These funds are intended to ensure continued growth without capital erosion by inflation.					
Current Investments:					
RBC High Interest Savings Account	6,478,957	5,601,934	877,024	15.66%	
2 Year GIC, \$188,000; due date is 08/17/2020; interest rate of 2.65% to 2.74%	-	197,592	(197,592)	-100.00%	GICs matured at the end of August 2020 and deposited into the High Interest Savings Account. At the time of writing this report, reinvestment options are being examined in alignment with the NRH investment policy.
2 Year GIC, \$376,000; due date is 08/20/2020; interest rate of 2.60% to 2.65%	-	394,690	(394,690)	-100.00%	
2 Year GIC, \$264,280; due date is 08/21/2020; interest rate of 2.53%	-	276,470	(276,470)	-100.00%	
Total	6,478,957	6,470,685	8,272	0.13%	

Q3 Report on Reserves as at September 30, 2020

Description	Balances at December 31, 2019	Year-to-date Net Transfers from (to) Operating	Year-to-date Capital Transfers	Balance at September 30, 2020	Forecasted Net Transfers Forecast from (to) Operating	Forecasted Balance at December 31, 2020
NRH Owned Units Public/Local Housing Corp:						
Jubilee/Broad oak	287,569	54,000	-	341,569	18,000	359,569
Fitch Street	350,040	66,750	-	416,790	22,250	439,040
Carlton	210,000	60,750	-	270,750	20,250	291,000
Other Owned Units	5,140,075	975,000	(2,311,513)	3,803,562	325,000	4,128,562
NRH Owned Units Public/Local Housing Corp TOTAL	5,987,684	1,156,500	(2,311,513)	4,832,671	385,500	5,218,171
Niagara Regional Housing:						
Emergency Capital Funding for Housing Providers	3,199,268	1,155,695	-	4,354,963	385,232	4,740,195
Title Normalization for NRH Owned Units	712,381	-	-	712,381	-	712,381
New Initiatives, other social housing purposes and any new deposits are added to this category	4,316,390	(250,000)	(2,944,080)	1,122,310	-	1,122,310
Niagara Regional Housing TOTAL	8,228,039	905,695	(2,944,080)	6,189,654	385,232	6,574,886
Total NRH Capital Reserves	\$ 14,215,723	\$ 2,062,195	\$ (5,255,593)	\$ 11,022,325	\$ 770,732	\$ 11,793,056
NRH Rent Supplement:	266,301	(12,750)	-	253,551	(4,250)	249,301
NRH Stabilization Reserves TOTAL	\$ 266,301	\$ (12,750)	\$ -	\$ 253,551	\$ (4,250)	\$ 249,301
NRH Employee Future Benefits:	792,733	-	-	792,733	-	792,733
NRH Future Liability Reserves TOTAL	\$ 792,733	\$ -	\$ -	\$ 792,733	\$ -	\$ 792,733
Total	\$ 15,274,757	\$ 2,049,445	\$ (5,255,593)	\$ 12,068,609	\$ 766,482	\$ 12,835,090

Interest no longer applied by approval of Regional Council (CSD 02-2013).

503 NRH Owned Units Public/Local Housing Corp: This reserve was set-up by the Board of Directors as a Reserve Fund in September 2004 for capital expenses related to the NRH owned units. This reserve includes specific reserve balances to support 3 properties (Jubilee/Broad oak, Fitch, Carlton) based on the reserve fund studies completed to ensure sustainable. The balance is for all other owned units.

502 Niagara Regional Housing
This reserve includes three major elements: (1) Emergency Capital Funding for Housing Providers - *intent to support capital repair program for housing providers; surplus from housing programs should be directed to this component of the reserve* (2) Title Normalization for NRH Owned Units (3) New Initiatives / New Development

NRH Rent Supplement: This fund was set-up by the Board of Directors in December 2008 (year end) for a new Rent Supplement program. This Rent Supplement program is budgeted annually and withdrawal from the Reserve matches that year's expenditures.

NRH Employee Future Benefits: This fund was set-up by the Board of Directors in 2011 to fund Employee Future Benefits. (retiree benefits, sick leave, vacation. etc.).



Quarterly Report Reference Sheet

NRH 16-2020 REF
20-194-2.6. REF
November 27, 2020
Page 1 of 4

A	<p>AFFORDABLE HOUSING RENTS: Rents are established at 80% market of Canada Mortgage and Housing Corporation (CMHC) Average Market Rent, with no ongoing rental subsidy.</p>
	<p>APPEALS: Social Housing tenants/members can request reviews of decisions related to applicant eligibility, priority status, transfer requests, overhoused status, ongoing Rent-Geared-to-Income (RGI) eligibility and rent calculation issues. The NRH Appeal Committee makes decisions on appeals from applicants and tenants in Public Housing, Social Housing (where they have not established an Appeal Committee) and Rent Supplement units. All appeal decisions are final, per legislation.</p>
	<p>ARREARS: To assist with arrears collection, tenants/members are provided the option of entering into a repayment agreement but are still expected to pay full rent on time.</p>
B	
C	<p>CANADA-ONTARIO COMMUNITY HOUSING INITIATIVE (COCHI): A program that provides funding to protect affordability for households in social housing, support the repair and renewal of existing social housing supply and expand the supply of community housing over time.</p> <p>CANADA-ONTARIO HOUSING BENEFIT (COHB): A program that provides a monthly benefit payment to households that are on, or are eligible to be on, the Centralized Waiting List (CWL) to help them pay their rent. The COHB payments are portable (i.e. the benefit follows the household if they move to another address) and based on the household income and local market rent. In order to receive the COHB, applicants must agree to have their application removed from the CWL.</p> <p>CAPITAL PROGRAM: Responsible for maintaining the Public Housing (NRH-owned) asset and planning for future sustainability, as well as issuing tenders for service contracts.</p> <p>CENTRALIZED WAITING LIST (CWL): Is comprised of almost 200 subsidiary lists of Public Housing, Social Housing and private units through the Rent Supplement program. It is maintained on a modified chronological basis (i.e. in order to ensure that applicants are treated fairly, units are offered based on the date of application). The needs of particularly at-risk populations are addressed through Priority Status groups that are offered units before other applicants on the Centralized Waiting List:</p> <ul style="list-style-type: none"> • Special Provincial Priority (SPP) Status • Urgent Status • Homeless Status <p>The <i>Housing Services Act, 2011</i> (HSA) requires that the Centralized Waiting List is reviewed on a regular basis. Applicants are asked to confirm their continued interest and to update information annually (# of household members, total household income) so that NRH can verify ongoing eligibility for housing subsidy. If a household is no longer interested or is deemed ineligible the application is cancelled and removed from the list.</p> <p>The Centralized Waiting List includes various types of households (i.e. families, seniors and singles/adults without dependents) from both within and outside Niagara, the</p>

Quarterly Report Reference Sheet

	priority groups mentioned above, RGI and Market applicants and existing tenants who are overhoused (have more bedrooms than they need).
	COMMUNITY HOUSING: Housing owned and operated by non-profit, co-operatives and municipal governments or district social services administration boards including subsidized or low-end-of market rents.
	COMMUNITY PROGRAMS: NRH's community partners offer events, presentations, activities and programs to help mitigate the effects of poverty by building community pride, offering life skills training and enhancing the lives of the tenants. While NRH does not deliver these services directly to tenants, NRH's Community Resource Unit facilitates partnerships by identifying evolving community and tenant needs, connecting with appropriate programs and supporting their ongoing success.
D	
E	END OF OPERATING AGREEMENTS (EOA): EOA refers to the expiry of federally signed operating agreements. NRH is working with these providers to find innovative solutions to maintain the existing number of social housing units in Niagara and protect existing tenants/members from losing subsidy.
	END OF MORTGAGE (EOM): Federal/provincial and provincial housing providers (non-profits and co-ops) legislated under the Housing Services Act (HSA) do not have operating agreements that expire when the mortgage matures. The relationship between service manager and housing provider continues with the housing provider still obliged to follow the HSA. The obligation of service manager to pay a mortgage subsidy ends.
	EVICTIION PREVENTION/SUPPORT: Supports to help NRH tenants stay in their homes through identification of tenant needs and connection with supports and services (e.g. Mental health issues, cognitive decline, addiction, family breakdown etc.)
F	
G	
	HOMEOWNERSHIP PROGRAM – "WELCOME HOME NIAGARA": The Homeownership program assists low-to-moderate income rental households to purchase their first home by providing a down payment loan. The loan is forgivable after 20 years if the household remains in the home.
	HOUSING AND HOMELESSNESS ACTION PLAN (HHAP): Niagara's 10-year Community Action Plan to help everyone in Niagara have a home.
	HOUSING ACCESS CENTRE: Housing Access is the gateway to affordable housing in Niagara. All applications for housing are processed through the Housing Access Centre including initial and ongoing eligibility assessment as well as management of the Centralized Waiting List. Options include accommodation with Non-profit and Co-operative housing providers (Social Housing), NRH owned units (Public Housing and two mixed income communities), or for-profit/private landlord owned buildings (Rent Supplement/Housing Allowance).
	HOUSING ALLOWANCE PROGRAM: A variation of the Rent Supplement program that provides a set allowance of up to \$300 per month to private landlords to assist applicants who are on the Centralized Waiting List.
	HOUSING FIRST: Helps people move quickly from homelessness to their own home by providing supports to help difficult to house individuals find and keep housing. NRH

Quarterly Report Reference Sheet

	partners with Niagara Region Community Services and community agencies to provide rent supplement to landlords while agency staff provide a range of personalized supports to encourage successful tenancies and, if the tenant chooses, address personal challenges.
I	<p>IN-SITU RENT SUPPLEMENT PROGRAM: A program developed to engage new landlords and offer applicants on the Centralized Waiting List an opportunity to receive Rent-Geared-to-Income assistance where they currently live. This removes the need for moving related expenses and broadens the network of landlords in business with NRH.</p> <p>INVESTMENT IN AFFORDABLE HOUSING PROGRAM – EXTENSION (IAH-E): Provincial and federally funded program designed to improve access to affordable housing that is safe and suitable, while assisting local economies through job creation generated by new development and home repairs/modifications, including:</p> <ul style="list-style-type: none"> • Niagara Renovates • Homeownership (Welcome Home Niagara) • Rent Supplement/Housing Allowance • Rental Housing (New Development)
J	
K	
L	LOCAL HOUSING CORPORATION (LHC): Also called “Public Housing”, LHC refers to the communities that Niagara Regional Housing owns and manages.
M	
N	<p>NIAGARA RENOVATES PROGRAM: Provides assistance to low-to-moderate income homeowners for home repairs, accessibility modifications and the creation of secondary suites in single family homes. Assistance is provided in the form of a forgivable loan, written off over a 10-year period, as long as the homeowner continues to live in the home.</p> <p>NON PROFIT HOUSING PROGRAMS (FORMERLY “SOCIAL HOUSING”): Includes Non-Profit and Cooperative Housing Providers, who own and manage their own housing communities and have their own independent Boards. NRH provides legislative oversight to ensure they are in compliance with the <i>Housing Services Act (HSA)</i>. Generally, 25% of these units are designated as market rent units. The remaining 75% of units are offered to households on the Centralized Waiting List that pay RGI.</p>
O	<p>ONTARIO PRIORITIES HOUSING INITIATIVE (OPHI): A program to address local housing priorities, including affordability, repair and new construction.</p> <p>OPERATIONAL REVIEWS: In order to ensure that Non-Profit Housing Programs comply with legislation and local policies, NRH investigates their overall health by analyzing many factors including finances, vacancy losses, governance issues, condition of buildings etc. NRH then works with them to bring them into compliance and provide recommendations on best business practices.</p>
P	PORTABLE HOUSING ALLOWANCE: Direct financial assistance given to the household (tenant) on the Centralized Waiting List; not tied to a housing unit.
	PRIORITY STATUS GROUPS: Priority Status groups are offered units before other applicants on the Centralized Waiting List:

Quarterly Report Reference Sheet

	<ul style="list-style-type: none"> • Special Provincial Priority (SPP) Status is the only legislated priority and is intended to help victims of violence separate permanently from their abuser • Urgent Status is intended for applicants with (1) Mobility Barriers (i.e. physical limitations that require barrier-free units) and/or (2) Extreme Hardship (i.e. where the applicants' current accommodations puts them at extreme risk and/or causes hardship and relocation would reduce the risks and/or alleviate the hardship) • Homeless Status provides an increased opportunity for placement to households that are homeless (1 in every 10 households offered housing)
	<p>PUBLIC HOUSING (ALSO CALLED "LOCAL HOUSING CORPORATION"): NRH owns and manages 2,660 units of Public Housing stock in 9 of the 12 Niagara municipalities. Tenants pay 30% of their income for rent. <i>*Note: NRH owns and manages an additional 91 units that have affordable (80% market) and market rents.</i></p>
Q	
R	<p>RENT SUPPLEMENT PROGRAM: Tenants pay 30% of their gross monthly income directly to the private landlord and NRH subsidizes the difference up to the agreed market rent for the unit. <i>*See also Housing Allowance Program and Housing First Project.</i></p>
S	<p>SERVICE LEVEL STANDARDS (SLS): Establishes minimum number of RGI and special needs units to be maintained by each service manager</p> <p>SERVICE MANAGER: As administrator for affordable housing on behalf of Niagara Region, NRH's main responsibilities include: administering Rent Supplement Programs, oversight of Non-Profit and Cooperative Housing Providers, determining RGI eligibility, maintaining Centralized Waiting List, establishing Local Policies etc.</p> <p>SOCIAL HOUSING (FORMERLY "AFFORDABLE HOUSING"): All NRH programs and services, including Public Housing (NRH-owned), Non-Profit Housing Programs, the Rent Supplement Program and the Affordable Housing Program</p>
T	
U	
V	
W	<p>WELCOME HOME NIAGARA: Assists low-to-moderate income rental households to purchase their first home by providing a down payment loan. The loan is forgivable after 20 years if the household remains in the home.</p>
X	
Y	
Z	

Minute Item No. 5.1

CSD 49-2020

Policy for Timing of Development Charge Calculation, Installment and Interest for the Purpose of section 26.1 and 26.2 of the Development Charges Act

That Report CSD 49-2020, dated December 9, 2020, respecting Policy for Timing of Development Charge Calculation, Installment and Interest for the Purpose of section 26.1 and 26.2 of the Development Charges Act, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That the Timing of Development Charge Calculation, Installment and Interest Policy for the Purposes of Sections 26.1 & 26.2 of the Development Charge Act as included as Appendix 1 of Report CSD 49-2020, **BE APPROVED**;
2. That a \$550 administration fee for payment defaults under section 26.1 of the Development Charges Act **BE APPROVED** for inclusion in the 2021 Fees and Charges By-law; and
3. That Report CSD 49-2020 **BE CIRCULATED** to the Local Area Municipalities including Area Treasurers, Planners, Chief Building Officials and Economic Development (Team Niagara) for information and action as required.

Minute Item No. 5.2

CSD 77-2020

Niagara Regional Police Services (NRPS) 1 District - Amending Agreement with Merit Contractors Niagara Ltd.

That Report CSD 77-2020, dated December 9, 2020, respecting Niagara Regional Police Services (NRPS) 1 District - Amending Agreement with Merit Contractors Niagara Ltd., **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That the original CCDC-2 Stipulated Price Contract of \$16,761,290 (including 13% HST) awarded to Merit Contractors Niagara Ltd. ("Merit") **BE INCREASED** by \$350,000 (including 13% HST), for a total revised Contract of \$17,111,290 (including 13% HST) for the construction of the Niagara Regional Police Service ("NRPS") facility in St. Catharines; and
2. That the Regional Chair and Regional Clerk **BE AUTHORIZED** to execute an amendment to the CCDC-2 Stipulated Price Contract between Niagara Region and Merit as proposed in Recommendation 1 above.

Minute Item No. 5.3

CSD 81-2020

Amending Agreement to the Niagara Region Inter-Municipal Agreement

That Report CSD 81-2020, dated December 9, 2020, respecting Amending Agreement to the Niagara Region Courts Inter-Municipal Agreement, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That an Amending Agreement to the Niagara Region Courts Inter-Municipal Agreement in a form substantially as set out in Appendix A of Report CSD 81-2020, **BE APPROVED** for purposes of advancing the Vision Zero Program;
2. That the Director of Legal and Court Services **BE AUTHORIZED** to make such revisions to the Amending Agreement as may be deemed necessary and approved by the Acting Chief Administrative Officer in response to requests from the local area municipalities in order to finalize the Amending Agreement; provided that the apportionment of costs and revenue remains the same as provided in Appendix A of Report CSD 81-2020;
3. That the Regional Chair and Regional Clerk **BE AUTHORIZED** to execute the Amending Agreement to the Niagara Region Courts Inter-Municipal Agreement once finalized, subject to approval by all 12 local area municipalities; and
4. That Report CSD 81-2020 and the Amending Agreement, attached as Appendix A of Report CSD 81-2020, **BE CIRCULATED** to the 12 local area municipalities and that the 12 local area municipalities **BE REQUESTED** to review and approve the Amending Agreement at the earliest opportunity in order to advance the Vision Zero Program.

Minute Item No. 5.4

CSC-C 26-2020

Recommendations for Consideration from the T. Roy Adams Humanitarian Award Committee

That Correspondence Item CSC-C 26-2020, being a memorandum from A.-M. Norio, Regional Clerk, dated December 9, 2020, respecting Recommendations for Consideration from the T. Roy Adams Humanitarian Award Committee, **BE RECEIVED** and the following recommendation **BE APPROVED**:

1. That the process for submitting nominations for the T. Roy Adams Humanitarian Award **BE AMENDED** to reflect the requirement that, starting in 2021, nominations be submitted yearly.

Minute Item No. 6.1

CSC-C 25-2020

COVID-19 Response and Business Continuity in Corporate Services

That Correspondence Item CSC-C 25-2020, being a memorandum from T. Harrison, Commissioner, Corporate Services/Treasurer, dated December 9, 2020, respecting COVID-19 Response and Business Continuity in Corporate Services, **BE RECEIVED** for information.

Minute Item No. 6.2

CSD 76-2020

Q3 2020 Financial Update

That Report CSD 76-2020, dated December 9, 2020, respecting Q3 2020 Financial Update, **BE RECEIVED** for information.

Minute Item No. 6.3

CSD 74-2020

Insurance Program Update for 2020-2021

That Report CSD 74-2020, dated December 9, 2020, respecting Insurance Program Update for 2020-2021, **BE RECEIVED** for information.

Minute Item No. 9.1

Confidential CSD 78-2020

**A Matter Regarding a Proposed Disposition of Lands by the Municipality -
Smithville Road, West Lincoln**

That Confidential Report CSD 78-2020, dated December 9, 2020, respecting A Matter Respecting a Proposed Disposition of Lands by the Municipality – Smithville Road, West Lincoln, **BE RECEIVED** and the recommendations contained therein, **BE APPROVED**.

**THE REGIONAL MUNICIPALITY OF NIAGARA
CORPORATE SERVICES COMMITTEE
OPEN SESSION**

**CSC 11-2020
Wednesday, December 9, 2020
Council Chamber/Video Conference
Niagara Region Headquarters, Campbell West
1815 Sir Isaac Brock Way, Thorold, ON**

Committee Members Present in the Council Chamber: Foster (Committee Chair)

Committee Members Present via Video Conference: Bradley (Regional Chair), Butters, Campion, Diodati, Easton, Edgar, Fertich, Gale, Heit, Ip, Redekop, Rigby, Whalen (Committee Vice-Chair)

Staff Present in the Council Chamber: B. Brens, Manager, Program Financial Support, H. Chamberlain, Director, Financial Management & Planning/Deputy Treasurer, S. Guglielmi, Technology Support Analyst, T. Harrison, Commissioner/Treasurer, Corporate Services, A.-M. Norio, Regional Clerk, C. Ryall, Director, Transportation Services, M. Steele, Associate Director, Reporting & Analysis, R. Tripp, Acting Chief Administrative Officer

Staff Present via Video Conference: R. Fleming, Senior Tax & Revenue Analyst, D. Gibbs, Director, Legal & Court Services, K. Lotimer, Legislative Coordinator, F. Meffe, Director, Human Resources, B. Menage, Director, Procurement & Strategic Acquisitions, M. Murphy, Associate Director, Budget Planning & Strategy, D. Pasto, Risk Management Program Manager, B. Ray, Associate Director, Facilities Projects, Assets & Energy Management, N. Wolfe, Director, Construction, Energy & Facilities Management, B. Zvaniga, Interim Commissioner, Public Works

1. CALL TO ORDER

Committee Chair Foster called the meeting to order at 9:30 a.m.

2. DISCLOSURES OF PECUNIARY INTEREST

There were no disclosures of pecuniary interest.

3. **PRESENTATIONS**

There were no presentations.

4. **DELEGATIONS**

There were no delegations.

5. **ITEMS FOR CONSIDERATION**

5.1 **CSD 49-2020**

Policy for Timing of Development Charge Calculation, Installment and Interest for the Purpose of section 26.1 and 26.2 of the Development Charges Act

Moved by Councillor Gale

Seconded by Councillor Fertich

That Report CSD 49-2020, dated December 9, 2020, respecting Policy for Timing of Development Charge Calculation, Installment and Interest for the Purpose of section 26.1 and 26.2 of the Development Charges Act, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That the Timing of Development Charge Calculation, Installment and Interest Policy for the Purposes of Sections 26.1 & 26.2 of the Development Charge Act as included as Appendix 1 of Report CSD 49-2020, **BE APPROVED**;
2. That a \$550 administration fee for payment defaults under section 26.1 of the Development Charges Act **BE APPROVED** for inclusion in the 2021 Fees and Charges By-law; and
3. That Report CSD 49-2020 **BE CIRCULATED** to the Local Area Municipalities including Area Treasurers, Planners, Chief Building Officials and Economic Development (Team Niagara) for information and action as required.

Carried

Councillor Information Request(s):

Provide information highlighting the impact that the changes to Bills 108 and 138 will have on development charges applied from January 1, 2020 to December 2020. Councillor Gale.

5.2 CSD 77-2020

Niagara Regional Police Services (NRPS) 1 District - Amending Agreement with Merit Contractors Niagara Ltd.

Moved by Councillor Edgar
Seconded by Councillor Ip

That Report CSD 77-2020, dated December 9, 2020, respecting Niagara Regional Police Services (NRPS) 1 District - Amending Agreement with Merit Contractors Niagara Ltd., **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That the original CCDC-2 Stipulated Price Contract of \$16,761,290 (including 13% HST) awarded to Merit Contractors Niagara Ltd. ("Merit") **BE INCREASED** by \$350,000 (including 13% HST), for a total revised Contract of \$17,111,290 (including 13% HST) for the construction of the Niagara Regional Police Service ("NRPS") facility in St. Catharines; and
2. That the Regional Chair and Regional Clerk **BE AUTHORIZED** to execute an amendment to the CCDC-2 Stipulated Price Contract between Niagara Region and Merit as proposed in Recommendation 1 above.

Carried

5.3 CSD 81-2020

Amending Agreement to the Niagara Region Inter-Municipal Agreement

Beth Brens, Manager, Program Financial Support, and Carolyn Ryall, Director, Transportation Services, provided information respecting Vision Zero Amendment to the Niagara Region Courts Inter-Municipal Agreement. Topics of the presentation included:

- Purpose
- Vision Zero Program
- Amendments to Niagara Region Courts Inter-Municipal Agreement (IMA)
- Financial Overview
- Timelines

Moved by Councillor Rigby
Seconded by Councillor Diodati

That Report CSD 81-2020, dated December 9, 2020, respecting Amending Agreement to the Niagara Region Courts Inter-Municipal Agreement, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That an Amending Agreement to the Niagara Region Courts Inter-Municipal Agreement in a form substantially as set out in Appendix A of Report CSD 81-2020, **BE APPROVED** for purposes of advancing the Vision Zero Program;
2. That the Director of Legal and Court Services **BE AUTHORIZED** to make such revisions to the Amending Agreement as may be deemed necessary and approved by the Acting Chief Administrative Officer in response to requests from the local area municipalities in order to finalize the Amending Agreement; provided that the apportionment of costs and revenue remains the same as provided in Appendix A of Report CSD 81-2020;
3. That the Regional Chair and Regional Clerk **BE AUTHORIZED** to execute the Amending Agreement to the Niagara Region Courts Inter-Municipal Agreement once finalized, subject to approval by all 12 local area municipalities; and
4. That Report CSD 81-2020 and the Amending Agreement, attached as Appendix A of Report CSD 81-2020, **BE CIRCULATED** to the 12 local area municipalities and that the 12 local area municipalities **BE REQUESTED** to review and approve the Amending Agreement at the earliest opportunity in order to advance the Vision Zero Program.

Carried

5.4 CSC-C 26-2020

Recommendations for Consideration from the T. Roy Adams
Humanitarian Award Committee

Moved by Councillor Butters

Seconded by Councillor Easton

That Correspondence Item CSC-C 26-2020, being a memorandum from
A.-M. Norio, Regional Clerk, dated December 9, 2020, respecting
Recommendations for Consideration from the T. Roy Adams
Humanitarian Award Committee, **BE RECEIVED** and the following
recommendation **BE APPROVED**:

1. That the process for submitting nominations for the T. Roy Adams
Humanitarian Award **BE AMENDED** to reflect the requirement that,
starting in 2021, nominations be submitted yearly.

Carried

6. **CONSENT ITEMS FOR INFORMATION**

6.1 CSC-C 25-2020

COVID-19 Response and Business Continuity in Corporate Services

Moved by Councillor Campion

Seconded by Councillor Heit

That Correspondence Item CSC-C 25-2020, being a memorandum from
T. Harrison, Commissioner, Corporate Services/Treasurer, dated
December 9, 2020, respecting COVID-19 Response and Business
Continuity in Corporate Services, **BE RECEIVED** for information.

Carried

6.2 CSD 76-2020

Q3 2020 Financial Update

Melanie Steele, Associate Director, Reporting & Analysis, provided
information respecting Q3 2020 Financial Update. Topics of the
presentation included:

- Background
- Deliverables
- Q3 Operating Results - Levy & Rate
- 2020 COVID-19 Impact & Funding Scenarios
- Q3 Capital Results

Moved by Councillor Whalen
Seconded by Councillor Redekop

That Report CSD 76-2020, dated December 9, 2020, respecting Q3 2020 Financial Update, **BE RECEIVED** for information.

Carried

6.3 CSD 74-2020
Insurance Program Update for 2020-2021

Moved by Councillor Butters
Seconded by Councillor Edgar

That Report CSD 74-2020, dated December 9, 2020, respecting Insurance Program Update for 2020-2021, **BE RECEIVED** for information.

Carried

7. **OTHER BUSINESS**

There were no items of other business.

8. **CLOSED SESSION**

Committee did not resolve into closed session.

9. **BUSINESS ARISING FROM CLOSED SESSION ITEMS**

9.1 Confidential CSD 78-2020

A Matter Regarding a Proposed Disposition of Lands by the Municipality - Smithville Road, West Lincoln

Moved by Councillor Gale
Seconded by Councillor Rigby

That Confidential Report CSD 78-2020, dated December 9, 2020, respecting A Matter Respecting a Proposed Disposition of Lands by the Municipality – Smithville Road, West Lincoln, **BE RECEIVED** and the recommendations contained therein, **BE APPROVED**.

Carried

10. **NEXT MEETING**

The next meeting will be held on Wednesday, January 13, 2021, at 9:30 a.m. in the Council Chamber, Regional Headquarters.

11. ADJOURNMENT

There being no further business, the meeting adjourned at 11:18 a.m.

Councillor Foster
Committee Chair

Kelly Lotimer
Legislative Coordinator

Ann-Marie Norio
Regional Clerk

Subject: Policy for Timing of Development Charge Calculation, Installment and Interest for the Purpose of section 26.1 and 26.2 of the Development Charges Act

Report to: Corporate Services Committee

Report date: Wednesday, December 9, 2020

Recommendations

1. That the Timing of Development Charge Calculation, Instal1ment and Interest Policy for the Purposes of Sections 26.1 & 26.2 of the Development Charge Act as included as Appendix 1 of Report CSD 49-2020, **BE APPROVED**;
2. That a \$550 administration fee for payment defaults under section 26.1 of the Development Charges Act **BE APPROVED** for inclusion in the 2021 Fees and Charges By-law; and
3. That Report CSD 49-2020 **BE CIRCULATED** to the Local Area Municipalities including Area Treasurers, Planners, Chief Building Officials and Economic Development (Team Niagara) for information and action as required.

Key Facts

- The purpose of the report is to seek Council approval on the proposed policy for timing of development charge calculation, development charge installments and interest for the purpose of section 26.1 and 26.2 of the Development Charges Act (DCA).
- Section 26.1 and 26.2 of the DCA came into effect on January 1, 2020 when Bill 138 received royal assent on December 10, 2019.
- Section 26.1 of the DCA established that development charges for certain types of developments are payable in installments over certain periods of time with the first installment due on building occupancy:
 - Institutional developments and rental housing (that is not non profit) – 6 annual installments
 - Non-profit housing development – 21 annual installments
- Section 26.2 of the DCA established guidelines for determining the calculation date for development charges payable. Under this section the calculation date is the earlier of:

- The date of an application for a site plan control area, or
 - If there is no such application, the date of an application for zoning by-laws, or
 - If neither of these applications have been made, the charge will continue to be determined at the time of building permit issuance.
- Under section 26.2 of the DCA, upon approval of one of the aforementioned planning applications, developers have a maximum of two years in which a building permit must be issued and the development charges paid at these frozen rates or the rates will continue to be calculated at the time of permit issuance.
- Section 26.2 of the DCA only applies to applications that were submitted on or after January 1, 2020.
- Both Section 26.1 and 26.2 allows an annual interest rate to be applied to both the installments and frozen rates. Included as part of the accompanying Procedure, staff are proposing the rate be set at 5% (with exemptions aligned with Regional Incentive Pillars).
- Extensive engagement occurred with the Local Area Municipalities in September 2020 including the Area Treasurers, Planners, Chief Building Officials and Economic Development (Team Niagara) for input and comments on the proposed Policy. The Area Treasurers were supportive of the proposed Policy and associated interest rate.

Financial Considerations

Changes to the Development Charge Act (DCA) under Bill 108 are effective January 1, 2020 and this policy is meant to formalize the process for Regional development charge (RDC) calculation and installments for eligible development types.

The interest rate that is proposed for certain development types is intended to offset the Region's opportunity cost of providing the development charge rate freeze and installments as proposed under the section 26.1 and 26.2 of the DCA. The interest that will be generated from this policy will be fully allocated to the RDC reserves on a prorated basis.

Staff are also proposing a \$550 administration fee in the event of default of payment under the section 26.1 installment plans. This \$550 fee is intend to offset the staff time required to remedy the default which may include adding any outstanding installment amounts to the tax roll of the property. This fee is consistent with the existing fee for development charge agreements and will not be allocated to the RDC reserves but allocated to the appropriate operating revenue account to offset any expenditures incurred.

Analysis

On December 10, 2019, Provincial Bill 138 “Plan to Build Ontario Together, 2019” received Royal Assent. This Bill amended and repealed various statutes including some of the previously introduced articles of Bill 108 from earlier in 2019. As a result, effective January 1, 2020 certain changes to the DCA under sections 26.1 and 26.2 came into force. These changes effect all municipalities in Ontario that have a development charge by-law. Those sections amended the DCA and changed the timing of the determination and payment of DCs in certain circumstances. Both section 26.1 and 26.2 are discussed below in detail under separate headings. As a result of the changes to the DCA under section 26.1 and 26.2 staff are recommending that the Region implement a Policy to provide greater clarification on the changes for the development community as well as establish an interest rate as permitted under the DCA for the rate freeze and installment payment plans. The Policy can be found in Appendix 1 of this Report.

DC Installment Payments under Section 26.1 of the DCA

Section 26.1 was added to the DCA to allow DCs for rental housing (that is not non-profit) and institutional developments to be payable in six (6) equal annual installments and DCs for non-profit housing developments payable in 21 equal annual installments. The first installment payment would occur on the date of issuance of the occupancy permit or occupancy of the building, whichever is earlier, with the subsequent installments occurring annually on the anniversary date of when the first installment was payable. Under the provisions of this section, the Province has provided that an interest rate can be charged on the amount of RDCs eligible for the installments.

Rate Freeze under Section 26.2 of the DCA (Calculation Date)

Section 26.2 was added to the DCA to set out rules for when the amount of a DC is determined. The calculation of DCs will now be based on:

- (a) The date of an application for a site plan control area, or
- (b) If there is no such application, the date of an application for zoning by-laws, or
- (c) If neither of these applications have been made, the charge will continue to be determined at the time of building permit issuance.

The DCs are effectively frozen at the DC rate in effect at the time of submission of a complete Site Plan or Zoning By-Law Amendment application. Upon approval of the

application, developers have a maximum of two years in which a building permit must be issued and the development charges paid at these frozen rates. If the two year time period has elapsed, then the rate continues to be determined at the rate in effect at the time of building permit issuance. It is noted that these provisions are only applicable to developments for which Site Plan and Zoning By-law Amendment planning applications were submitted on or after January 1, 2020.

Interest on Development Charges

Where RDCs are payable in installments or the charges are determined at the time of Site Plan or Zoning By-Law Amendment planning application, the municipality may charge interest on the RDC payment. The interest period for installment payments is from the date of building permit issuance to the date of RDC payment, and for Site Plan and Zoning By-Law Amendment applications, from the date of the planning application to the date of RDC payment. Unpaid RDCs, including interest payable, can be added to the tax roll under the revisions to the DCA if not paid.

For the purpose of applying interest, staff are recommending an annual rate of 5% non-compounding that is included in the procedure. This rate will be utilized for both section 26.1 and 26.2 interest provisions of the DCA. Should the Province prescribe a maximum interest rate in the future, the interest rate that has been adopted may need to be revised in the procedure document. Authority to amend the interest rate is proposed to be delegated to the Treasurer in the draft Policy. Staff also undertook a review of other interest policies that have been approved by other municipalities. Summaries of the rates can be found below in Appendix 2 of this report. Many municipalities adopted a similar rate to that being recommended for Niagara. This review also emphasized the importance of utilizing an interest rate that is simplistic to interpret and has some consistency from year-to-year. Other municipalities reviewed adopted more complex interest rate determination methodologies, which would cause additional administrative complexities.

Staff have also reviewed various interest exemptions and are proposing to implement a 0% interest rate for both section 26.1 and 26.2 of the DCA for certain development types in alignment with Region's Incentive program priority pillars. This 0% interest charge would be applicable for Non-profit housing development types only as this development type supports the incentive pillar of Affordable Housing. The other development types which are institutional (i.e., LTC/Retirement Homes, Post-Secondary Institutions, Royal Canadian Legion, and Hospices) and not non-profit housing would remain subject to the interest rate of 5%.

Local Feedback

An overview of the new legislation and a draft policy was presented to the Chief Building Officials, Economic Development (Team Niagara) and Area Treasurers groups with a copy distributed to the Area Planners for feedback. From these groups the Region received some suggestions for improvement to the draft Policy which were incorporated. The Area Treasurers were supportive of the proposed policy including the interest rate and exemptions.

Alternatives Reviewed

Council may elect not to approve the proposed policy, which is **NOT RECOMMENDED**. This policy will assist in creating a clear guideline for the Regional administration of section 26.1 and 26.2 of the DCA.

Relationship to Council Strategic Priorities

This policy will address the following Council objectives:

- Fiscally sustainability
- Addressing affordable housing needs

Other Pertinent Reports

- [PDS 26-2019](#) Implications of Bill 108: *More Homes, More Choice Act, 2019*
- [PDS 28-2019](#) Bill 108 – proposed transition regulation materials relating to the *Planning Act, 1990* and *Development Charges Act, 1997*
- [CSC-C 13-2020](#) Bill 197 – Changes to the Development Charges and Planning Act (Community Benefit Charge)

Prepared by:

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Director, Financial Management &
Planning/Deputy Treasurer
Corporate Services

Recommended by:

Todd Harrison, CPA, CMA
Commissioner/Treasurer
Corporate Services

Submitted by:

Ron Tripp, P.Eng.

Acting Chief Administrative Officer

This report was prepared in consultation with Rob Fleming, Senior Tax & Revenue Analyst, and reviewed by Margaret Murphy, Associate Director, Budget Planning & Strategy.

Appendices

- | | |
|------------|--|
| Appendix 1 | Timing of Development Charge Calculation, Instalment and Interest Policy for the Purposes of Sections 26.1 and 26.2 of the Development Charge Act Policy |
| Appendix 2 | Summary of Interest Rates Adopted by Other Municipalities |

<i>Policy Category</i>	<i>Name of Policy</i>
<i>Financial</i>	<i>Timing for Development Charge Calculation, Instalment and Interest Policy for the Purposes of Sections 26.1 & 26.2 of the Development Charge Act</i>

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Policy Owner	Corporate Services, Financial Management & Planning, Associate Director, Budget Planning & Strategy
Approval Body	Council
Approval Date	
Effective Date	January 1, 2021
Review by Date	Every five years or upon expiry of a Regional Development Charge By-law.

1. Legislative Framework – Calculation of Development Charges

1.1. Timing for Development Charge calculation amount under section 26.2 of the Act:

Under subsection 26.2 (1) of the Act, the total amount of a development charge (i.e. rate) is determined under Niagara Region's Development Charge Bylaw in effect on:

- 1.1.1. the day an application for an approval of development under subsection 41 (4) of the Planning Act was made, or
- 1.1.2. If clause 1.1.1 does not apply, the day an application for an amendment to a bylaw passed under section 34 of the Planning Act was made, or
- 1.1.3. If neither clause 1.1.1 nor 1.1.2 applies, the date the development charges would have been payable under section 26 of the Act which is normally building permit issuance as per By-law 2017-98 unless permitted otherwise through section 26.1 of the Development Charges Act.

1.2. By-law not in effect

Under subsection 26.2 (2) of the Act, subsection 26.1 (1) applies even if the by-law under which the development charge would be determined is no longer in effect.

1.3. Interest under section 26.2 of the Act:

<i>Policy Category</i>	<i>Name of Policy</i>
<i>Financial</i>	<i>Timing for Development Charge Calculation, Instalment and Interest Policy for the Purposes of Sections 26.1 & 26.2 of the Development Charge Act</i>

Under subsection 26.2 (3) of the Act, Niagara Region may charge interest on the development charge, at a rate not exceeding the prescribed maximum interest rate, from the date of the application referred to in clause 1.1.1 or 1.1.2 to the date the development charge is payable.

1.4. Exception, prescribed amount of time elapsed

The dates as determined under sections 1.1.1 and 1.1.2 do not apply if:

- 1.4.1.** any part of a development to which section 26.1 applies if, on the date the first building permit is issued for the development, more than 2 years has elapsed since the application referred to in clause 1.1.1 or 1.1.2 was approved as defined in section 11.2 O. Reg. 82/98; or

2. Legislative Framework – Development Charge Installments

2.1. Installment Payments under section 26.1 of the Act and as defined in O.Reg 82/98.

Under subsections 26.1 (1), (2) and (3) of the Act, development charges shall be paid in equal annual instalments, beginning at the earlier of first occupancy or occupancy permit issuance date under the Building Code, Act, 1992 for:

- 2.1.1.** Rental housing development that is not non-profit housing as defined under section 11.1 (1) of O. Reg 82/98 as per section 3 (a) of the Act;
- 2.1.2.** Institutional development as defined under section 11.1 (2) if O. Reg. 82/98 as per section 3 (a) of the Act; and
- 2.1.3.** Non-profit housing development as defined under section 11.1 (3) of O. Reg. 82/98 as per section 3 (b) of the Act.

2.2. A non-profit housing development under 2.1.3 shall pay their first payment at occupancy and the following 20 anniversaries after that date (21 equal payments).

2.3. Both a Rental housing development and institutional development as described under 2.1.1 and 2.1.2 shall pay their first payment at occupancy and the following five anniversaries after that date (six equal payments).

2.4. All other development shall pay their development charges upon the issuance of a building permit unless an early or late payment agreement has been entered into under subsection 27 (1) of the Act.

2.5. Interest under section 26.1 of the Act:

<i>Policy Category</i>	<i>Name of Policy</i>
<i>Financial</i>	<i>Timing for Development Charge Calculation, Instalment and Interest Policy for the Purposes of Sections 26.1 & 26.2 of the Development Charge Act</i>

Subsection 26.1 (7) of the Act allows a municipality to charge interest on the installments from the date the development charges would have been payable under section 26 of the Act.

3. Policy

3.1. The application made date for the purposes of 1.1 of this Policy and 26.2 of the Act shall be determined by the Local Area Municipality and provided to the Region as information.

3.2. The applicant shall be notified of the Application Approval date for the purposes of Section 26.2 of the DCA by the Local Area Municipality.

3.3. Application Appeal

Should any Local Area Municipality decision on the application(s) as noted under section 1.1.1 and 1.1.2 be appealed, the Local Area Municipal decision will stand until final resolution of the appeal.

3.3.1. Should a decision on an unapproved application be successfully appealed, the application made date will apply to section 1.1.1 or 1.1.2 of this policy and the application approval date shall be the date the appeal is approved.

3.3.2. Should a decision on an approved application be upheld, the application made date will apply to section 1.1.1 or 1.1.2 of this policy and the application approval date shall be the date the decision is upheld.

3.3.3. Should a decision on an approved application be successfully appealed or a decision on an unapproved application be upheld, the application made date will not apply to sections 1.1.1 and 1.1.2 of this policy.

3.4. Interest on Development Charges for Subsection 26.2 (3) of the Act

Interest will be charged at the rate established in the Procedure on the development charge, from the date of the application referred to in clause 1.1.1 or 1.1.2 of this policy, to the date the development charge is payable.

3.5. Final Determination of Total Payable Development Charges

On the day the development charge(s) is first payable, the final determination of the total payable development charge(s) shall be made.

3.6. Transition

<i>Policy Category</i>	<i>Name of Policy</i>
<i>Financial</i>	<i>Timing for Development Charge Calculation, Instalment and Interest Policy for the Purposes of Sections 26.1 & 26.2 of the Development Charge Act</i>

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Clauses 1.1.1 and 1.1.2 do not apply in the case of an application made before January 1, 2020 as per subsection 26.2 (6) of the Act.

3.7. Acknowledgment Letter

For all eligible development under section 26.1 of the Act an Acknowledgement Letter will be provided to the applicant / property owner at the time of building permit issuance outlining the terms of the development charge annual installments as per the Act and Region policy.

3.8. Notice of Occupancy

- 3.8.1.** The person responsible to pay development charges shall notify both the Local Area Municipality and Niagara Region in writing within five business days of the building first being occupied unless an occupancy permit has been issued by the Local Area Municipality for the purposes of section 26.1 of the Act.
- 3.8.2.** Under subsection 26.1 (6) of the Act, failure to comply with the occupancy notice requirement under 3.8.1 will result in the development charge including any interest payable becoming payable immediately.
- 3.8.3.** If the person responsible to pay development charges receives an occupancy permit issued by the Local Area Municipality, the Local Area Municipality must notify the Niagara Region within five business days for the purposes of section 26.1 of the Act.

3.9. Interest on Installments for Subsection 26.1 (7) of the Act

- 3.9.1.** Interest will be charged on installments at the rate found in section 3.14 from the date the development charge would have been payable in accordance with section 26 of the Act and the Region's Development Charge by-law.

3.10. Schedule of Installment Payments

- 3.10.1.** Niagara Region will provide an Installment Payment Schedule to the person required to pay development charges once notified of occupancy.
- 3.10.2.** Acknowledgement of the Instalment Payment Schedule and the first installment payment shall be due within 15 days of the Installment Payment Schedule being provided. It will be the responsibility of the person responsible to pay development charges to provide payment in a prompt and timely

<i>Policy Category</i>	<i>Name of Policy</i>
<i>Financial</i>	<i>Timing for Development Charge Calculation, Instalment and Interest Policy for the Purposes of Sections 26.1 & 26.2 of the Development Charge Act</i>

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manner as per the schedule, no further notification of upcoming payments will be given.

3.11. Development Charge Grants

For developments that are in receipt of a Regional development charge grant or credit, the amount that shall be used for the purpose of determining installment payments shall be the net amount of Regional development charges payable.

3.12. Termination of the Installment Schedule

The remaining balance of all development charges shall be payable within 15 days immediately following the notification / determination of any of these trigger events:

- a. Change of use to a development type that is not eligible for development charge installments under the Act, as of the day the change is made.
- b. Sale or transfer of ownership.
- c. If the balance of Regional development charges owing plus any accrued interest as per the installment schedule is paid to Niagara Region.

3.13. Unpaid Development Charges

- 3.13.1. If any development charges (including interest) are unpaid, those development charges (including interest) may (at the discretion of the Region) be added to the tax roll and collected in the same manner as taxes, in accordance with section 32 of the Act.
- 3.13.2. Interest on late payments added to the tax roll shall incur the applicable taxation interest rate (as provided under section 345 of the Municipal Act, 2001).

3.14. Interest Rate Used

- 3.14.1. An interest rate shall be used for the purposes of section 26.1 and 26.2 and shall be made available on Niagara Region's website under the development charges page.
- 3.14.2. Notwithstanding clause 3.14.1, an interest rate of 0% shall be used for the purpose of section 26.1 and 26.2 for the following types of development:

<i>Policy Category</i>	<i>Name of Policy</i>
<i>Financial</i>	<i>Timing for Development Charge Calculation, Instalment and Interest Policy for the Purposes of Sections 26.1 & 26.2 of the Development Charge Act</i>

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- a. Non-profit housing development as defined under section 11.1 (3) of O. Reg. 82/98.

3.15. Late Payment Penalty and Interest on unpaid Development Charge

3.15.1. All development charge installment (including interest) that are unpaid as per the criteria established under section 26.1 of the Act, will be subject to a Regional administration fee as per the Region's user fee by-law and may also be added to the tax roll and collected in the same manner as taxes, in accordance with section 32 of the Act.

3.15.2. Interest on late payments added to the tax roll shall incur the applicable taxation interest rate as established by the Local Area Municipality in which the property is located.

3.16. Policy Common Name

This Policy can also be referred to as: *Timing for Calculation of Development Charge, Instalment and Interest Policy*

4. Purpose

The purpose of this policy is to establish the timing and rules for development charge calculations, as required under section 26.2 of the Development Charges Act, 1997. This policy establishes the conditions, duration, terms and other requirements on when and how Niagara Region determines the total amount of a development charge, the installment methodology for eligible development types and the applicable interest rates as outlined in the Act.

5. Scope

This policy applies to all development eligible under section 26.2 and 26.1 of the Development Charges Act, 1997.

6. Roles and Responsibilities

6.1.1. Regional Council

Approves, by resolution, the Timing for Calculation of Development Charge, Installment and Interest Policy and any updates as necessary every five years or upon expiry of the Niagara Region Development charge By-law.

6.1.2. Commissioner, Corporate Services

<i>Policy Category</i>	<i>Name of Policy</i>
<i>Financial</i>	<i>Timing for Development Charge Calculation, Instalment and Interest Policy for the Purposes of Sections 26.1 & 26.2 of the Development Charge Act</i>

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Reviews and updates Timing for Calculation of Development Charge, Installment and Interest Policy as necessary every five years or upon the expiry of a Regional Development Charge By-law and submits any necessary changes for Council Approval.

Creates necessary guiding strategies, supporting frameworks and procedures as required to administer this policy which may be amended from time-to-time.

Monitor compliance and adherence to this policy.

Ensure interest rate is updated on website.

7. References and Related Documents.

7.1. Legislation, By-Laws and/or Directives

7.1.1. Development Charge Act, 1997, S.O. 1997, as amended from time to time.

7.1.2. By-law 2017-98 – A By-law to Establish Development Charges for the Regional Municipality of Niagara Region, as amended from time to time.

8. Related Policies

None.

9. Document Control

The electronic version of this document is recognized as the only valid version.

<i>Policy Category</i>	<i>Name of Policy</i>
<i>Financial</i>	<i>Timing for Development Charge Calculation, Instalment and Interest Policy for the Purposes of Sections 26.1 & 26.2 of the Development Charge Act</i>

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Approval History

Approver(s)	Approved Date	Effective Date

Revision History

Revision No.	Date	Summary of Change(s)	Changed by

Appendix 2 – Summary of Interest Rates Adopted by Other Municipalities

	Section 26.1 Interest Rate (for installments)	Section 26.2 Interest Rate (for rate freeze)
City of Barrie	Weighted average cost of capital as determined by Director of Finance (2019: 4.78%)	Weighted average cost of capital as determined by Director of Finance (2019: 4.78%)
City of Ottawa	The greater of (a) the Infrastructure Construction Price Index ¹ plus 0.5%, OR (b) the average annual rate at which the City issues debentures to fund development charge projects plus 0.5%.	The greater of (a) the Infrastructure Construction Price Index plus 0.5%, OR (b) the average annual rate at which the City issues debentures to fund development charge projects plus 0.5%.
City of Guelph	Non-residential construction price index year over year change as of September 30th of the prior year plus 2% if security is not provided.	Non-residential construction price index year over year change as of September 30th of the prior year plus 2% if security is not provided.
Town of Milton	Town's financial institution prime lending rate.	Town's financial institution prime lending rate.
Town of Whitby	Fixed 5% compounded annually.	Fixed 5% compounded annually.
York Region	Fixed 5% compounded annually.	Fixed 5% compounded annually.
Peel Region	0.0%	5.5% per annum after August 1, 2020. Interest will compound on unpaid amounts.
Halton Region	Region's financial institutions prime lending rate.	Region's financial institutions prime lending rate.

Toronto	<p>Financial Security Provided: Cost of capital rate.</p> <p>No Financial Security Provided: Greater of: Canadian Bank Prime Rate plus 5% or market rate of construction financing as determined by the City.</p>	1.5% per month.
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1 – The Infrastructure construction price index is produced on a cost-recovery basis for the City of Ottawa by Statistics Canada. 2019 annual rate was 2.34%.

Subject: Niagara Regional Police Services (NRPS) 1 District - Amending Agreement with Merit Contractors Niagara Ltd.

Report to: Corporate Services Committee

Report date: Wednesday, December 9, 2020

Recommendations

1. That the original CCDC-2 Stipulated Price Contract of \$16,761,290 (including 13% HST) awarded to Merit Contractors Niagara Ltd. ("**Merit**") **BE INCREASED** by \$350,000 (including 13% HST), for a total revised Contract of \$17,111,290 (including 13% HST) for the construction of the Niagara Regional Police Service ("NRPS") facility in St. Catharines; and
2. That the Regional Chair and the Regional Clerk **BE AUTHORIZED** to execute an amendment to the CCDC-2 Stipulated Price Contract between Niagara Region and Merit as proposed in Recommendation 1 above.

Key Facts

- On March 1, 2019 Niagara Region entered into a CCDC-2 Stipulated Price Contract with Merit, in the amount of \$16,761,290 (\$14,833,000 base contract plus 13% HST) for the construction of the new NRPS 1 District facility in the city of St. Catharines.
- The increase to the Merit contract will not increase the project budget. The total project budget is \$20,495,519 and includes a 3% contingency of \$835,470 which is sufficient to fund the proposed increase.
- At the time of project award, the region's policy was to carry a contingency as part of the project budget but not to include a construction contingency in the base bid amount, this increase is to adjust the contract to include the construction contingency.
- The CCDC-2 contract is routinely used in construction projects and includes a rigorous process to increase/decrease the contract amount based on approved change orders.
- The Project Manager is currently forecasting \$350,000 in change orders (\$309,735 plus 13% HST) until the end of construction and is recommending adding the construction contingency to the contract in order to not impact the schedule and the completion date.

- The cumulative value of the CCDC-2 Stipulated Price Contract, inclusive of the proposed amendment, will exceed \$5,000,000 and therefore requires the authorization of Regional Council in accordance with Niagara Region's procurement By-law 02-2016 as amended on February 28, 2019 pursuant to Section 18 (c) and Schedule B.

Financial Considerations

Pursuant to CSD 13-2019, Council approved the award of Contract 2018-T-23 for the construction of the NRPS 1 District facility in St. Catharines to Merit Contractors Niagara Ltd. for \$15,094,090 (inclusive of non-refundable HST). The addition of the recommended \$315,186 (inclusive of non-refundable HST) construction contingency will increase the value of the contract to \$15,409,277 (inclusive of non-refundable HST).

A change purchase will be dispatched if Council authorizes the execution of the amending agreement and approves the purchase order increase.

Staff confirms there are sufficient funds in the project budget (20000805) to address the amount of the change request (See Appendix 1). The total project budget will not be increased and the contingency will be reduced by \$315,186 to fund the increase in contract value.

Analysis

Since construction started on April 1, 2019, Niagara Region staff have worked diligently with the architect and the contractor to control costs and deliver the project on schedule and on budget. However, as the project approaches substantial completion, there is a need to add a construction contingency to the contract amount in order to fund identified and forecasted changes to the construction.

It is typical and prudent for owners to carry a construction contingency, particularly with stipulated sum contracts (CCDC-2), for the various conditions that are not known at the time of contract award, but routinely occur during construction: unknown soils, unknown site conditions, owner requested changes and errors and omissions in the contract documents.

At the time of project award, the region's policy was to carry a contingency as part of the project budget (\$835,470 for NRPS 1 District) and not to include a construction contingency in the base bid amount. This helps control contractor expectations with

respect to what moneys are due, but requires approval from council to increase the contract award amount in order to not impact the schedule.

Although staff is recommending adding a construction contingency to the contract, this is an upset limit and the moneys will not be paid out to contractor unless and until they are approved through the CCDC-2 change order process. The contractor must demonstrate a change to the project specifications and provide supporting documentation for associated costs which are then vetted by the consultant to ensure they are at market costs. Region staff will continue to work closely with Merit to ensure all change orders are analysed for possible cost mitigations.

Alternatives Reviewed

As noted above, change orders are typical to construction projects particularly if executed under a stipulated sum contract (CCDC-2) and do not do not indicate a change in scope.

Approving the addition of the construction contingency will allow construction to continue ensuring the timely completion of the new NRPS 1 District facility and permitting the scheduled move from the existing 1 District facility in early 2021. The new facility will provide NRPS staff with a new and more functional working environment and allow NRPS to better serve the Niagara Region community.

Relationship to Council Strategic Priorities

Approving this recommendation by staff will align with Council's Strategic Priority to:

- Promote a Healthy and Vibrant Community; and
- Reasonable Growth and Infrastructure Planning.

Other Pertinent Reports

CSD 13 – 2019

Corporate Service Committee

February 20th, 2019

Prepared by:

Nicole Menard
Senior Project Manager
Construction, Energy & Facilities
Management

Recommended by:

Todd Harrison, CPA, CMA
Commissioner/Treasurer
Corporate Services

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

This report was prepared in consultation with Nicole Menard, Senior Project Manager; and reviewed by Bradley Ray, Associate Director, Facilities Projects, Assets & Energy Management; Adam Niece, Program Financial Specialist; and Nicole Wolfe, Director, Construction, Energy & Facilities Management.

Appendices

Appendix 1 – Total Estimated Project Cost

CSD 77-2020 APPENDIX 1
Total Estimated Project Cost
Contract Award Increase

Contract 2018-T-23 Niagara Regional Police Services (NRPS) 1 District Facility General Contractor for Construction, in the City of St. Catharines

	Revised Council Approved Budget (CSD 13- 2019)	Budget Reallocation	Revised Council Approved Budget	Expended & Committed as of 11/24/20	Contract Award Increase/ Forecast	Budget Remaining
<u>Total Estimated Project Cost (20000805)*</u>						
(a) Construction (including Construction Contingency and 1.76% non-refundable HST)**	15,546,913	(137,636)	15,409,277	15,094,091	315,186	-
(b) Project Contingency	57,047	(57,047)	-	-	-	-
(c) Property Acquisition	1,359,321	-	1,359,321	1,359,321	-	-
(d) Consulting Services	1,316,878	125,672	1,442,550	1,407,550	35,000	-
(e) Permitting	54,369	-	54,369	54,369	-	-
(f) Furniture, Fixtures and Equipment	297,000	58,606	355,606	145,705	209,901	-
(g) Project Management (In-House) and Operations	210,000	10,405	220,405	119,097	101,308	-
(h) Property Remediation	1,653,991		1,653,991	1,653,991	-	-
Total Estimated Project Cost	20,495,519	-	20,495,519	19,834,124	661,395	-

*All costs include 1.76% non-refundable HST

** Total Contract Award is equal to i) \$15,142,735 before tax; ii) \$15,409,277 including 1.76% non-refundable HST; iii) \$17,111,290 including 13% HST

Vision Zero

Amendment to the Niagara Region Courts Inter-Municipal Agreement

Corporate Services Committee

Dec. 9, 2020

Agenda



Why Are We Here Today?

- Regional Council's approval of amendments to IMA in support of a financially sustainable Region led Vision Zero Program
- Local area municipal support through unanimous approval from all 12 local municipal Councils

What is Vision

- Vision Zero is a multi-national road traffic safe project that aims to achieve a road network with no fatalities or serious injuries involving road traffic
- Niagara Region's Vision Zero Program will include a number of tools: Automated Speed Enforcement (ASE) & Red Light Camera (RLC)



Vision Zero Program Components



Niagara Region Courts Inter-Municipal Agreement

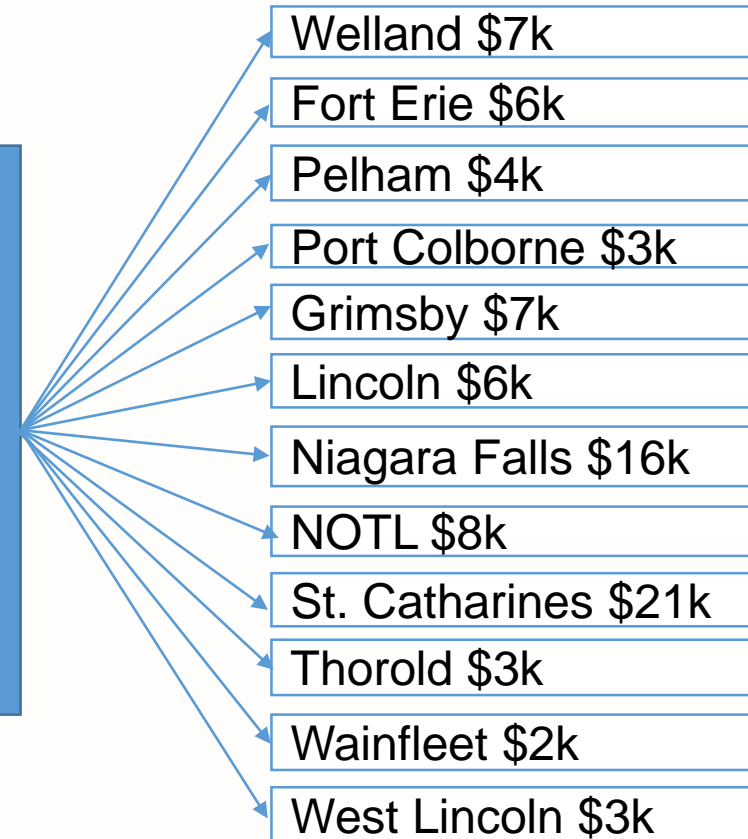
	Current	Amendment
Term	Duration of the transfer agreement (in effect until suspended, terminated or revoked)	5 Years with requirement to engage in a review at 3 Years
Revenue Distribution	Net revenues 50/50 between Region and LAMs	Non Vision Zero - Net revenues 50/50 between Region and LAMs Vision Zero - Net revenue to Region 100%
Reporting to Council	N/A (reporting occurs through JBM)	Operational costs and technical performance of the Vision Zero Program reported annually

Impact to LAMs



Current speeding, red light and community safety zone tickets

Distribution between all 12 LAMS = \$86 thousand



Anticipated that the NRPS will continue to allocate similar resources to policing roads throughout and shift their focus to areas outside of the ASE and RLC areas

Three Year Operating Expense Budget Impacts (in millions)

	Yr 1	Yr 2	Yr 3
Niagara Region*	\$ 1.75	\$ 2.32	\$ 2.27
Court Services	1.07	1.69	2.05
Total	\$ 2.82	\$ 4.00	\$ 4.31

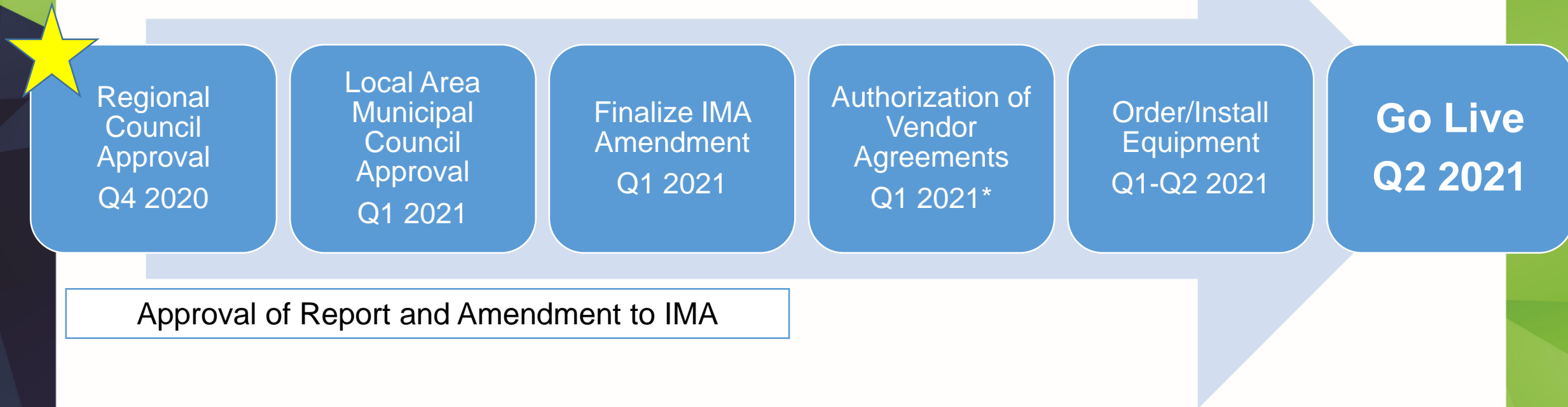
*Transportation and Business Licensing

First Full Year of Operations is estimated at \$4M

Timeline – Progress to Date



Timeline – Next Steps



* Council approval if required, per Procurement By-Law

Questions?

Subject: Amending Agreement to the Niagara Region Courts Inter-Municipal Agreement

Report to: Corporate Services Committee

Report date: Wednesday, December 9, 2020

1. That an Amending Agreement to the Niagara Region Courts Inter-Municipal Agreement in a form substantially as set out in Appendix A **BE APPROVED** for purposes of advancing the Vision Zero Program;
2. That the Director of Legal and Court Services **BE AUTHORIZED** to make such revisions to the Amending Agreement as may be deemed necessary and approved by the Acting Chief Administrative Officer in response to requests from the local area municipalities in order to finalize the Amending Agreement; provided that the apportionment of costs and revenue remains the same as provided in Appendix A;
3. That the Regional Chair and Regional Clerk **BE AUTHORIZED** to execute the Amending Agreement to the Niagara Region Courts Inter-Municipal Agreement once finalized, subject to approval by all 12 local area municipalities; and
4. That Report CSD 81-2020 and the Amending Agreement, attached as Appendix A to Report CSD 81-2020, **BE CIRCULATED** to the 12 local area municipalities and that the 12 local area municipalities **BE REQUESTED** to review and approve the Amending Agreement at the earliest opportunity in order to advance the Vision Zero Program.

Key Facts

- The purpose of this report is to seek Council's approval of the required amendments to the Niagara Region Courts Inter-Municipal agreement (IMA) in support of a financially sustainable Region led Vision Zero Program.
- Vision Zero is a multi-national road traffic safety project that aims to achieve a road network with no fatalities or serious injuries involving road traffic. The Niagara Region's Vision Zero Program will include Automated Speed Enforcement (ASE) and Red Light Cameras (RLC) (the "Program").
- The Program was approved as part of the 2020 budget, contingent on successful negotiations of a revised IMA with the LAMs to address apportionment of revenue and costs of the program.
- Staff received authorization from Council to initiate discussion with the LAMs regarding the required amendments to the IMA, and were directed to report back to Council on the outcome of those discussions in November 2019 (PW 64-2019).

- Guiding principles of improving road safety and equitable financial outcomes were considered during discussions with local area municipal CAO's and treasurers.
- Given the significant upfront financial investment required on the part of the Region for the implementation of the Program, the proposed apportionment of costs and revenue contained in Appendix A (including that the Region receives 100% of the net Program Revenues) is recommended by Staff in order to ensure the financial sustainability of the program.
- The Amending Agreement attached as Appendix A is proposed for a term of five (5) years from the Effective Date and includes an opportunity, at the three (3) year point, to engage in discussions to collectively review available data related to the Program for purposes of considering long-term projections and plans for the Program, including possible sites for future capital investment and any further amendments that may be required to the IMA.
- An amendment to the IMA dated April 26, 2000, requires approval of all 12 local area municipalities and the Region. Recognizing this, it is proposed that the Director of Legal and Court Services, be authorized to make such revisions to the Amending Agreement as may be deemed necessary and approved by the Acting CAO in response to requests from the local area municipalities in order to finalize the Amending Agreement; provided that the apportionment of costs and revenue remains the same as provided in Appendix A.
- In the event that the Amending Agreement is not approved, the Program, based on the current Council approval and Staff assessment of financial viability, would not proceed.

Financial Considerations

Infractions issued under the Program will be processed through Niagara Region Provincial Offences Court which is administered by the Court Services division of the Niagara Region. Under the current revenue sharing methodology prescribed by the IMA, the Region and the 12 local area municipalities (LAMs) share net revenues 50/50. A change to the IMA is being recommended to allow for 100% of the net Vision Zero infraction revenue in excess of courts operating costs to flow to the Niagara Region to fund the Program, as the current revenue sharing methodology provided in the IMA does not result in adequate funding being allocated to the Region to financially sustain the Program.

As part of the 2020 operating budget Council approved a business case for the Program (Appendix B). That business case outlined costs to be incurred for both Court Services

and the Niagara Region (in the transportation and business licensing divisions), in the first full year of operations, of approximately \$4M annually with a break even ticket volume of approximately 32,500 tickets. It is anticipated that the tickets generated from the Program will allow for enough funds to cover both the increased costs in Court Services as well as to cover the costs to implement and operate the program in the first 1 – 3 years.

Table 1 – Three Year Operating Expense Budget Impacts (in millions)

	2021	2022	2023
Niagara Region*	\$ 1.75	\$ 2.32	\$ 2.27
Court Services	1.07	1.69	2.05
Total	\$ 2.82	\$ 4.00	\$ 4.31

*Transportation and Business Licensing

Any Program revenue collected over and above the costs of the Program in Court Services, Niagara Region transportation division, and Niagara Region business licensing division would be invested back into the Program and utilized to further support public road safety in alignment with Provincial Guidelines for the ASE program. According to Provincial Guidelines, any municipal revenue collected under a Municipal ASE program that exceeds the costs of delivering the Municipal ASE program is required to be used to support local public safety and educational initiatives. Based on this guideline, all revenue that exceeds the costs of delivering the Program would be used for future reinvestment into the Program. Reinvestment includes such things as strategically expanding technology, intersection improvements, geometrics, street lighting, signage, pavement markings and pedestrian crossovers, communications and education platforms.

Other

The goal of the Program is to change driver behaviour and to reduce overall speeding on roads within the region. The financial impact of reduced speeding tickets on the LAM revenue distribution is difficult to estimate until trends from the Program are available. Worst case scenario, if no speeding tickets were issued by NRPS annually, the lost Court Services revenue available for distribution is estimated at \$80,000 for all 12 LAMs. In relation to RLC tickets, there are very few red light tickets issued annually by the NRPS. The worst case impact to the distribution to the LAMs if no red light tickets were issued is estimated at \$6,000 for all 12 LAMs.

It is anticipated that the Niagara Regional Police Service will continue to allocate similar resources to policing roads throughout the region and would be able to shift their focus to areas outside of the ASE and RLC areas.

Analysis

Staff received authorization from Council to initiate discussion with the LAMs regarding the required amendments to the IMA, and were directed to report back to Council on the outcome of those discussions in November 2019 (PW 64-2019).

Region staff met initially with LAMs' treasurers and CAOs in March and had follow up discussions with the CAO group in September. The delay in discussions was a result of staff's attention being allocated to pandemic response, with a renewed focus on the initiative in the Fall of this year. Presentations and discussions have centred on program overview, financial implications and proposed amendments to the IMA with guiding principles of improving road safety and equitable financial outcomes.

The implementation of the Program by the Region requires a significant upfront investment, given the costs to be incurred by the Region to implement and operate the Vision Zero Program an amendment is being request to the IMA to allow for 100% of net Vision Zero Program revenues to be transferred to the Region. Vision Zero Program revenues will be used exclusively for the operation and enhancement of the Vision Zero Program.

The original IMA was approved by the 12 local area municipalises and the Niagara Region on April 26, 2000 with revenue sharing arrangement between the Region and the 12 local area municipalities (LAMs), 50% of net revenues are retained by Niagara Region and 50% of net revenues are shared with the LAMs.

Term of Agreement

The proposed term of this Amending Agreement is five (5) years from the Effective Date (being the date the first ticket issued under the Program is filed with the Court) and includes an opportunity, at the three (3) year point, to engage in discussions to collectively review available data related to the Vision Zero Program. The review can include but not be limited to Vision Zero Program Court Costs, charges, gross revenues, technical performance and trends for purposes of considering long-term projections and plans for the Vision Zero Program including possible sites for future capital investment

in the Vision Zero Program and any potential future amendments that may be required to the IMA.

A minimum commitment of three years is being requested to get the Program up and running. This time will allow the Region to ensure there is enough data to assess the Program, to support that it is making a difference to driver behaviour and increasing road safety. There is financial risk initially as there are many unknowns associated with volumes, staffing levels required, timing and collections of infraction revenue. A minimum of three years of 100% of the Vision Zero infraction revenue in excess of Court Services' operating costs is anticipated to be required to cover the Region's investment over those three years.

Revenue Distribution

Given that the charges issued under the Program are processed by Court Services through the Provincial Offences Court, infraction revenue from the Program will flow through Court Services similar to other traffic ticket revenue and will be used firstly to offset the Program Court costs incurred by Court Services. The remaining revenue will flow from Court Services to the Region to be used to fund the capital and operating costs associated with the implementation and operation of the Program.

In the event that the Program gross revenues are less than the Court Costs at the end of any fiscal year, the Region will provide funding to cover the deficit from the Region's share of the net revenue distribution, so that the net revenues distributed to all municipalities, with the exception of the Region, are not negatively impacted by the Program. In subsequent years, any net Program revenues will first be used to repay the Region for previous years' deficit and then used for the operation and reinvestment in the Program.

Reporting Requirement

The revised agreement includes a requirement to report to Regional Council on an annual basis regarding operational costs and technical performance of the Vision Zero Program and the use of the net Vision Zero Program revenues to ensure transparency.

Approval of the Amendment to the Agreement

Similarly, to the original IMA dated April 26th, 2000 each of the 12 LAM Councils and Regional Council would need to approve the execution of the Amending Agreement in order for the revisions to take effect. In the event that the Amending Agreement is not

approved, the Program, based on the current Council approval and Staff assessment of financial viability, would not proceed.

Staff believe that the Program is critical to enhancing road safety for all residents of, and visitors to, the region and accordingly are seeking to advance implementation of the Program in or about March 2021. As a result, it is requested that the Amending Agreement be circulated to the LAMs for their review and approval at the earliest opportunity.

Region Lead

A Region led Program will mean the Region is responsible for the consistent delivery of the Program, stakeholder engagement and fielding questions or concerns from the public related to the Program. The Region will assume the financial risk during implementation of the Program, such as covering the significant upfront financial investment, uncertainty around revenue collection and ensuring there are adequate funds available to offset costs. The Region is a current member of ASE working group and will be able to leverage this relationship during implementation. Initial investments in ASE technology at the outset will be in approved community safety zones on Regional Roads. Regional Roads have larger intersections, higher speeds and volumes, as such the technology will have the largest impact on these roads. Investment will be undertaken strategically based on consultant recommendations to ensure the largest community impact. The goal of this Program is to change driver behaviour throughout the region with a strategic broad lens to implications to all 12 LAMs.

Risks

COVID-19 Implications

Currently as directed by the Province all court matters, with the exception of trials, are occurring remotely by electronic means. As of the writing of the report, in-person court matters will not begin until at least January 25, 2021, and staff are awaiting direction from the Ministry of the Attorney General regarding procedures for trials in-person and remotely. In relation to infraction revenue, the extension of time limitations and the pause on enforcement as a result of Provincial and Judicial Orders has resulted in more than 4000 Part 1 charges sitting on "Fail To Respond" (FTR) dockets awaiting conviction. This pause is scheduled to be lifted on February 26, 2021.

Consideration will have to be given to the possible impacts of COVID-19 pandemic on Court Services ability to conduct high volume of court matters in a remote/virtual court setting.

Administrative Monetary Penalty System

Transportation staff are participating in a working group established by the Ontario Traffic Council related to possible legislation being considered by the Province that would permit municipalities to process vision zero related charges outside of the Provincial Offences Court through an Administrative Monetary Penalty System (AMPS); similar to the way local area municipalities currently deal with parking by-law offences. If the legislation is approved and implemented, charge revenue related to the Program would not flow through the POA courts, and there would be a need to establish and resource an AMPS framework to manage these charges in its place.

Relationship to Council Strategic Priorities

Implementing the Vision Zero Road Safety Program supports the 2019 to 2022 Strategic Plan and aligns with Transportation Master Plan TMP Vision 2041

Regional Council adopted Niagara Region Strategic Plan 2019-2022 with the vision statement of striving to achieve a prosperous, safe and inclusive community that embraces our natural spaces and promotes holistic wellbeing and quality of life. This project will address Niagara Region's commitment to the safe system approach, by recommending extensive, proactive and targeted initiatives, informed by data and aimed at eliminating serious injury and fatalities on Niagara Regional roads.

Alignment to Niagara Region Transportation Master Plan

Niagara Region is undergoing significant change and by 2041 will have grown and evolved on economic, demographic, social and technological fronts. This recommendation will support growth and enhance Niagara globally by promoting an integrated network of roads and highways for the safe movement of people and goods.

This recommendation is part of the implementation of the Vision Zero Road Safety Program and is critical in building a safe and inclusive community. It is a philosophy of significant departure from the traditional approach of road safety by providing a transportation network with safer walking, cycling, and motor vehicle routes.

Other Pertinent Reports

- PW 35-2019 Automated Speed Enforcement – Safer School Zones Act
- PW 36-2019 Red Light Camera
- PW 38-2019 Community Safety Zones
- PW 64-2109 Vision Zero Road Safety Program
- PW 2–2020 Implementation of Automated Speed Enforcement

Prepared by:

Beth Brens
Manager of Program Financial Support
Corporate Services

Recommended by:

Todd Harrison, CPA, CMA
Commissioner, Corporate Services/Treasurer

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

This report was prepared in consultation with Donna Gibbs, Director of Legal and Court Services, Carolyn Ryall, Director of Transportation Services and reviewed by Melanie Steele, Associate Director of Reporting and Analysis and Helen Chamberlain, Director of Finance.

Appendices

Appendix A	Niagara Region Courts Inter-Municipal Agreement-Amendment 2
Appendix B	2020 Business Case – Vision Zero Road Safety Program

DRAFT

NIAGARA REGION COURTS INTERMUNICIPAL AGREEMENT- AMENDMENT 2

This Agreement dated the _____ day of _____, 2020

BETWEEN:

THE CORPORATION OF THE TOWN OF FORT ERIE
(hereinafter called "Fort Erie")

OF THE FIRST PART

-and-

THE CORPORATION OF THE TOWN OF GRIMSBY
(hereinafter called "Grimsby")

OF THE SECOND PART

-and-

THE CORPORATION OF THE TOWN OF LINCOLN
(hereinafter called "Lincoln")

OF THE THIRD PART

-and-

THE CORPORATION OF THE CITY OF NIAGARA FALLS
(hereinafter called "Niagara Falls")

OF THE FOURTH PART

-and-

THE CORPORATION OF THE TOWN OF NIAGARA-ON-THE-LAKE
(hereinafter called "Niagara-on-the-Lake")

OF THE FIFTH PART

-and-

THE CORPORATION OF THE TOWN OF PELHAM
(hereinafter called "Pelham")

OF THE SIXTH PART

-and-

THE CORPORATION OF THE CITY OF PORT COLBORNE
(hereinafter called "Port Colborne")

OF THE SEVENTH PART

-and-

THE CORPORATION OF THE CITY OF ST. CATHARINES
(hereinafter called "St. Catharines")

OF THE EIGHTH PART

-and-

THE CORPORATION OF THE CITY OF THOROLD
(hereinafter called "Thorold")

OF THE NINTH PART

-and-

THE CORPORATION OF THE TOWNSHIP OF WAINFLEET
(hereinafter called "Wainfleet")

OF THE TENTH PART

-and-

THE CORPORATION OF THE CITY OF WELLAND
(hereinafter called "Welland")

OF THE ELEVENTH PART

-and-

THE CORPORATION OF THE TOWNSHIP OF WEST LINCOLN
(hereinafter called "West Lincoln")

OF THE TWELFTH PART

-and-

THE REGIONAL MUNICIPALITY OF NIAGARA
(hereinafter called "the Region")

OF THE THIRTEENTH PART

WHEREAS, by the Niagara Regional Court Intermunicipal Agreement dated April 26, 2000 (the “Intermunicipal Agreement”), all parties agreed, among other thing things, to appoint the Region as Agent to undertake the court administration, support and prosecution program for the operation of the Provincial Offences Court on behalf of all municipalities;

AND WHEREAS effective November 22, 2005, the Parties amended the Intermunicipal Agreement to update Schedule A entitled “Reporting Relationships”;

AND WHEREAS the Region wishes to proceed with the implementation of the Vision Zero Program, which among other things would include enforcement of the *Highway Traffic Act* through Automated Speed Enforcement and Red Light Camera enforcement for purposes of enhancing traffic safety for the benefit of all visitors to and residents of the region of Niagara;

AND WHEREAS in order for the Region’s operation of the Vision Zero Program to be financially sustainable, it would need to be fully supported by the fines received through charges issued under the Vision Zero Program that will be processed through the Court;

AND WHEREAS the Council of the Region have approved the Vision Zero Program subject to an amendment to the Intermunicipal Agreement regarding the apportionment of costs and revenue to ensure that the Vision Zero Program is financially sustainable in the long term;

NOW THEREFORE in consideration of the promises, mutual covenants and conditions contained herein, the receipt and sufficiency of which is hereby acknowledged, the Parties hereto agree as follows:

1. Definitions

In this Amending Agreement:

“Effective Date” means the date upon which the first Certificate of Offence issued pursuant to the *Provincial Offences Act* for a charge under the Vision Zero Program is filed with the Court;

“Vision Zero Program” means the Vision Zero Road Safety Program to be administered by the Region that includes without limitation: enforcement of the *Highway Traffic Act* through Automated Speed Enforcement, Red Light Camera enforcement and such other automated technology-based traffic enforcement tools that may be approved for use by the Province from time to time; infrastructure upgrades such as street lighting, signage and intersection improvements; and, communication and educational programs; all for purposes of enhancing traffic safety for all road users;

“Vision Zero Program Court Costs” means the Court costs and expenses related to administration, prosecution, adjudication of Vision Zero Program charges, including

all staffing costs, fees and collection costs incurred by the Agent in processing charges issued under the Vision Zero Program;

2. The parties acknowledge that implementation of the Vision Zero Program by the Region requires significant upfront investment in particular related to the acquisition and installation of necessary equipment, fees imposed by the Joint Processing Centre and Ministry of Transportation and staffing costs, in addition to other operational costs to administer the Vision Zero Program. Notwithstanding sections 8.2 and 8.3 of the Intermunicipal Agreement, given the costs incurred by the Region to implement and operate the Vision Zero Program, the Region shall receive 100% of net Vision Zero Program revenues.
3. Except as otherwise provided herein, the Region shall use the net Vision Zero Program revenues exclusively for the operation and enhancement of the Vision Zero Program.
4. Regional Staff shall report to the Council of the Region on an annual basis regarding operational costs and technical performance of the Vision Zero Program and the use of the net Vision Zero Program revenues.
5. The costs of the Program, as defined in the Intermunicipal Agreement, will be adjusted as a part of the annual budget process in accordance with section 7.1 of the Intermunicipal Agreement as necessary to address any change in Vision Zero Program Court Costs required to accommodate the volume of charges processed pursuant to the Vision Zero Program and shall be recovered by the Agent from gross revenues in accordance with section 8.1 of the Intermunicipal Agreement.
6. The Agent will track the Vision Zero Program Court Costs separately to the extent reasonably possible for inclusion in the annual budget and financial reporting submitted to the Board from time to time, and the report provided to the Council of the Region pursuant to section 4 of this Amending Agreement.
7. In the event that the Vision Zero Program gross revenues are less than the Vision Zero Program Court Costs at the end of any fiscal year, the Region will provide funding to cover the deficit from the Region's share of the net revenue distribution pursuant to section 8.2 of the Intermunicipal Agreement, so that the net revenues distributed to all Municipalities, with the exception of the Region, pursuant to section 8.3 of the Intermunicipal Agreement are not negatively impacted by the Vision Zero Program. In subsequent years, any net Vision Zero Program revenues will first be used to repay the Region for previous years' deficit and then used for the operation and enhancement of the Vision Zero Program as outlined in section 3 of this Amending Agreement.
8. The Region agrees to notify the parties in writing of the date that the first Certificate of Offence issued for a charge under the Vision Zero Program is filed with the Court for purposes of confirming the Effective Date of this Amending Agreement.

9. The term of this Amending Agreement will be five (5) years from the Effective Date. The parties agree that on or about three (3) years from the Effective Date they will engage in discussions to collectively review available data related to the Vision Zero Program compiled as of that date, including but not limited to Vision Zero Program Court Costs, charges, gross revenues, technical performance and trends for purposes of considering long-term projections and plans for the Vision Zero Program including possible sites for future capital investment in the Vision Zero Program and any potential future amendments that may be required to the Intermunicipal Agreement.
10. This Amending Agreement may be executed in any number of counterparts, each of which shall be deemed an original, but all of which together shall constitute one and the same instrument.
11. The acceptance of this Amending Agreement may be communicated by facsimile or email transmission reproduction between the Parties, and such reproduction will be binding upon the Parties with the same effect as an executed original of the Amending Agreement.
12. Save and except as modified herein, the provisions of the Intermunicipal Agreement shall remain in full force and effect.

IN WITNESS WHEREOF the parties hereto have executed this Amending Agreement:

(signing blocks to be inserted)

Vision Zero Road Safety Program - 2020 Operating Budget Business Case

Public Works-Levy - Transportation Planning; Business Licensing; Court Services

Initiative Start Date: January 01, 2020

Reason for Business Case: Operating Project

Description of program change:

Vision Zero is a multi-national road traffic safety project that aims to achieve a road network with no fatalities or serious injuries involving road traffic. The Vision Zero Road Safety Program strives to eliminate traffic fatalities and serious injuries on Niagara regional roads; while increasing safe, healthy, equitable mobility for all road users.

The implementation of the Vision Zero Road Safety Program will impact the Regional Transportation, Business Licensing and Court Services Operating Budgets, at an estimated annual gross cost, including the mandatory Victim Fine Surcharge paid to the Ministry of the Attorney General, of approximately \$5 – \$5.8 million (\$3.5 million in 2020 for a partial year of operation, dependent upon timing and duration of implementation).

Transportation Services will be responsible for the operation of the Vision Zero program, including monitoring, evaluation and expansion. Budgeted costs include equipment-related costs, ticket processing charges through a Joint Processing Centre (JPC), MTO charges, staffing and other and are estimated at approximately \$2.28 million on an annual basis (\$1.725 million in 2020 for partial year of operation).

Business Licensing will act as the Provincial Offences Officer and will be responsible for the processing the delivery of the tickets between the JPC and Court Services. Annual costs are estimated at approximately \$34,000.

Infractions issued under the Vision Zero Road Safety Program will be processed through Niagara Region Provincial Offences Court which is administered by Court Services. Costs are estimated at \$2.7 – \$3.5 million annually and include the Victim Fine Surcharge, as well as adjudication and court-related costs, ticket processing and staffing costs (\$1.8 million in 2020 for partial year of operation). Costs are expected to increase if ticket volumes increase over time.

The operating costs for the program are conservatively estimated to be fully recovered from fine infraction revenue. However, this is dependant upon the ability of Niagara Region to recover its full operating costs, which would require an amendment to the Niagara Region Courts Inter-municipal Agreement net revenue sharing formula which is currently based on a 50/50 sharing between the Region and the LAMs. Therefore, negotiations with the LAMs are required and have been authorized by Council. Staff will engage the LAMs to review the Niagara Region Courts Inter-Municipal Agreement as it pertains to net revenues from the Vision Zero Road Safety Program to ensure the program is fiscally sustainable to the Region.

It is important to note that the Vision Zero program will not proceed and no costs will be incurred under this program unless an agreement can be reached with the LAMs and the Inter-Municipal Agreement is successfully amended with respect to the sharing of revenues and operational costs, and therefore no net revenue has been included in the 2020 budget.

Niagara Region experiences a high collision fatality rate when compared to other jurisdictions in Southern Ontario. Deployment of Automated Speed Enforcement (ASE) cameras at school zones and community safety zones, reference to the Province of Ontario Safer School Zones Act - 2017, will facilitate the municipal adoption of this technology on roads with speed limits under 80 km/h in school and community safety zones.

Vision Zero Road Safety Program - 2020 Operating Budget Business Case

Red Light Cameras (RLCs) have been operating in the Province since November 2000 and have so far been installed in 7 Ontario municipalities. The RLC program and processes are well established and respected for their consistency and quality. For legal and practical reasons, all components of the program, from the equipment used through to the processing of the violations, are identical for all participating municipalities within Ontario.

RLCs are an effective safety tool since they reduce the incidence of motorists running red lights. Red light running is one of the causes of angle or "t-bone" collisions, the most severe type of collision that often results in serious injuries. A review of Niagara Region's collision database indicated that there are an average of 60 right-angle collisions at signalized intersections per year. The most reliable statistics currently available suggest that RLCs can reduce the frequency of right-angle collisions by 25%.

Business Reasons for Program Change:

For many years, Niagara Region Staff have been dealing with concerns raised by residents regarding speeding on regional roads. Speeding is a primary crash factor and a leading road safety problem, often contributing to fatal crashes and serving as an aggravating factor in most crashes. A review of Niagara Region's collision data to-date shows that the total number of collisions are continuously increasing on Niagara regional roads.

A step forward to adopting a Vision Zero Road Safety Plan in Niagara Region; helping to reduce aggressive driving and speeding by enhancing a safe systems approach, and drawing solutions from engineering, enforcement, education, engagement and evaluation. Those solutions focus on 6 emphasis areas of pedestrians, cyclists, motorcyclists, school-aged children, older adults and aggressive and distracted driving.

Supports Council's Strategic Priorities: Businesses and Economic Growth, Healthy and Vibrant Community, Responsible Growth and Infrastructure Planning, Sustainable and Engaging Government

Niagara Region HOW WE GO Transportation Master Plan defined programs and infrastructure improvements required to address transportation and growth needs from today through to 2041. One of the main goals is to provide integrated network of roads and highways for the safe movement of people and goods.

The proposed Vision Zero Road Safety Program is a critical part in building a safe and inclusive community. It is an important mechanism to remove barriers for equity seeking groups by prioritizing vulnerable road users. Niagara Region is undergoing significant change and by 2041 will have grown and evolved on economic, demographic, social and technological fronts. This recommendation will support growth and enhance Niagara globally by promoting an integrated network of roads and highways for the safe movement of people and goods.

Vison Zero Road Safety Program - 2020 Operating Budget Business Case

Staffing Impact:

14 Permanent, Full Time, 1 Student - Non-Union and CUPE 1287

Total Cost of Staffing Position: - 2020 \$933,303, 2021 - \$1,177,839

Staffing Implementation Date: January 01, 2020

The implementation of the Vision Zero program will require additional staffing complement in both Transportation Services and Court Services as detailed below:

Transportation Services - 2 permanent, full-time non-union project manager FTE's and 1 non-union student will be required to implement, monitor and expand the Vision Zero program in future.

Court Services - 12 permanent, full-time FTE's, 1 non-union and 11 unionized CUPE 1287, will be required to manage the significant increase in ticket volumes that will be processed through the Court system with the implementation of the Vision Zero program. The non-union position will be a Prosecution Coordinator position. The unionized positions will consist of 9 Court Clerks and 2 Trial Coordinators.

Vison Zero Road Safety Program - 2020 Operating Budget Business Case

Financial Impact Summary	Current Year Impact		Multi Year Impact	
	<u>2020</u>	<u>2021</u>	<u>2022</u>	<u>Beyond</u>
Gross Expenditures	3,546,591	5,058,960	5,759,125	-
Gross Revenues	(3,546,591)	(5,058,960)	(5,759,125)	-
Net Impact to lev	-	-	-	-
% Change over prior year	0.000%			

Prepared by Division Manager:
Reviewed by Program Financial Specialist:
Approved by Director / Commissioner:

Sulaf Al Karawi/ Jackie Foley
Brian McMahon/ Sara Mota
Carolyn Ryall/ Donna Gibbs/Angelo Apfelbaum

VISION ZERO ROAD SAFETY PROGRAM

			Total Vision Zero			Red Light Camera (RLC)			Automated Speed Enforcement (ASE)		
			2020	2021	2022	2020	2021	2022	2020	2021	2022
Revenue:											
	Gross Ticket Revenue		\$ 3,546,591	\$ 5,058,960	\$ 5,759,125	\$ 878,977	\$ 1,444,309	\$ 1,052,475	\$ 2,667,615	\$ 3,614,651	\$ 4,706,650
	less: Victim Fine Surcharge expense		(723,710)	(1,057,160)	(1,447,420)	(138,320)	(276,640)	(276,640)	(585,390)	(780,520)	(1,170,780)
	Net Ticket Revenue		\$ 2,822,881	\$ 4,001,800	\$ 4,311,705	\$ 740,657	\$ 1,167,669	\$ 775,835	\$ 2,082,225	\$ 2,834,131	\$ 3,535,870
Expenses:											
Transportation Services	Equipment Costs		\$ 388,292	\$ 714,356	\$ 319,390	\$ 290,978	\$ 581,956	\$ 186,990	\$ 97,314	\$ 132,400	\$ 132,400
	Ticket Processing Costs		601,625	804,250	1,143,250	93,125	126,250	126,250	508,500	678,000	1,017,000
	Staffing		282,899	288,557	294,328	115,098	117,400	119,748	167,801	171,157	174,580
	Other		452,500	475,000	475,000	72,500	95,000	95,000	380,000	380,000	380,000
			1,725,316	2,282,163	2,231,968	571,701	920,606	527,988	1,153,615	1,361,557	1,703,980
Business Licensing	Processing and Delivery Costs		\$ 26,528	\$ 34,089	\$ 34,092	\$ 3,626	\$ 6,193	\$ 6,197	\$ 22,902	\$ 27,896	\$ 27,896
Court Services	Staffing		\$ 650,404	\$ 889,282	\$ 1,178,678	\$ 124,213	\$ 168,637	\$ 169,161	\$ 526,191	\$ 720,645	\$ 1,009,517
	Courtroom Costs		240,300	529,600	532,800	19,700	39,400	39,656	220,600	490,200	493,144
	Ticket Processing Costs		108,000	148,500	216,000	6,750	13,500	13,500	101,250	135,000	202,500
	Other		72,333	118,167	118,167	14,667	19,333	19,333	57,667	98,833	98,833
			1,071,037	1,685,548	2,045,645	165,330	240,870	241,650	905,708	1,444,678	1,803,994
	Total Expenses (excluding Victim Fine Surcharge)		\$ 2,822,881	\$ 4,001,800	\$ 4,311,705	\$ 740,657	\$ 1,167,669	\$ 775,835	\$ 2,082,225	\$ 2,834,131	\$ 3,535,870
Net Revenue (Cost)			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

Total Expenses per above (excluding Victim Fine Surcharge)	\$ 2,822,881	\$ 4,001,800	\$ 4,311,705
add: Victim Fine Surcharge Costs	723,710	1,057,160	1,447,420
Total Expenses including Victim Fine Surcharge	\$ 3,546,591	\$ 5,058,960	\$ 5,759,125

\$ 740,657	\$ 1,167,669	\$ 775,835
138,320	276,640	276,640
\$ 878,977	\$ 1,444,309	\$ 1,052,475

\$ 2,082,225	\$ 2,834,131	\$ 3,535,870
585,390	780,520	1,170,780
\$ 2,667,615	\$ 3,614,651	\$ 4,706,650

MEMORANDUM

CSC-C 26-2020

Subject: Recommendation for Consideration from the T. Roy Adams Humanitarian Award Committee meeting held November 16, 2020

Date: December 9, 2020

To: Corporate Services Committee

From: Ann-Marie Norio, Regional Clerk

At its meeting held on November 16, 2020, the T. Roy Adams Humanitarian Award Committee passed the following motion for consideration by the Corporate Services Committee:

Minute Item 3.2

TRAHAC-C 2-2020

T. Roy Adams Humanitarian Award Nomination Process Change

That Report TRAHAC-C 2-2020, dated November 16, 2020, respecting T. Roy Adams Humanitarian Award Nomination Process Change, **BE RECEIVED** and the following recommendation **BE APPROVED**:

1. That the T. Roy Adams Humanitarian Award Committee **APPROVE**, that starting with the 2021 T. Roy Adams Humanitarian Award nominations, all nominations for consideration for the award are required to be submitted yearly.

Respectfully submitted and signed by,

Ann-Marie Norio
Regional Clerk

Subject: T. Roy Adams Humanitarian Award Nomination Process Change

Report to: T. Roy Adams Humanitarian Award Committee

Report date: Monday, November 16, 2020

Recommendations

1. That the T. Roy Adams Humanitarian Awards Committee **APPROVE**, that starting with the 2021 T. Roy Adams Humanitarian Award nominations, all nominations for consideration for the award are required to be submitted yearly.

Key Facts

- The purpose of this report is to seek Committee's approval to change the process for nominations for the T. Roy Adams Humanitarian Award.
- Previously, the Committee considered the three highest scoring runners up from each of the two previous years.
- Staff are suggesting a change be made to the process to ensure that all nominations are fair and equitable.

Financial Considerations

There are no financial considerations with respect to making a change to the nomination process.

Analysis

In 2003, Niagara Region initiated a memorial award in memory of the late Councillor T. Roy Adams to honour a resident of Niagara who exemplifies dedication to community service and volunteerism. At that time all submitted nomination applications were carried over each year. For 2010, the Committee changed the process to only carry over the nomination applications submitted for the current year and the four years previous for a total of five years of nominations.

In 2011, the nomination applications were only eligible to be carried over for three years instead of five. Since 2013, only the three highest runners up from each of the two previous years nomination applications are brought forward for scoring and consideration.

Staff are recommending that for the 2021 nomination application process and going forward, that any previous year nomination applications not be considered eligible. This change will ensure the integrity of the nomination application by ensuring that all applications are considered equally.

Carrying over nomination applications from year to year has some challenges. In some cases nominators request the ability to add additional information to the nomination application submission. If not all nominators are provided with the same opportunity to provide extra information it unfairly penalizes some applicants.

In addition, the carry over can be problematic as the nominee may no longer be doing the volunteer work or the nominator may no longer wish to continue to support the application.

It is felt that by having only current year submissions considered for the award will ensure that each application includes current and up to date information; enhancing the integrity of the award and simplifying how applications are scored. There will not be any limits as to how many times a person can be nominated for the award.

Alternatives Reviewed

Committee could decide to leave the nomination process as it currently stands with the three highest scoring runners up from the two previous years being carried forward.

Relationship to Council Strategic Priorities

The T. Roy Adams Humanitarian Award has been in existence since 2003 and does not fall within Council's Strategic Priorities.

Other Pertinent Reports

None.

Prepared and Recommended by:
Ann-Marie Norio
Regional Clerk

Submitted by:
Ron Tripp, P.Eng.
Acting Chief Administrative Officer

Appendices

None.

**THE REGIONAL MUNICIPALITY OF NIAGARA
T. ROY ADAMS HUMANITARIAN AWARD COMMITTEE
OPEN SESSION MINUTES**

**TRAHAC 1-2020
Monday, November 16, 2020
Meeting held by Video Conference**

Committee: Bradley (Regional Chair); Councillors Butters, Dart, Greenwood (Committee Chair), Rigby (Committee Chair); J. McKiernan; A.-M. Norio, Regional Clerk

Absent/Regrets: Councillor Nicholson

1. CALL TO ORDER

Committee Chair Greenwood called the meeting to order at 3:39 p.m.

2. DISCLOSURES OF PECUNIARY INTEREST

There were no disclosures of pecuniary interest.

3. ITEMS FOR CONSIDERATION

There being no objections, Committee considered Correspondence Item TRAHAC-C 2-2020 at this time.

3.2 TRAHAC-C 2-2020

T. Roy Adams Humanitarian Award Nomination Process Change

Moved by Councillor Butters

Seconded by Councillor Rigby

That Report TRAHAC-C 2-2020, dated November 16, 2020, respecting T. Roy Adams Humanitarian Award Nomination Process Change, **BE RECEIVED** and the following recommendation **BE APPROVED**:

1. That the T. Roy Adams Humanitarian Award Committee **APPROVE**, that starting with the 2021 T. Roy Adams Humanitarian Award nominations, all nominations for consideration for the award are required to be submitted yearly.

Carried

6. **CLOSED SESSION**

Moved by Councillor Butters
Seconded by J. McKiernan

That this Committee **DO NOW MOVE** into Closed Session for the purposes of receiving information of a confidential nature respecting:

Personal Matters About Identifiable Individuals - Nominations for the 2020 T. Roy Adams Humanitarian of the Year Award

Carried

Committee resolved into closed session at 3:51 p.m.

7. **BUSINESS ARISING FROM CLOSED SESSION ITEMS**

Committee reconvened in open session at 4:16 p.m. with the following individuals in attendance:

Committee: Bradley (Regional Chair); Councillors Butters, Darte, Greenwood (Committee Chair), Rigby (Committee Chair); J. McKiernan; A.-M. Norio, Regional Clerk

Absent/Regrets: Councillor Nicholson

3. **ITEMS FOR CONSIDERATION**

3.1 **TRAHAC-C 1-2020**

Results of the 2020 T. Roy Adams Humanitarian Award Committee Nominations Evaluation Matrix

Moved by Councillor Rigby
Seconded by J. McKiernan

That Report TRAHAC-C 1-2020, dated November 16, 2020, respecting Results of the 2020 T. Roy Adams Humanitarian Award Committee Nominations Evaluation Matrix, **BE RECEIVED** and the following recommendation **BE APPROVED**:

1. That, based on the results of the 2020 evaluation matrix contained in Confidential Appendix 1 to Report TRAHAC-C 1-2020, the selected recipient of the T. Roy Adams Humanitarian of Year Award for 2020, **BE APPROVED**.

Carried

4. **CONSENT ITEMS FOR INFORMATION**

There were no consent items for information.

5. **OTHER BUSINESS**

There were no items of other business.

8. **NEXT MEETING**

The next meeting will be held at the call of the Committee Chair.

9. **ADJOURNMENT**

There being no further business, the meeting adjourned at 4:19 p.m.

Councillor Greenwood
Committee Chair

Kelly Lotimer
Legislative Coordinator

Ann-Marie Norio
Regional Clerk

MEMORANDUM**CSC-C 25-2020**

Subject: COVID-19 Response and Business Continuity in Corporate Services
Date: December 9, 2020
To: Corporate Services Committee
From: Todd Harrison, Commissioner, Corporate Services/Treasurer

Corporate Services delivers efficient and innovative service excellence to external and internal customers in an integrated and timely manner.

During this pandemic, our staff have continued this support function for core businesses within our group and for operating departments. In addition, Corporate Services has provided critical support to the Emergency Operations Committee (EOC).

The following provides an overview of activity that has taken place and a projection of expected service delivery moving forward:

CONSTRUCTION, ENERGY AND FACILITIES MANAGEMENT (CE&FM)

The CE&FM group is divided into two main groups, Construction and Facilities Management. This team continues to be an essential component of the Region's EOC.

Some of the functions performed in this capacity are:

- Maintaining Vine Portal for EOC supply chain requests allowing for increased efficiencies and tracking of delivery;
- Coordinating the sourcing of essential supplies in collaboration with other departments;
- Continuing Operations and Maintenance of all opened facilities including enhanced cleaning protocols to ensure safe working environment for essential staff not working from home;
- Coordinating emergency procurements of PPE and other supplies that are critical to business continuity for essential services;

- Coordinating shipping/receiving and securement of critical supply needs;
- Providing dedicated and secured storage areas to assist LTC pandemic supply requirements;
- Upgrading facilities with social distancing barriers, protective screens;
- Responding to internal client needs for changes in normal operations, special moves and health & safety concerns;
- Providing enhanced security monitoring of sites with reduced and or no staff on site; and
- Redeployment of CE&FM staff to support REOC and facilities operations.

Operational Outlook

1/3/6 months

Construction:

- Continue to work with contractors on construction sites for work that resumed as of mid-May.
- For projects not in construction, staff is proceeding with procurement for projects deemed to be critical to proceed.
- Working with OH&S, determining what physical changes are required to re-open Regional office locations to the public.
- Completed installation of glass/plexi barriers at SAEO Niagara Falls, Welland, St. Catharines, Fort Erie, and Port Colborne public waiting areas.
- Working with communications, developed new Region floor decals and signage for physical distancing. Decals are installed at Welland POA Courts, SAEO offices at Niagara Falls, Welland and St. Catherines and partial installation at Niagara Region HQ based on operational need.
- Completed working with dental clinics to review air exchange requirements in order to resume in person appointments.

Cleaning:

- Staff has extended the current enhanced COVID cleaning requirements for facilities managed by CE&FM and EMS stations.
- Renegotiated cleaning contract to extend for another 6 months based on right sizing operations to meet PH guidelines.
- Procured additional cleaning and janitorial supplies to meet divisional and client needs.

- Addressed multiple emergency workplace disinfection requests following positive COVID findings in the workplace.

Supply Chain and Deliveries

- Dedicated staff for delivery and reception of all Region Headquarters deliveries to loading dock to limit personnel entry to Region Headquarters.
- Have met all client and division's support requests for procurement of PPE, hygiene and cleaning supplies.
- Sourced N95, cloth and surgical masks for use by region staff based on operational needs.
- Increasing inventory of critical PPE supplies for fall flu season (including anticipation of second wave).
- Working with REOC and PHEOC to prepare for storage, security and distribution of COVID vaccines and immunization supplies.

Building Security

- Continue to monitor security and facility access control systems to meet program delivery needs.
- Continue to keep all Region sites functional, safe and secure for eventual return to normal operations.

Non-essential maintenance and repair work

With opening up of maintenance and repair work by the Province in early May, continue with critical maintenance repair work and services and any other work required for the efficient building operations.

FINANCIAL MANAGEMENT AND PLANNING (FMP)

Current Status of Operations

As indicated, all of the Corporate Services Departments continue to deliver core services while at the same time perform a significant number of duties to support the Regional EOC.

FMP staff have continued to support core business functions during the pandemic. Some highlights of these actions include:

- Complete the 2019 year end audit;
- Submission to the Province of the 2019 Financial Information Return;
- Publication of the 2019 Annual Report;
- Develop 2020 tax bylaws and provide required necessary report and bylaws;
- Work with Public Works to update financial implications of SNF water treatment plant for inclusion in the 2021 budget;
- Publication of the 2020 Budget Summary;
- 2021 budget planning and preparations;
- Successful sale of \$34 million in serial debentures (\$15.5 million Regional) on July 31 at all time historical low interest rate of 1.43% for 10 years;
- Preparation of 2021 Capital and Operating Budgets timetables and planning report for Council and establishing strategies for budget preparation;
- Reported to Council on the second quarter financial results and year end forecast;
- Completion of Service Sustainability Review project and reporting to Council; and
- Update of Standard and Poor's credit rating, reaffirming the Region's AA stable credit rating.

Preparation and presentation of consolidated 2021 Capital Budget to Budget Review Committee of the Whole. Additionally, FMP has a main role in the Region's EOC as part of the Finance and Administration Unit. Highlights include:

- Development and implementation of procedures for cost reporting and tracking;
- Coordination and collaboration with municipal treasurers of assumptions and information for consolidated financial impact information for advocacy to provincial and federal governments;

- Review of Regional capital projects in light of provincial legislative essential construction business and Regional capacity to complete;
- Implementation of on-line/credit card payments for services such as business licenses, garbage bag tags including direct sales to residents, planning and transportation permits, long term accommodations, etc.;
- Support HR in development of cost tracking system to facilitate staff redeployment to essential services in pandemic including ongoing update of EOC costing assumptions;
- Support HR in establishing process to administer pandemic pay. Finance is leading completion of significant additional reporting requirements for various different Ministry;
- Extensive cash flow and collections analysis and planning in conjunction with local municipalities;
- Analysis and reporting related to Council motion to consider deferral of 2020 water/wastewater budget increases;
- Preparation of COVID-19 recovery planning documentation and consolidation of corporate plan; and
- Complying with reporting requirements for \$12.8 million in provincial Safe Restart funding along with the completion of additional COVID-19 extraordinary cost claims and reports to various Ministry.
- Submitted to the Province on November 6th the Safe Restart Phase 2 application inclusive of final third quarter financial projections.

Operational Outlook

1/3/6 months

- Managing Local Area Municipality receivable and payables in accordance with CSD 31-2020.
- Improvements to Cash Flow model tools and processes to support ongoing operations and cash flow implications of municipal COVID concessions.
- Ongoing COVID financial analysis and weekly/monthly impact and cash flow reporting to Council with updates for items impacting 2021 budget to be added.
- Third quarter financial reporting to Council in accordance with policies.
- Ongoing financial reporting submissions for pandemic pay and COVID-19 extraordinary cost claims including Phase 2 of Safe Restart due November 6.

- Supporting the 2021 Capital and Operating Budgets preparation including establishing new processes to integrate Capital Asset Management Resource Allocation model integration with Capital Financing Strategy.
- Supporting GO implementation, Niagara Regional Transit Governance, Canada Summer Games, Airport Master Plan RFP, sponsorship revenue, Asset Management Planning.
- Securing HST advisory services to minimize HST impacts on Canada Summer Games construction costs.
- Creation of Development Charge Bylaws RFP and new Development Charge Policy regarding payment instalment options and related interest.
- Financial and implementation analysis for HRIS support and alternative models.
- Coordinating debenture issuances with infrastructure Ontario for Region and Area Municipalities.
- PeopleSoft configuration changes to report to Council on sole source procurements in excess of \$100,000.

PROCUREMENT AND STRATEGIC ACQUISITIONS (PSA)

Current Status of Operations

Similar to other departments within Corporate Services, PSA staff have delivered by supporting core business functions while taking on additional projects to support the Region's EOC.

Highlights of activity during the operational period includes:

- Facilitating new and ongoing procurements culminating in award;
- Realty related works for inflight projects, leases and licenses;
- PeopleSoft Change PO's, Supplier and PCard administration;
- Sourcing critical PPE and supplies needed for the EOC response to the pandemic; and
- Preparation of Covid-19 recovery planning documentation.

Operational Outlook

1/3/6 months

The Region's review of essential projects both capital and operational has resulted in a prioritization of formal procurements moving forward. This will continue throughout the pandemic and afterwards.

INFORMATION TECHNOLOGY SERVICES (ITS)

Current Status of Operations

Similar to other departments within Corporate Services, ITS staff have delivered by supporting core business functions while taking on additional established projects to support the Region's EOC.

Highlights of initiatives completed during the pandemic include the following:

- Support for onboarding the 2 new WM collection contractors - modifications and enhancements to various applications were required to support this initiative.
- Implemented a public facing website with automation of the application process for qualification of Specialized Transit services offered by Niagara Region.
- Modifications to EMS Tools to adhere to recently revised Ministry of Health regulations for Incident reporting.
- Modifications to HSMS (Hauled Sewage Management System) for WWW to enable GIS/mapping services connectivity, data capture for Source locations, enhance search capabilities, enhance filtering capabilities and usability.
- Modifications to various web applications to support the AODA 2021 compliance regulations.
- Security enhancements to ChildCare EReg to further safeguard sensitive data.
- FOI Application upgrade to stay current with security and functionality offered by the vendor.
- Produced a LAM specific visualized Power BI COVID report for public health resources to deliver weekly to each Mayor and CAO and other requested senior staff.

- Assisted the City of Thorold by producing economic development maps to be used with prospective clients/developers for the City. Five different maps were produced in total.
- Produced a data solution for school outbreak COVID reporting in the EOC (both EOC's).
- Begun working towards implementing a long term data solution for public health COVID information and contact tracing.
- Worked collaboratively with NH on rebuilding the application 'Transfer of Care' which will improve efficiencies and tracking in the life cycle of a patient beginning care with EMS up to the hand off (transfer) of care to NH.
- Support for Legal in looking for a new application for time tracking, case management and insurance management.
- Support for HR on the Talent Map Survey regarding work conditions in the Covid-19 Pandemic.
- User survey conducted on cyber readiness for all staff.
- Continued education on cyber training to staff and council through the Niagara Region phishing program and broader corporate communications.
- Continue to monitor and enable features of the Region's security access controls and invest in vulnerability software to safeguard the corporation's assets and data.

Operational Outlook

1/3/6 months

- Continued support for COVID-19 initiatives while supporting and enabling staff to work from home. Prior to COVID-19 daily average for the number of remote connections was approximately 90 users, current daily average is 1270 users.
- Ongoing updates to the screening questions used by EMS in their tool 'EMS Tools'.
- Ongoing COVID-19 data analytics including internal operations supports and external data visualizations - Launched enhanced stats on external website including municipal breakdown.
- Implemented technology and processes to accommodate electronic public participation in Council and Committee meetings.
- Went live with the "Homelessness Reporter" for Community Services that will allow staff to track and monitor homeless in Niagara.

- Automated Public Health EOC status report for daily briefing and Ministry submission.

LEGAL SERVICES

Current Status of Operations

As indicated for all of the Corporate Services Departments Legal Services continues to deliver core services, while at the same time providing a significant level of support in response to the COVID-19 pandemic to the Region's EOC and all operating departments.

The Legal team performs a key role in the Region's EOC providing risk management and legal advice. The team provides ongoing legal support to the Region's EOC and operating departments in particular related to the interpretation and implementation of new provincial legislation and Emergency Orders that have been issued throughout the pandemic. Highlights of advice and legal support provided include:

- Advice and legal support related to the development and implementation of the Region's face covering by-law;
- Advice related to impact of emergency orders on procurement and construction to ensure the continuation of essential Regional capital projects and help minimize pandemic-related project costs and disruptions;
- Advice to Public Health to support the issuance of Orders under the Health Protection and Promotion Act;
- Legal support related to the enforcement and communication of various regulatory requirements imposed in response to the pandemic;
- Risk management advice on building screening and security issues; and
- Advice related to recovery planning/reopening of Regional facilities.

Operational Outlook

1/3/6 months

The Legal team continues to provide advice and support to operational departments on core business activities, including risk management and insurance advice and litigation support. The team also continues to provide additional support for REOC and COVID-19 related matters as required, with the majority of the team working remotely.

COURT SERVICES

Current Status of Operations

The Court Services team is overseen by the Region's legal department on behalf of the joint board of management, between the Region and area municipalities.

Highlights of operational changes to Court Services:

- Facility reopened to the public effective September 14, 2020 for counter service only. Remote service continues to be leveraged wherever possible.
- Direction from the Ministry of the Attorney General (MAG) has been received indicating that all in-person matters have been adjourned to at least January 25, 2021. Further guidance is pending from MAG regarding protocols to re-commence in-person proceedings. There has been ongoing collaboration with Facilities and Corporate Health & Safety to prepare for resumption of in-person court matters, utilizing the initial Recovery Secretariat Guidelines provided by the MAG.
- Since July 6, 2020 judicial pre-trial matters and early resolution guilty pleas have been conducted remotely where eligible, before a Justice of the Peace via audio conference.
- Since October 19, 2020 non-trial remote matters have been conducted remotely where eligible, before a Justice of the Peace via audio conference.
- Amendments to the Provincial Offences Act made pursuant to Bill 197, the COVID-19 Economic Recovery Act, 2020, received Royal Assent came into

effect July 21, 2020. These amendments have enabled Court Services, in consultation with the judiciary, to make greater use of technology to deliver justice services remotely. These updates include:

- Allowing defendants to request a trial, in early resolution courts and in first attendance municipalities that administer parking, by mail or other electronic method permitted by the court house;
 - Allowing defendants and prosecutors to conduct early resolution discussions remotely in all cases; and
 - Allowing any participant, including a clerk of the court, witness, judge, or justice of the peace, to attend any proceeding remotely by audio or video, unless the presiding judicial official orders otherwise.
- Court services is well equipped to deliver these services remotely, and has begun to do so, based on extensive preparation for remote matters in addition to the modern technology available onsite at the courthouse facility. Further guidance is pending from MAG regarding electronic protocols to enable further transition to remote proceedings.

Operational Outlook

1/3/6 months

Continue to provide customer service support remotely wherever possible, and in-person via counter service where required. Continue to conduct eligible remote court matters electronically while awaiting resumption of in-person court proceedings.

ASSET MANAGEMENT OFFICE

Current Status of Operations

AMO staff continue to support core business functions during the pandemic. Some highlights of these actions include:

- Planning and leading the development and submission to the Province of the 2021 Asset Management Plan in accordance with Reg 588.
- Initiated development of a corporate Asset Registry focusing on the asset hierarchy to support the 2021 AMP.
- Continuing development of the Region's Enterprise Risk Management Framework.

Redeployed staff have returned and focus is on reintegrating into work plan for the Division.

Projects to improve the Region's Asset Management System (AMS) require participation and collaboration from staff across the organization. Given the impact of COVID-19 on divisional plans and resources, the ability of Region staff to focus time on the AMS projects is limited and will have further impact on the schedule of 2020 projects. A schedule assessment indicates the majority of planned 2020 projects are now delayed while some are on hold due to the previous staffing levels.

The overall 5-year plan has been impacted and will be re-evaluated in Q2 2021 with short-term adjustments made over the next few months.

Operational Outlook

1/3/6 months

The Asset Management System development projects that are underway (Priority 0) and those planned in the coming months (Priority 1) are tabled below. These projects are directly related to the requirements of the 2021 Asset Management Plan.

Table 1: Asset Management System development projects

Priority	Service availability by Phase	Current status	
		Project	
0	PNM	Delayed	Region AM delivery structure ID 112
0	PNM	Delayed	AM program foundations ID 430
0	PNM	Pilot completed	CAMRA - Risk Management Framework ID 248
0	M	Delayed	Develop data analytics capabilities- Microsoft BI ID 530
0	PNM	Delayed	Develop AM performance management KPIs ID 410
0	PNM	Inaugural meeting set 13 Nov	Niagara Region AM working group ID 512
0	PNM	Initiated	Process for preparing the AM Plan ID 210
1	PNM	Delayed	Capital planning process ID 262
1	PNM	Initiated	Enterprise Risk Management Framework ID 249
1	PNM	Initiated	Develop Asset Registry - hierarchy and relationships ID 242
1	C	On hold pending resource evaluation	Project Resource Estimating - cost model ID 310
1	PNM	Pending ID 210	2021 AMP ID 630

Notes: PNM: No changes but delivered differently - e.g. working remotely

C: Cancelled pending redeployed/ staff vacancies and resource evaluation

Other planned 2020 projects not tabled above, and that have only an indirect bearing on the 2021 Asset Management Plan, or are related to supporting Niagara's local municipalities are also on hold until staffing issues have been resolved.

BUSINESS LICENSING

Current Status of Operations

Similar to the other departments in Corporate Services, the Business Licensing unit has continued to operate with core service delivery as well as play a role in the Region's EOC and response to Provincial O.Reg enforcement. These activities are identified separately.

Business Licensing

- Continue processing, and issuance of business licenses including fee payments and response to enforcement and inspection requirements.
- Developing office protocols for streamlined business licensing processes under COVID-19 restrictions including the issuance of licenses at set times in the lobby of the facility.
- Investigating permanent eCommerce licensing sales and software database updates. Currently using Region website ecommerce credit card payment options for license fee payments.
- Establishing industry specific contacts with various law enforcement agencies including NRPS, OPP, MTO, MOE and AGCO as well as local by-law enforcement agencies.

Provincial Order Enforcement

The provincial government requires continued enforcement of provincial orders by municipalities. Business Licensing staff maintain availability for active enforcement and inspection measures for the orders and provide support to local municipalities and Niagara Regional Police. They provide both random inspections and complaint driven inspections 7 days a week.

- 3 staff have been re-assigned to enforce the Provincial Orders and are providing 7 day a week coverage from 10:30 am to 8:30 pm. Sunday to Thursday and 1:30 pm to 12:00 am Friday and Saturday. Staff remain assigned to this until further notice or when the orders and state of emergency are lifted. Hours of operation and days of service are assessed weekly and are adjusted to meet demands and pressures.
- Staff respond to Provincial Order and Regional Face Covering By-law complaints to assist the local response and also conduct random compliance inspections. Staff also continue to ensure Region licensed businesses are following order requirements and adherence to the Regional Licensing Bylaw.
- Provincial Order enforcement, including education, warnings, charges and summons for the Re-opening Ontario Act.
- Regional Face Covering By-law enforcement including education, warnings and summons.
- Provide Provincial O.Reg enforcement data to the Ministry of the Solicitor General weekly.

Operational Outlook

1/3/6 months

- The Regional Enforcement Manager will continue to work with local municipalities, NRPS and other Regional departments and external agencies in a coordinated approach to enforcement of Provincial Orders and Regional Face Covering Bylaw until the pandemic eases.
- The business license bylaw review is ongoing and will come before Council in February of 2021.
- Reviewing Business Licensing impacts on licence holders within the Region due to the COVID-19 pandemic.

INTERNAL AUDIT

Current Status of Operations

Internal Audit is currently managing KPMG towards the completion of an audit focussing upon non-competitive purchases. This should be completed in Q4 with a report coming to Audit Committee in late 2020 or early 2021.

Internal Audit is working with client groups and consulting with several jurisdictions to scope out cyber security and IT related audits to commence in the new year. Internal Audit is also updating the Management Action Plan report to be presented at the December Audit Committee meeting. In 2021, Internal Audit will be presenting to Audit Committee its annual risk based work-plan.

Operational Outlook

1/3/6 months

As part of a more comprehensive operational strategy for the internal audit function a draft audit plan will be developed and presented to Audit Committee in the new year which will include a succinct risk assessment to identify and prioritize future audits for the next 2-3 years.

Internal Audit will present the results of the non-competitive procurement and commence work on the Bio-Solids value for money audit within the next 2-4 months.

Respectfully submitted and signed by

Todd Harrison, CPA, CMA
Commissioner, Corporate Services/Treasurer

Q3 2020 Financial Update

Corporate Services Committee
CSD 76-2020

December 9, 2020

Melanie Steele, Associate Director, Reporting & Analysis

NIAGARA REGION

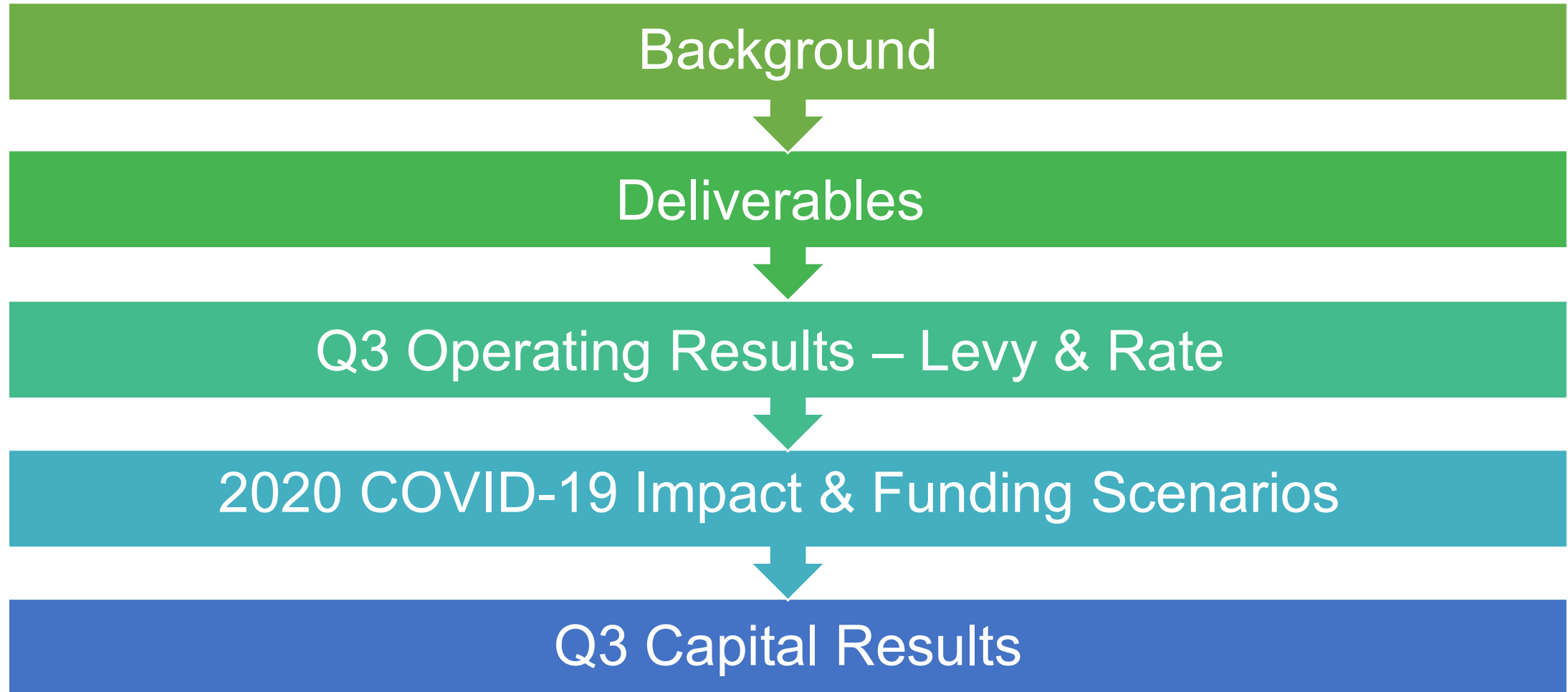
2020

Q3 FINANCIAL UPDATE
SEPTEMBER

Q3 2020 Financial Update

Corporate Services Committee
December 9, 2020

Agenda

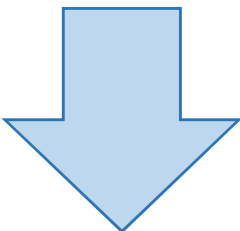


Background

Polices that guide our **financial strategy** and how we allocate resources:

Budget Planning By-Law

Capital Financing Policy



Policies that guide our **financial reporting** requirements:

Budget Control By-Law

Reserve and Reserve Fund Policy

Operating Surplus / Deficit Policy

Financial Reporting and Forecasting Policy

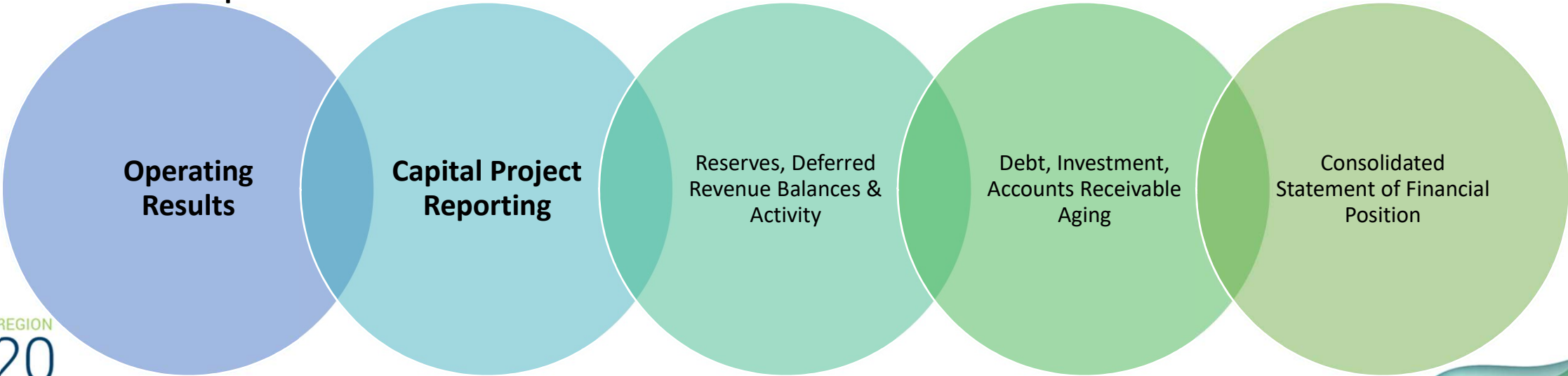
Deliverables

Q3 2020 Financial Update is available on the Niagara Region’s external website:

[September 2020 Financial Report](https://www.niagararegion.ca/business/finance/quarterly-reports/default.aspx)

(<https://www.niagararegion.ca/business/finance/quarterly-reports/default.aspx>)

The report contains information on:



2020 Key Messages as of Q3

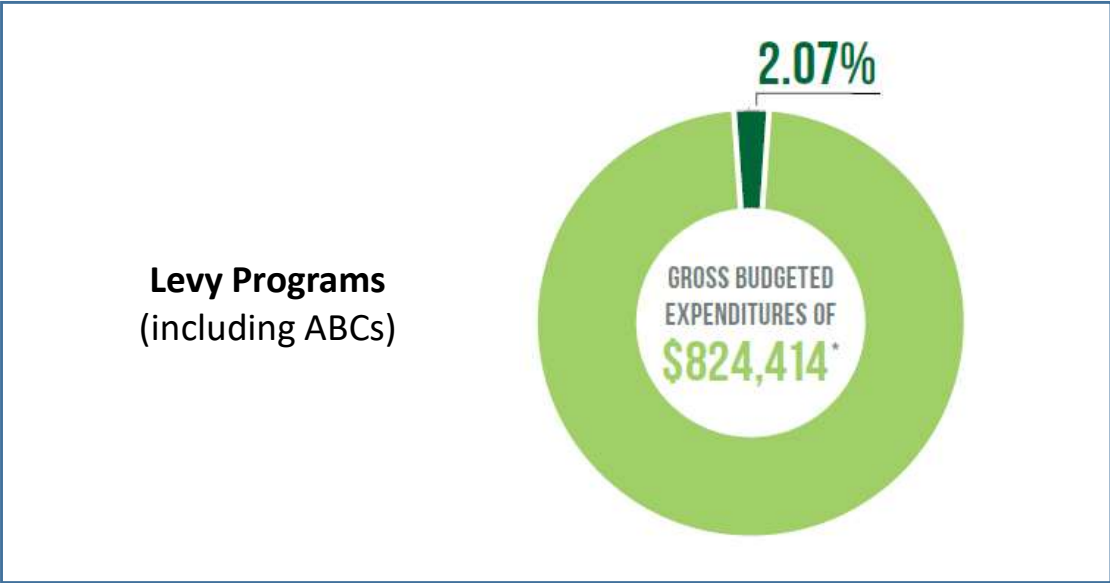
- Assumptions built into this forecast are fluid and changing rapidly
- Recovery planning assumptions revised for redeployments, gapping, incremental staffing
- Does not include additional funding for Public Health
- Safe Restart funding received applied to 2020 COVID costs
 - Levy surplus (estimated \$17 to \$23 million) will be used to mitigate 2021 budget
- Application for Phase 2 Safe Restart funding was submitted November 6th



Q3 Summary Results

Levy Programs

(in thousands)	Forecasted Surplus / (Deficit) (after indirect allocations)	Percentage of Gross Budget
Regional Departments and General Government	19,504	3.51%
Agencies, Boards and Commissions (ABCs)	(2,431)	-0.91%
Total Levy Supported Programs	17,073	2.07%



* Includes transfer, intercompany charges and indirect allocations

Q3 Summary Results

Regional Departments and General Government Drivers

(in thousands)	Forecasted Surplus / (Deficit) (after indirect allocations)	Percentage of Gross Budget
Regional Departments and General Government	19,504	3.51%
Agencies, Boards and Commissions (ABCs)	(2,431)	-0.91%
Total Levy Supported Programs	17,073	2.07%

Factors impacting Regional Departments (Surplus of \$19,504):

- Safe Re-Start & program-specific COVID-related funding (+\$30,798)
- Incremental COVID-related staffing, supplies & personal protective equipment in Community Services and Public Health (-\$17,032)
- Staffing vacancies and benefit savings (+\$10,723)
- Decrease in supplemental tax revenue and increase in investment income allocation to reserves (-\$6,784)
- NRT/NST COVID-19 service impacts and expansion delays (+\$5,468)
- Incentive grant program uptake and development charge grants (+\$6,278)

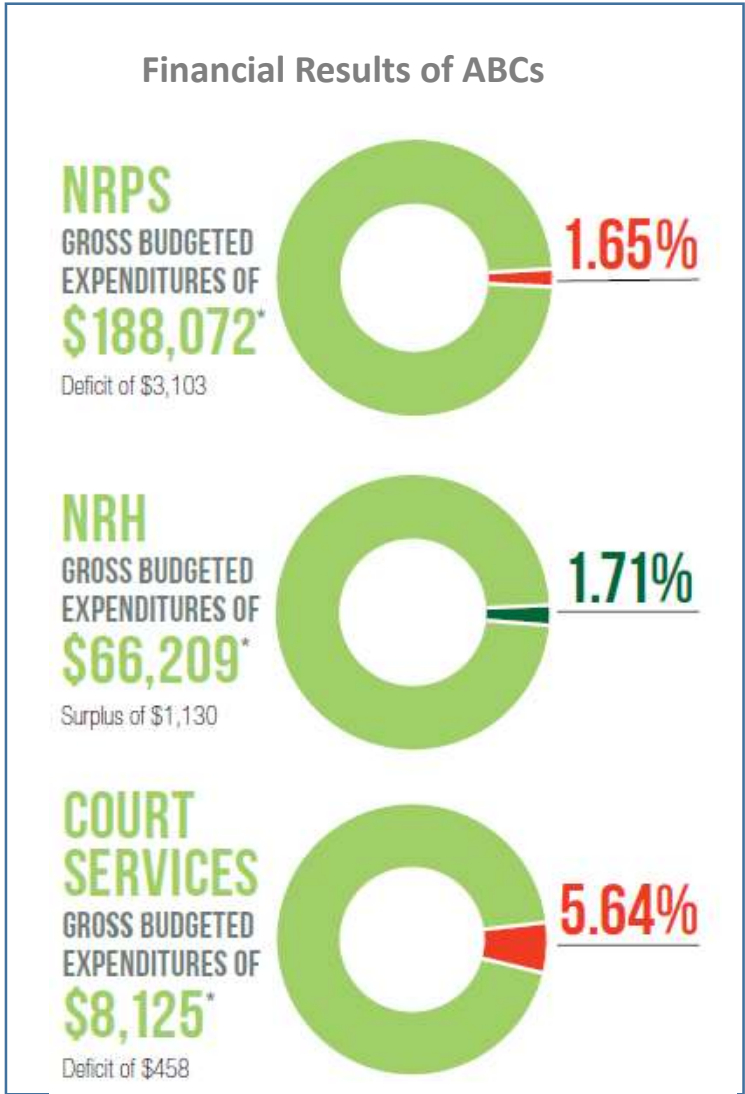
Q3 Summary Results

ABC Drivers

(in thousands)	Forecasted Surplus / (Deficit) (after indirect allocations)	Percentage of Gross Budget
Regional Departments and General Government Agencies, Boards and Commissions (ABCs)	19,504 (2,431)	3.51% -0.91%
Total Levy Supported Programs	17,073	2.07%

Factors impacting ABCs (Deficit of \$2,431):

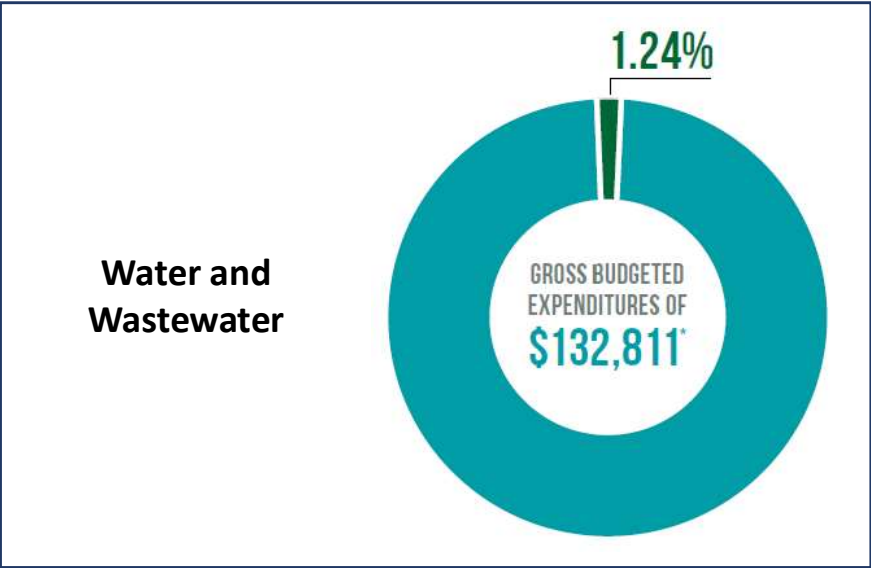
- **NRPS** – Revenue decrease mainly due to Casino closures and increase self insurance costs (-\$6,400) offset by labour-related costs (+\$3,255)
- **NRH** – Labour-related costs savings, deferred maintenance , reduced co-op provider subsidies and increased rental revenues (+\$1,364) offset by capital grants (-\$625)
- **Court Services** – Decreased revenues (-\$1,655) offset by labour-related costs savings, decreased court costs and reduced distribution to LAMs (+\$1,199)



Q3 Summary Results

Rate Programs

(in thousands)	Surplus (after indirect allocations)	Percentage of Gross Budget
Water and Wastewater	\$ 1,649	1.24%
Waste Management	396	0.71%
Total Rate Supported Programs	\$ 2,045	1.09%



* Includes transfer, intercompany charges and indirect allocations

Q3 Summary Results

Rate Drivers

(in thousands)	Surplus (after indirect allocations)	Percentage of Gross Budget
Water and Wastewater	\$ 1,649	1.24%
Waste Management	396	0.71%
Total Rate Supported Programs	\$ 2,045	1.09%

Factors Impacting Water & Wastewater (Surplus of \$1,649):

- Labour-related costs (+\$781)
- Repair & maintenance work (+\$1,135)
- Water sales (-\$703)
- Sludge disposal and management (-\$390)
- Chemical costs (-\$393)

Factors Impacting Waste Management (Surplus of \$396):

- Labour-related costs, including MRF (+\$367)
- Environmental monitoring/landfill operations (+\$379)
- Garbage tag revenues, Blue Box funding (+\$263)
- Recycling commodity market revenue (-\$262)
- Tipping fee revenue (-\$643)

2020 COVID-19 Impact & Funding Scenarios

- \$48.6 million in gross costs (\$46.9 levy-related)
- \$17.8 million in net costs after confirmed funding (\$16.1 levy-related)
- \$19.1 million forecasted surplus after mitigations (\$17.1 levy-related)

(in thousands)						
	Worst Case		Likely Case		Best Case	
Total Levy Supported Programs	\$	17,073	\$	17,073	\$	17,073
Public Health Funding		-		1,872		1,872
Seniors Services Funding		-		1,711		1,711
EMS Funding		-		-		2,499
Safe Restart Municipal Funding - Phase 2		-		-		TBD
2020 Funds available for 2021 Budget	\$	17,073	\$	20,656	\$	23,155

Stabilization Reserve Targets

Target per Policy is 10% to 15% of operating expense

Assumes all levy surplus in 2020 will be used to fund 2021 COVID-19 budget pressures

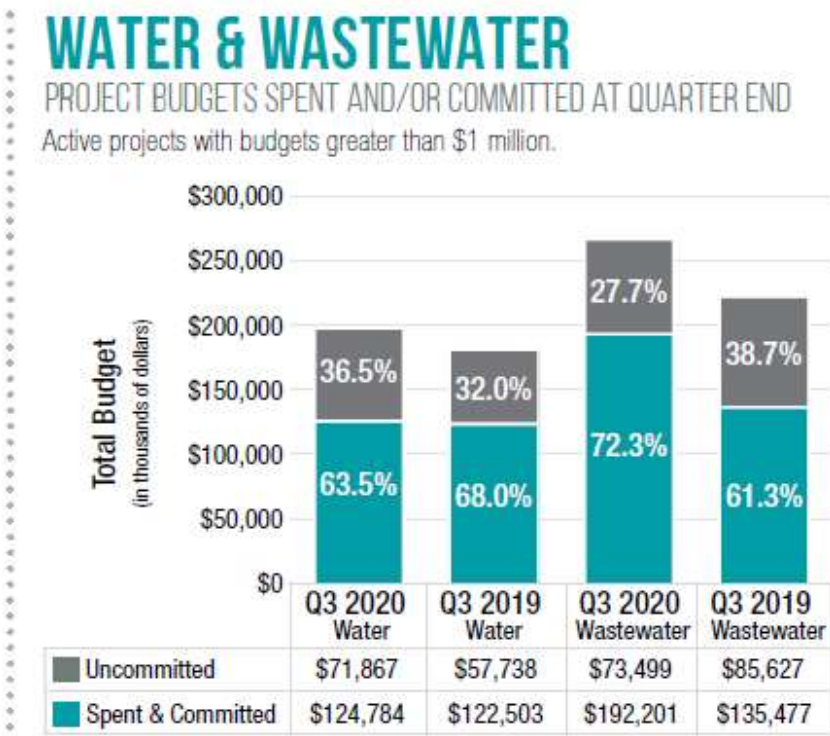
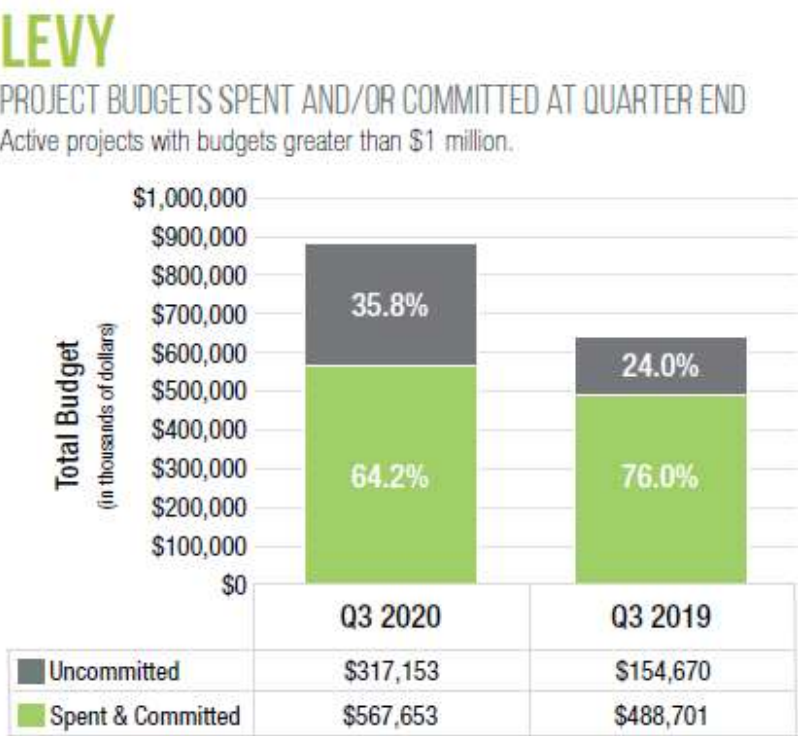
Balances below target impact the ability to manage operational risks

(in thousands)	Reserve Balance	Reserve Target Balance		Conclusion
	forecasted at December 31, 2020	Low (10%)	High (15%)	
Taxpayer Relief (*)	\$ 23,204	\$57,263	\$85,895	Underfunded
Water Stabilization	\$ 3,794	\$2,387	\$3,581	Sufficiently Funded
Wastewater Stabilization	\$ 2,309	\$6,476	\$9,715	Underfunded
Waste Management Stabilization	\$ 5,344	\$5,296	\$7,944	Within Funding Targets
Police Contingency	\$ 703	Assessed by NRPS		
Police Services Board Contingency	\$ 242			

* When setting targets, Niagara Region considers all levy gross expenditures, excluding ABCs.

Capital Project Status

Projects with budgets greater than \$1 million



Lower % spent & committed trends partially attributable to COVID-19 focus on **urgent/essential procurements** and overall **increased capital budget** to address infrastructure gap

Capital Variance Project



As of Q3 2020, **\$9.6 Million** has been made available for future capital

\$7 Million of this amount has been **committed to the 2021 capital budget**

Next Steps

- Awaiting announcements on Safe Restart Phase 2 funding – to be incorporated in to year-end report
- Staff have identified 2021 COVID-related pressures, which are being incorporated into the 2021 budget planning to be presented to Council in January 2021.

Questions?

Melanie Steele
Associate Director, Reporting & Analysis



Subject: Q3 2020 Financial Update
Report to: Corporate Services Committee
Report date: Wednesday, December 9, 2020

Recommendations

1. That the September 30, 2020, Q3 Financial Update of the Regional Municipality of Niagara ("the Region") **BE RECEIVED** for information.

Key Facts

- Quarterly financial updates are provided as of June, September and December each year and include: forecasted operating results; capital project reporting; reserves and deferred revenue; investments; debt; consolidated statement of financial position and accounts receivable.
- Due to COVID-19, staff have been providing Council with monthly financial reports highlighting the potential impacts of the COVID-19 pandemic in the Region. This Q3 report provides the most recent comprehensive financial report of all Region operations in 2020 and consolidates all impacts, both COVID-19 related and non-COVID-19 related.
- Regional departments and General Government are projecting a surplus of \$19.5 million (3.51% of budget) at year-end. Levy-supported programs (Regional Departments consolidated with ABC's) are projecting a surplus of \$17.1 million (2.07% of budget) at year-end.
- Rate supported programs (Water and Wastewater Services and Waste Management Services) are projecting a surplus of \$2.0 million (1.09% of budget) at year-end.
- The above results include the Region's current estimate of the 2020 total gross cost related to the COVID-19 pandemic is \$48.6 million. Total regional gross cost (including all Local Area Municipalities, LAMS) is estimated at \$79 million.
- At the time of writing this report, the Region had submitted its application for additional Phase 2 funding through the Municipal Safe Re-start funding from the Province of Ontario based on the net COVID-19 related costs incurred, but have not received confirmation yet regarding eligibility.
- Sustainable variances identified through the quarterly reporting exercise have been considered in the development of the 2021 budget.
- The 2021 projected net budget pressure related to ongoing COVID-19 measures to date is \$19.5 million or 4.97 % for levy programs, \$0.1 million or 0.32% for waste

management, and a savings of \$0.1 million or 0.07% for water/wastewater programs. These estimates will continue to be refined as new information is received. To date, limited 2021 funding announcements from upper levels of government have occurred and the estimates include only confirmed funding sources. Should additional funding sources be received, this would reduce the pressure identified.

- Departments prepare forecasts using assumptions and estimates based on information available at the time of writing the quarterly financial updates. All financial implications quantified in this report include estimates up to December 31, 2020 unless otherwise noted. Estimates in this report are fluid and changing, and as a result, the forecasts contain inherent risks and actual results may differ.

Financial Considerations

Full analysis and explanation of the levy and rate-supported program forecasts can be found in the Q3 2020 Financial Update Report on the Region's website at the link below and in Appendix 1. The report is compliant under the Accessibility for Ontarians with Disability Act. Hard copies of the report can be made available upon request.

[Q3 2020 Financial Update](#)

<https://www.niagararegion.ca/business/finance/quarterly-reports/default.aspx>

Due to the COVID-19 emergency, the Region's results and forecasts are continuously being updated for new information and changes in assumptions. At the time of writing this report, it still remained difficult to quantify the full financial impact as the Region is actively making decisions around its recovery plan and details of several funding announcements remain outstanding.

A high-level analysis of the financial results below is provided in the analysis section of the report. For additional details, please reference the Q3 2020 Financial Update Report.

Table 1: Q3 2020 Results Summary

(in thousands)	Forecasted Surplus/(Deficit) after indirect allocations	Percent of Budget
Regional Departments and General Government	\$19,504	3.51%
NRPS	(3,103)	1.65%
NRH	1,130	1.71%
Court Services	(458)	5.64%
NPCA	0	0.00%
Total Levy Supported	\$17,073	2.07%
Water and Wastewater	\$1,649	1.24%
Waste Management	396	0.71%
Total Rate Supported	\$2,045	1.09%

Niagara Region's levy programs are operating at a forecasted surplus of \$17,073 after applying all known government funding announcements, including the Phase 1 Municipal Safe Re-start funding. Staff would recommend that all COVID-19 related funding received for 2020 be applied to 2020 COVID-19 related net costs, and that any surplus at year-end arising from strategic mitigation efforts and redeployments be allocated to the Taxpayer Relief Reserve, to then be utilized to offset 2021 budget pressures. Given unknowns around additional Public Health and Seniors Services funding, staff have prepared the following worst to best case scenarios for 2020 in Table 2 below. An application has been submitted for Phase 2 Municipal Safe Re-start funding; however, it currently unknown at the time of writing this report whether the Region will receive any additional funding.

Table 2: Levy Funding Available for 2021

(in thousands)	Worst Case	Likely Case	Best Case
2020 Levy Supported Programs Surplus	\$ 17,073	\$ 17,073	\$ 17,073
2020 Possible Public Health Funding	-	1,872	1,872
2020 Seniors Services Funding	-	1,711	1,711
2020 EMS Funding	-	-	2,499
Safe Restart Municipal Funding - Phase 2	-	-	Unknown
Funds available for 2021 Levy Budget	\$ 17,073	\$ 20,656	\$ 23,155

Recommendations to address final surpluses and/or deficits will be brought forward to Council as part of the Year-End Transfer report.

Analysis

The Q3 2020 financial results are being driven by many different factors, which are outlined below. Since our previous report CSD 69-2020 on October 22, 2020, information has been received and assumptions have been updated. The main changes between the October report and the current analysis are due to a comprehensive Q3 analysis, which resulted in refinement of many non-COVID related items, as well as application of the Phase 1 Municipal Safe Re-start funding in the forecast.

Levy Supported Programs (all amounts in thousands of dollars):

Regional Departments and General Government have a forecasted year-end surplus of \$19,504 (3.51% of budget). The forecasted surplus is driven in large part by Phase 1 Municipal Safe Re-start funding from the Province of Ontario that will offset some of the COVID-19 related costs that have been incurred since the start of the pandemic. In the absence of known external funding to support incremental costs such as investments in additional staff support and supplies in Community Services and Public Health to support the COVID-19 emergency, the Region worked to mitigate these increases through the redeployment of existing staff resources from other departments in order to provide support to those areas in need of additional resources and re-prioritizing and deferring planned work. There was also a pandemic-related hold on recruitment for staffing vacancies and reduced health and dental benefit claims due to closures and restrictions, which generated savings in compensation costs.

In addition, there are forecasted savings related to reduced uptake in planning and economic development grants and development charge grants, as well as net savings resulting from reduced transit services costs in both Niagara Regional Transit and Niagara Specialized Transit as a result of lower ridership and schedule reductions, partially offset by corresponding reduced transit fare revenue.

These cost savings have been partially offset by a forecasted decrease in supplemental tax revenue resulting from lower than anticipated growth, as well as reduced investment income due to the reduced Bank of Canada rate and an allocation of investment income

to the rate reserves and deferred revenues that is higher than budgeted in alignment with the reserve and reserve fund policy.

The ABCs are forecasting a year-end deficit of \$2,431 (0.91% of budget) at year-end. This forecasted deficit is primarily driven by lost revenue in Niagara Regional Police from reduced OLG payments through the City of Niagara Falls due to the closure of casino operations, as well as lost revenues from reduced fine payments, both as a result of the COVID-19 pandemic. These revenue reductions are partially offset by savings in labour and other related costs due to the pandemic.

Rate Supported Programs (all amounts in thousands):

Water and Wastewater Services

Water and Wastewater Services has a forecasted net surplus at year-end of \$1,649 (1.24% of budget), which is comprised of forecasted surpluses in the water division of \$730 and in the wastewater division of \$919.

The surplus is primarily driven by savings in labour-related costs arising from a pandemic-related hold on recruitment for staffing, as well as savings in preventative maintenance and repair work and Asset Management software implementation that have been deferred due to COVID-19.

These savings are partially offset by decreased water sales in the water division due to reduced water usage combined with a wet spring, and increased sludge management and chemical costs due to increased pricing.

Waste Management

Waste Management Services is forecasting a surplus at year-end of \$396 (0.71% of budget). Savings related to staffing vacancies and reduced labour costs at the Material Recycling Facility, in addition to reduced contract costs for environmental monitoring and collection contract adjustments, are the main drivers of the forecasted surplus.

These surpluses are partially offset by lower than anticipated recycling market revenues for the sale of recyclable commodities, as well as reduced tipping fees due to temporarily limiting non-essential trips to the drop-off depots and the waiving of tipping

fees for large household items, and reduced commercial shredding and recycling revenue due to business closures as a result of the COVID-19 pandemic.

COVID-19 Financial Impacts Summary

In order to better understand the financial results as they relate to the COVID-19 emergency, staff continue to track costs directly related to the emergency. Total gross cost related to the emergency is \$48.6 million, with a net cost after program-specific and Phase 1 Municipal Safe Re-start funding of \$17.8 million, as outlined in the table below. This has been incorporated in the comprehensive financial results discussed above. The table below also considers strategic and other mitigations (offset by additional non-COVID pressures) that the Region has been able to put in place to help manage the cost of the emergency, resulting in a total net estimated surplus of \$19.1 million. All estimates in the analysis have been made up to December 31, 2020 unless otherwise noted in Appendix 2.

Table 3: 2020 COVID-19 Financial Impact Summary

(in thousand)	Levy	Water/ Wastewater	Waste Management	Total
Total Gross Cost	46,849	1,016	692	48,557
Less: Confirmed Funding Matched to Expenses	(30,798)	-	-	(30,798)
Net Cost to Region	16,051	1,016	692	17,759
Less: Strategic and Other Mitigations	(12,521)	(2,488)	(1,039)	(16,048)
Less: Redeployed resources	(20,603)	(177)	(49)	(20,829)
Net budget deficit/(surplus)	\$ (17,073)	\$ (1,649)	\$ (396)	\$ (19,118)

Further detail on the corporate assumptions and cost categories can be found in Appendix 2. Also, a more detailed breakdown by operating department can be found in Appendix 3.

The Region has also been coordinating with local area municipalities to consolidate the full impact to Niagara residents. While all municipalities have been reporting to their Council using different estimates, assumptions and reporting schedules, the estimated consolidated (Region and LAMs) total gross cost is \$79 million.

Funding Announcements

The Region has received announcements of confirmed funding sources of \$37.8 million to support the COVID-19 emergency, as identified below. The funding sources will be utilized as outlined by each different agreement, with an estimated \$30.8 million (\$18.6 million in program-specific funding and \$12.2 million in Municipal Safe Re-start funding) being recognized in the 2020 operating results.

Table 4: Confirmed Funding Announcements

(in thousands)	Amount	2020 Operating	2021 Operating	Capital	To be allocated
Social Services Relief Fund - Phase 1 (Note 1)	\$ 2,408	\$ 1,859	\$ 549	\$ -	\$ -
Reaching Home Funding (Note 1)	1,253	852	401	-	-
Social Services Relief Fund - Phase 2 (Note 1)	3,014	465	548	2,000	-
Community Response Fund	63	63	-	-	-
Reaching Home Funding - Phase 2 (Note 1)	1,705	-	-	-	1,705
Childrens Services Fees Subsidy Funding Reallocation	720	720	-	-	-
School Focused Nursing Initiative (Note 2)	1,827	707	1,120	-	-
Case and contact management funding	32	11	21	-	-
Transit Bus Cleaning	27	27	-	-	-
Safe Restart - Transit Phase 1 Funding (Note 3)	-	-	-	-	-
Safe Restart - Child Care Funding	4,533	4,533	-	-	-
Long-term Care - Emergency Funding	3,071	3,071	-	-	-
Long-term Care - Infection Prevention & Control Funding	774	774	-	-	-
Long-term Care - PSW Wage Enhancement	1,297	648	648	-	-
Pandemic Pay (Note 4)	4,883	4,883	-	-	-
Sub-total of program specific funding	25,607	18,614	3,288	2,000	1,705
Safe Restart - Municipal Phase 1 Funding	12,185	12,185	-	-	-
Total	\$ 37,792	\$ 30,798	\$ 3,288	\$ 2,000	\$ 1,705
<p>Note 1: Incremental funding to cover full fiscal year of April 1, 2020 to March 31, 2021.</p> <p>Note 2: Estimated based on 20 FTE notice provided.</p> <p>Note 3: Funding allocation was \$609,693. Based on terms of funding and no net eligible expenditures, it will be returned.</p> <p>Note 4: Pandemic payments from April 24 to August 13. Including payments to 3rd party agencies.</p>					

In addition to the confirmed funding announcements above, the Region is monitoring the following announcements. The timing and allocation to Niagara Region of these funding announcements is uncertain at this time.

- An additional \$540 million of provincial funding for continued prevention and containment of COVID-19 (for example, screening staff, additional staff, and personal protective equipment) in long-term care homes. The total funding originally announced was \$88.3 million. Monthly funding allocations have been received for April through September.
- The federal-provincial governments will provide \$4 billion to Ontario municipalities to help fund a "safe re-start" of the economy. Phase 1 funding has

been confirmed. Phased 2 funding availability will be based on reporting and need.

- An additional \$250 million in federal-provincial funding through the COVID-19 Resilience Infrastructure Stream to support public infrastructure, defined as tangible capital assets, including temporary infrastructure related to pandemic response, primarily for public use and/or benefit. Niagara Region will be eligible for funding up to \$2.5 million, but will need to complete applications on eligible projects to receive the funding. Staff are currently working to identify eligible projects.
- Ontario Works has been closely monitoring caseload. It is not expecting to see increased caseload in 2020 but may see increase in 2021. If increased caseloads occur the Region would expect to see increased funding to support an increase in subsidy claim payments to Ontario Works clients.
- The Province has indicated that it plans to work with municipal service managers to support Children's Services operations to minimize shortfalls.
- The Province has announced that it plans to defer further reductions to the public health funding formula in 2021.
- The Province has issued a memorandum to Public Health saying they plan to help support incremental costs and the Region has submitted reports to the province. No details on allocation have been provided yet.

2021 Budget Pressures

On June 25, Council endorsed a budget planning strategy for 2021. This strategy includes identifying and quantifying separately all COVID-19 related budget considerations. Additionally, Council expressed interest in being informed on a more regular basis of the other base service delivery pressures so that both the COVID-19 and these base pressures could be understood collectively.

At this time staff have been working to identify and quantify the COVID-19 operating budget pressures. The Region's recovery planning activities are currently underway and the decisions of this plan drive many of the budget impacts. At the time of this report staff have identified 2021 net budget pressures related to COVID-19 as \$19.5 million, which are summarized by program area below. In the spirit of Council's priority to minimize tax increases, staff have developed a 2021 funding strategy for COVID-19

related pressures that leverages phase 1 Safe Restart, 2020 surplus, assessment growth allocation and stabilization reserves. This will be presented to Council through the levy budget presentations in January and will ensure no increase to the tax levy for COVID-19 in 2021.

Table 5: 2021 Net COVID-19 Related Budget Pressure by Department

(in thousands)	Amount	Increase %
General Government & Corporate	\$ 1,008	0.26%
Corporate Administration	57	0.01%
Corporate Services	1,434	0.37%
Court Services	39	0.01%
Niagara Regional Housing	605	0.15%
NRPS	1,050	0.27%
Transportation	(74)	-0.02%
Public Health		
Public Health	5,615	1.43%
Emergency Medical Services	788	0.20%
Community Services		
Seniors Services	7,487	1.91%
SAEO	-	0.00%
Childrens Services	267	0.07%
Homelessness	1,230	0.31%
Levy Budget Pressure	19,506	4.97%
Water & Wastewater Services Pressure	(92)	-0.07%
Waste Management Pressure	\$ 126	0.32%
Total	\$ 19,540	4.98%

To better understand the components, a summary of items by category is provided below. The following is of note:

- The most significant pressure relates to required incremental staffing across the corporation and the creation of a pandemic division within public health.
- No new funding sources (outside of the homelessness program, which has identified funding until the end of its fiscal year of March 31, 2021, and specific school-funded nurses) have been identified from other levels of government. Should additional funding sources be received, this would reduce the pressure identified.
- The costs assume the Region will end current redeployment between departments and acquire incremental staffing to support the needs of these departments. It is anticipated these resources would be secured on a temporary basis until long-term clarity on sustainable funding is received.

- We have excluded the cost of the COVID-19 vaccination program in the 2021 proposed budget. Once we have a better understanding of the cost and funding model for this program, a report will be written to Council outlining the financial implications and requesting a budget adjustment as required. Should costs for the program be incurred in advance of funding, staff will ensure they are tracked separately and can be reported on. The Region would rely on its current working capital to cash flow program purchases as required. If external funding is not sufficient to cover the costs of the program, staff would recommend drawing on the Taxpayer Relief Reserve through the 2021 year-end transfer report per the Operating Surplus/Deficit Policy C-F-022.

Table 6: 2021 COVID Related Budget Pressure by Category

(in thousands)	Amount	Increase %
Staffing	\$ 7,789	
Pandemic Division	5,465	
Personal Protective Equipment	1,919	
Cleaning & Sanitation	1,914	
Equipment	116	
Shelter	2,440	
Agency Support	244	
Vaccination Program	Not included	
Rent Subsidy	192	
Lost Revenue - Transit	3,462	
Lost Revenue - NRPS OLG	1,050	
Lost Revenue - Taxes	1,008	
Lost Revenue - Other	303	
Cost Savings - Transit	(3,623)	
Cost Savings - Other	(284)	
Other	164	
Total Gross Cost	22,159	
Confirmed Funding	2,619	
Total Net Cost	\$ 19,540	4.98%

In addition to the items above, the Region and local area municipalities have been monitoring water and wastewater flow data. Reduction in water usage does not change the total water/wastewater budget; however, it can put increased pressure on the volumetric rates used by both the Region and the local area municipalities or it could result in a shortfall in revenues. The current decline in water usage is generally driven by the business/commercial sector due to mandatory COVID-19 closures, and therefore the increase in rates would create a shift in the burden to the residential sector if business closures continue into 2021. The current strategy will be to maintain volumes

in the 2021 budget to minimize impact on the water/wastewater rate due to COVID-19. Should actual volumes be below budget, staff will recommend drawing on the taxpayer relief reserve in 2021 through the year-end transfer report to fund the water sales deficit.

Alternatives Reviewed

Forecasts for the year are provided using the best information and estimates based on circumstances known at the time of the financial update.

Staff are working with both the area municipality treasurers within Niagara Region and with colleagues across the province (through the Ontario Regional and Single-Tier Treasurers group) to share ideas and strategies to respond to the financial and operational impacts of this pandemic.

Relationship to Council Strategic Priorities

Forecasting financial results and providing formal reporting to Council and the public supports the Council Strategic Priority of Sustainable and Engaging Government.

Supporting the COVID-19 emergency response directly supports Council's strategic priority of a Healthy and Vibrant Community.

Other Pertinent Reports

- CSD 30-2020 COVID-19 Preliminary Overview of Financial Impacts (April 23, 2020)
- CSD 31-2020 Concessions to Local Area Municipalities regarding Taxes and Water Wastewater Billings (April 23, 2020)
- CSD 34-2020 COVID Cash Flow Update (May 21, 2020)
- CSD 35-2020 COVID-19 Financial Impact Update (May 21, 2020)
- CSD 39-2020 COVID Cash Flow Update (June 25, 2020)
- CSD 40-2020 COVID-19 Financial Impact Update (June 25, 2020)
- CSD 46-2020 COVID Cash Flow Update (July 23, 2020)
- CSD 47-2020 COVID-19 Financial Impact Update (July 23, 2020)
- CSD 50-2020 COVID Cash Flow Update (August 13, 2020)
- CSD 51-2020 COVID-19 Financial Impact Update (August 13, 2020)
- CSD 56-2020 Q2 2020 Financial Update (CSC September 9, 2020)
- CSD 57-2020 COVID-19 Cash Flow Update (September 17, 2020)

- CSD 63-2020 COVID-19 Cash Flow Update (October 22, 2020)
- CSD 69-2020 COVID-19 Financial Impact Update (October 22, 2020)

Prepared by:

Melanie Steele, MBA, CPA, CA
Associate Director, Reporting & Analysis
Corporate Services

Recommended by:

Todd Harrison, CPM, CMA
Commissioner/Treasurer
Corporate Services

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

This report was prepared in consultation with the Corporate Leadership Team and consolidated ABC's and reviewed by Helen Chamberlain, Director, Financial Management & Planning/Deputy Treasurer.

Appendices

Appendix 1	Q3 2020 Financial Update
Appendix 2	COVID-19 2020 Financial Impact Summary
Appendix 3	COVID-19 2020 Financial Impact by Department

NIAGARA REGION

2020

Q3 FINANCIAL UPDATE
SEPTEMBER

Q3 Financial Update – September 2020

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Introduction

On behalf of Niagara Region, we are pleased to provide you with the 2020 Q3 financial update.

Niagara is a culturally rich and historically significant region that offers its residents a mix of urban and rural living within 12 area municipalities. The Region boasts a diverse economy that includes manufacturing, tourism, agriculture and emerging sectors such as new media, green technology and bioscience.

Regional government operations are overseen by Niagara Regional Council which is composed of 32 elected representatives from 12 area municipalities and the Regional Chair. The current Regional Council was elected in November 2018 and the 32 members will serve a four year term to November 14, 2022.

As of September 30, 2020 Niagara Region is forecasting a funding surplus of \$17,073 thousand related to the levy programs, \$1,649 thousand surplus related to Water and Wastewater programs, and a \$396 thousand surplus related to the Waste Management Program.

The Niagara Region has responded to the COVID-19 pandemic by strategically redeploying staff resources to areas impacted significantly by COVID-19, as well as re-prioritizing planned work. A recovery plan has been put in place and continues to be refined and actioned to guide the Niagara Region through the COVID-19 pandemic.

Affordability and sustainability are two key elements of Niagara Region's budget strategy. Achieving a balance between providing the programs and services residents have come to rely upon, ensuring they can afford to pay for them and ensuring that we have money to fund future infrastructure and program needs is critical. We would appreciate your feedback at www.niagararegion.ca.

We hope you will find the information provided in this report of interest and welcome any suggestions for its improvement going forward.

Helen Chamberlain, Director of Financial Management & Planning, Deputy Treasurer

The following is an unaudited report which has been prepared and reviewed by the Financial Management & Planning team in Corporate Services.

CONSOLIDATED OPERATING FUNDING SURPLUS/(DEFICIT) REVIEW

LEVY

(in thousands of dollars)

Niagara Region's levy programs are operating at a forecasted surplus of \$17,073 including \$12,185 in phase 1 municipal Safe Re-start funding allocated to the Niagara Region from the Province of Ontario. Staff would recommend that any surplus at December 31, 2020 be allocated to the Taxpayer Relief Reserve to then be utilized to offset COVID-19 related pressures in the 2021 budget.

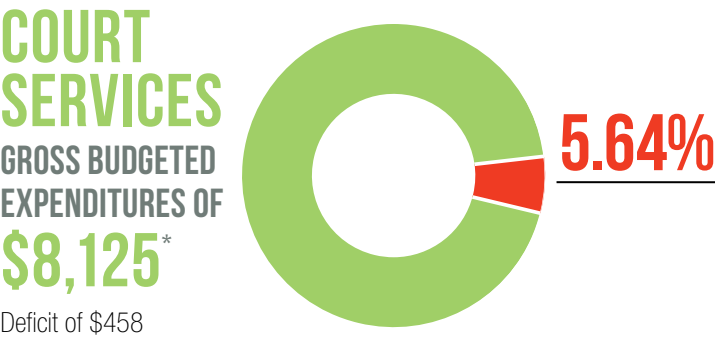
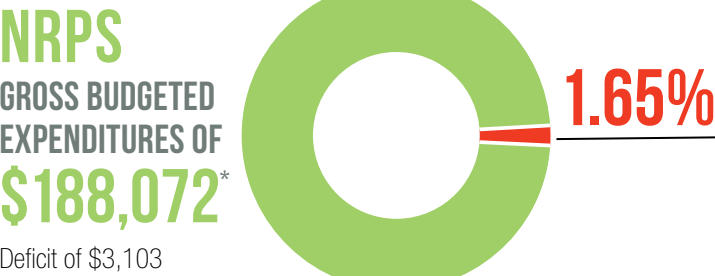
Niagara Region's levy programs excluding agencies, boards and commissions (ABCs) are operating at a forecasted surplus of \$19,504, which is largely driven by extensive mitigation efforts to manage the increased costs related to required investments in Community Services and Public Health to support the COVID-19 emergency, including the redeployment of staff resources and re-prioritizing planned work. In addition, the recovery process has been slower than anticipated, resulting in further work delays and corresponding cost deferrals. The Region has been and will continue to monitor the emergency and makes changes to service delivery to meet needs of Niagara residents.

Niagara Region's ABCs are operating at a forecasted deficit of \$2,431. The forecasted deficit is driven primarily from lost revenue in NRPS from reduced OLG payments through the City of Niagara Falls due to the closure of Casino operations and in Courts Services from lost revenues for fines collected. These unfavourable variances are partially offset by savings in labour-related costs due to the COVID-19 pandemic and the 2020 NRPA wage settlement.

LEVY DEPARTMENT AND PROGRAMS
(Including ABC's)

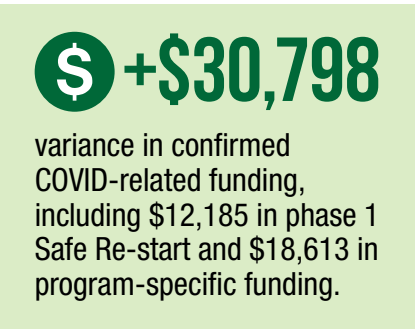
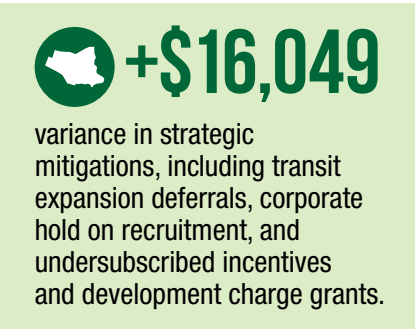
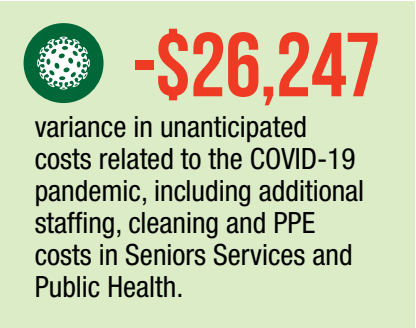


FINANCIAL RESULTS OF ABC'S



*Includes transfer, intercompany charges and indirect allocations

FINANCIAL STATEMENT HIGHLIGHTS



CONSOLIDATED OPERATING FUNDING SURPLUS/(DEFICIT) REVIEW

WATER & WASTEWATER

(in thousands of dollars)

Water and Wastewater Services are operating at a forecasted surplus of \$1,649, which consists of a \$919 surplus in the Wastewater division and a \$730 surplus in the Water division.

The forecasted surplus is primarily attributable to favourable variances of \$781 resulting from staffing vacancies and \$863 in allocation of business support costs, as well as \$1,336 for preventative maintenance and repair work and Asset Management software costs that have been deferred due to the COVID-19 pandemic. These favourable variances are offset by unfavourable variance in water sales of \$703 due to decreased water usage as a result of the COVID-19 pandemic, combined with a wet spring and unfavourable variances of \$390 and \$393 due to increased pricing in sludge management and chemical costs, respectively.

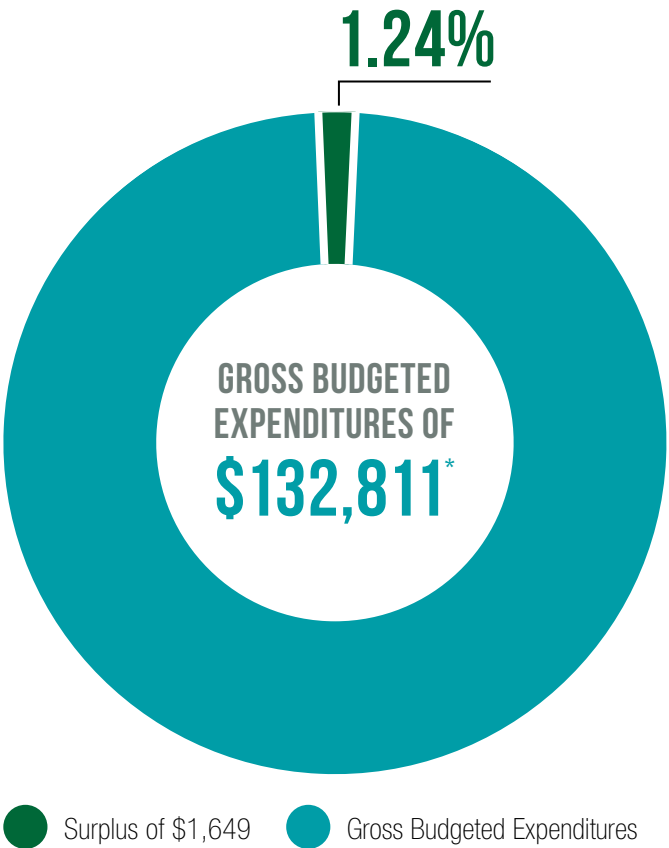
It is recommended that at year-end the projected surpluses of \$919 in the Wastewater division and \$730 in the Water division be transferred to the Wastewater Stabilization and Water Stabilization reserves, respectively.

Including forecasted surpluses, the Wastewater Stabilization Reserve and Water Stabilization reserves are forecasted to have balances of \$2,309 and \$3,794 at the end of the year, respectively.

The funding target of 10% to 15% of annual budgeted operating expenditures (excluding reserve transfers and debt allocations) are \$6,476 and \$9,715 respectively for the Wastewater Stabilization Reserve and \$2,387 and \$3,581 respectively for the Water Stabilization Reserve.

The forecasted reserve balance for the Wastewater Stabilization reserve is below the minimum funding target and the forecasted balance for the Water Stabilization reserve is slightly above the funding target. Given that the Wastewater Stabilization reserve is below the funding target, this may impact Niagara Region's ability to manage future operational costs.

WATER & WASTEWATER OPERATING SURPLUS



* Includes transfer, intercompany charges and indirect allocations

FINANCIAL STATEMENT HIGHLIGHTS



+\$781
VARIANCE IN LABOUR
RELATED COSTS

due to staffing vacancies driven by pandemic-related hold on recruitment.



+\$1,366 VARIANCE
IN PREVENTATIVE
MAINTENANCE AND
REPAIR WORK

due to delays driven by the pandemic.

CONSOLIDATED OPERATING FUNDING SURPLUS/(DEFICIT) REVIEW

WASTE MANAGEMENT

(in thousands of dollars)

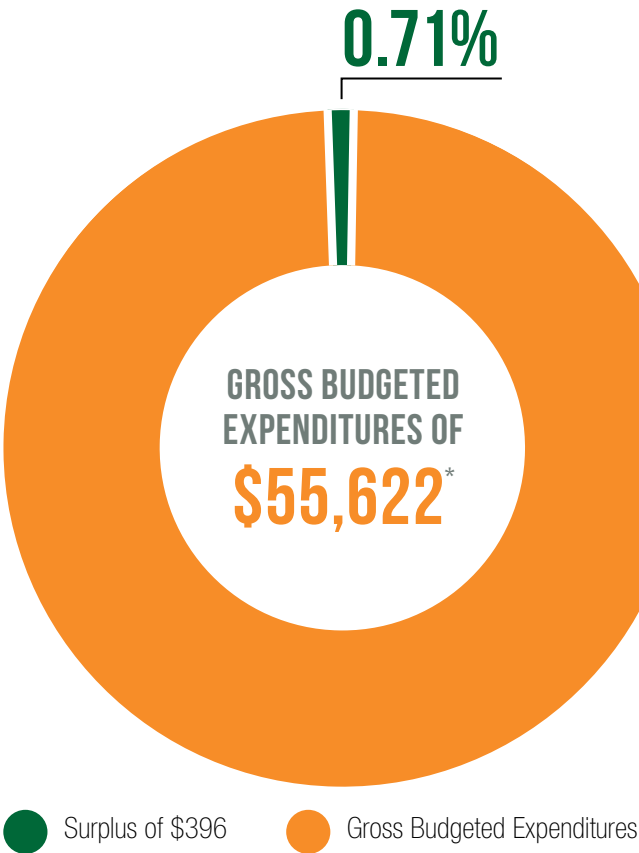
Waste Management Services are operating at a forecasted surplus of \$396.

The forecasted surplus is primarily a result of a \$374 favourable variance arising from savings in administrative costs such as training and development, as well as promotion and education, a \$504 favourable variance from lower than anticipated landfill operation and monitoring costs and collection contract adjustments, a \$367 favourable variance in labour-related cost savings attributable to the COVID-19 pandemic, as well as a \$106 favourable variance due to the reallocation of wages for staff who have been redeployed. These forecasted favourable variances are offset by forecasted unfavourable variances of \$262 from overall lower than anticipated market revenues from the sale of recyclable commodities, \$643 in reduced tipping fee revenue due to service changes as a result of the COVID-19 pandemic, and increased organic processing costs of \$294 due to increased volumes.

It is recommended that at year-end the projected funding surplus of \$396 in Waste Management be transferred to the Waste Management Stabilization Reserve.

Including the projected surplus, the Waste Management Stabilization Reserve is forecasted to have a balance of \$5,344 at the end of the year. The funding target of 10% to 15% of annual budgeted operating expenditures (excluding reserve transfers and debt allocations) are \$5,296 and \$7,944, respectively. The forecasted Waste Management Stabilization reserve balance is slightly above the minimum funding target.

WASTE MANAGEMENT OPERATING SURPLUS



* Includes transfer, intercompany charges and indirect allocations

FINANCIAL STATEMENT HIGHLIGHTS



-\$262
VARIANCE IN
RECYCLING REVENUE

resulting from the continuing decline
in the commodities market



+\$367
VARIANCE IN
OPERATIONS

resulting from labour-related cost
savings attributable to the pandemic.

Summary of Consolidated Operating Surplus/(Deficit) (in thousands of dollars)

	Before Indirect Allocations			After Indirect Allocations		
	Annual Budget	Annual Forecast	Q3 Forecasted Surplus/(Deficit)	Annual Budget	Annual Forecast	Q3 Forecasted Surplus/(Deficit)
LEVY SUPPORTED DEPARTMENTS & PROGRAMS						
Regional Departments						
Governance	\$2,170	\$1,998	\$172	\$2,449	\$2,412	\$37
General Government	-\$320,312	-\$333,903	\$13,591	-\$397,341	-\$410,932	\$13,591
Corporate Administration	\$14,626	\$10,479	\$4,147	\$6,770	\$5,130	\$1,640
Corporate Services	\$36,378	\$39,460	-\$3,082	\$857	\$950	-\$93
Community Services	\$29,385	\$29,998	-\$613	\$50,941	\$50,148	\$793
Public Health & Emergency Services	\$26,586	\$30,957	-\$4,371	\$41,637	\$45,665	-\$4,028
Public Works - Transportation	\$38,526	\$31,029	\$7,497	\$77,854	\$70,862	\$6,992
Planning & Development	\$4,099	\$3,644	\$455	\$5,133	\$4,561	\$572
Sub-Total - Regional Departments	-\$168,542	-\$186,338	\$17,796	-\$211,700	-\$231,204	\$19,504
Agencies, Boards & Commissions						
Court Services	-\$1,885	-\$1,372	-\$513	-\$734	-\$276	-\$458
Niagara Regional Housing	\$28,345	\$27,325	\$1,020	\$36,444	\$35,314	\$1,130
Niagara Regional Police	\$154,458	\$154,665	-\$207	\$170,180	\$173,283	-\$3,103
Niagara Peninsula Conservation Authority	\$5,810	\$5,810	\$0	\$5,810	\$5,810	\$0
Subtotal Agencies, Boards & Commissions	\$186,728	\$186,428	\$300	\$211,700	\$214,131	-\$2,431
Total Levy Supported Programs	\$18,186	\$90	\$18,096	\$0	-\$17,073	\$17,073
RATE SUPPORTED DEPARTMENTS						
Public Works - Water & Wastewater	-\$15,749	-\$16,536	\$787	\$0	-\$1,649	\$1,649
Public Works - Waste Management	-\$2,437	-\$2,672	\$235	\$0	-\$396	\$396
Total Rate Supported Departments	-\$18,186	-\$19,208	\$1,022	\$0	-\$2,045	\$2,045
TOTAL	\$0	-\$19,118	\$19,118	\$0	-\$19,118	\$19,118

Levy Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Compensation	\$306,038	\$304,760	\$1,278	0.4%	\$409,088	\$407,933	\$1,156	0.3%
Administrative	\$25,881	\$21,442	\$4,439	17.2%	\$34,816	\$31,238	\$3,578	10.3%
Operational & Supply	\$35,016	\$28,286	\$6,730	19.2%	\$47,135	\$40,819	\$6,315	13.4%
Occupancy & Infrastructure	\$22,099	\$21,663	\$436	2.0%	\$29,739	\$29,717	\$22	0.1%
Equipment, Vehicles, Technology	\$11,964	\$11,844	\$120	1.0%	\$16,120	\$16,368	-\$248	-1.5%
Community Assistance	\$149,496	\$133,555	\$15,941	10.7%	\$197,117	\$192,767	\$4,350	2.2%
Partnership, Rebate, Exemption	\$20,829	\$8,894	\$11,935	57.3%	\$24,823	\$16,847	\$7,976	32.1%
Financial Expenditures	\$51,685	\$42,914	\$8,771	17.0%	\$69,373	\$63,592	\$5,781	8.3%
Total Expenses	\$623,009	\$573,360	\$49,650	8.0%	\$828,210	\$799,281	\$28,929	3.5%
Taxation	-\$294,748	-\$288,645	-\$6,103	-2.1%	-\$409,634	-\$407,820	-\$1,814	-0.4%
Federal & Provincial Grants	-\$240,103	-\$240,881	\$778	0.3%	-\$320,029	-\$343,061	\$23,031	7.2%
By-Law Charges & Sales	-\$15,173	-\$8,409	-\$6,763	-44.6%	-\$21,427	-\$10,764	-\$10,664	-49.8%
Other Revenue	-\$54,555	-\$46,272	-\$8,282	-15.2%	-\$73,324	-\$62,604	-\$10,720	-14.6%
Total Revenues	-\$604,578	-\$584,207	-\$20,370	-3.4%	-\$824,414	-\$824,248	-\$166	0.0%
Intercompany Charges	-\$1,430	-\$1,211	-\$219	15.3%	-\$1,907	-\$1,688	-\$219	11.5%
Total Intercompany Charges	-\$1,430	-\$1,211	-\$219	15.3%	-\$1,907	-\$1,688	-\$219	11.5%
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	\$17,002	-\$12,058	\$29,060	170.9%	\$1,889	-\$26,655	\$28,544	1510.7%
Transfers From Funds	-\$12,761	-\$12,761	\$0	0.0%	-\$14,424	-\$11,836	-\$2,587	-17.9%
Transfers To Funds	\$28,051	\$35,479	-\$7,429	-26.5%	\$30,860	\$38,708	-\$7,848	-25.4%
Expense Allocations To Capital	-\$105	-\$92	-\$13	-12.0%	-\$140	-\$127	-\$13	-9.0%
Total Transfers	\$15,184	\$22,625	-\$7,441	-49.0%	\$16,297	\$26,745	-\$10,448	-64.1%
Net Expenditure (Revenue) Before Indirect Allocations	\$32,186	\$10,567	\$21,619	67.2%	\$18,186	\$90	\$18,096	99.5%
Indirect Allocations & Debt	-\$12,091	-\$11,274	-\$817	-6.8%	-\$18,186	-\$17,163	-\$1,023	-5.6%
Total Indirect Allocations & Debt	-\$12,091	-\$11,274	-\$817	-6.8%	-\$18,186	-\$17,163	-\$1,023	-5.6%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	\$20,095	-\$707	\$20,802	0.0%	\$0	-\$17,073	\$17,073	0.0%

Levy - Continued

Variance Analysis (in thousands of dollars)

Levy is operating a year-to-date surplus after indirect allocations of \$20,802 and a forecasted surplus after indirect allocations of \$17,073. This is due to a number of factors as noted below.

The 2020 budget includes expenditures and revenues related to the implementation of the Vision Zero Road Safety program in 2020 within the Court Services and Transportation Services divisions. The work on the implementation of the program, including the proposed changes to the Niagara Region Courts Inter-municipal Agreement, has been delayed as a result of the COVID-19 pandemic. Accordingly, no expenditures are expected to be incurred or revenues realized in 2020. The program was budgeted to break even overall for the year, so while it does cause variances in expense and revenue categories, there will be no net impact on the distribution to the local area municipalities as a result of the delay.

Compensation - The favourable year-to-date and forecasted variances of \$1,278 and \$1,156 respectively are mainly driven by staffing vacancies across the corporation due to a corporate hold on recruitment to help mitigate COVID-19 pandemic pressures, in addition to savings in health and dental benefit costs resulting from reduced claims arising from pandemic-related closures and restrictions. These savings have been partially offset by unfavourable year-to-date and forecasted variances in Public Health due to increased Workplace Safety Insurance Board costs (\$570) and incremental staffing costs within Public Health and Community Services to address increased workload resulting from the pandemic. Forecasted savings related to Vision Zero are \$933.

Administration – The favourable year-to-date variances of \$4,439 and \$3,578 are primarily due to a combination of timing differences for consulting expenditures and the deferral of work plans, mostly as a result of the COVID-19 pandemic, such as the Regional Official Plan and the Human Resources Information Systems (HRIS) transition project. In addition, there have been savings realized on training and travel-related costs as a result of pandemic-related restrictions, forecasted at \$2,013. Forecasted savings related to Vision Zero are \$2,072. These savings are offset by a revision in the estimated liability accrued for insured, uninsured and construction contract claims against the Region and higher than budgeted claim payouts.

Operational & Supply – The favourable year-to-date and forecasted variances of \$6,730 and \$6,315 are primarily due to lower than expected Transit Services costs in both Niagara Regional Transit (NRT) services (forecasted at \$8,204) and Niagara Specialized Transit (NST) services (forecasted at \$814) as a result of COVID-19 impacts resulting in service reductions and expansion delays. Forecasted savings related to Vision Zero are \$206. These savings are offset by increased costs relating to purchases of additional personal protective equipment medical supplies within Community Services and Public Health as a result of the pandemic, as well as costs incurred in the operation of the COVID isolation centre within the Homelessness division.

Community Assistance – The favourable year-to-date variance of \$15,941 and forecasted year-end variances of \$4,350 are a result of delaying the timing of issuance of expansion funding to child care providers within Children's Services due to initial uncertainty arising out of the pandemic. In addition, there is a lower than expected uptake in client-related benefits such as dental, childcare and shelter, and employment-related benefits directly attributable to reduced caseload and the government's issuance of the federal CERB benefit as a result of the pandemic, which is anticipated to continue until year-end (forecasted at \$5,392). Within Niagara Regional Housing (NRH), there are additional year-to-date savings related to a delayed spend in Ministry-funded programs and K3D heat control system upgrades due to COVID-related restrictions, as well as lower than budgeted subsidy payment to non-profit and co-op providers and rent supplement to landlords (\$476). These savings are partially offset by the incremental costs of the Region's COVID shelter (\$831) and emergency provider capital repair grants that are anticipated to be issued by year-end within NRH (\$625).

Partnership, Rebate, Exemption – The favourable year-to-date and forecasted variances of \$11,935 and \$7,976 are primarily due to uptake being lower than anticipated for planning and economic development grants such as Smarter Niagara Incentive Program (SNIP), Tax Increment Grants (TIG), Public Realm Incentive Program (PRIP)

Levy - Continued

and Gateway tax increment grants (forecasted at \$2,101), development charge grants (forecasted at \$5,138), and other regional program of Connect to Innovate (CTI) of \$600.

Financial Expenditures – The favourable year-to-date and forecasted variances of \$8,771 and \$5,781 are primarily due to the debt charge placeholder of \$5,620 (due to timing of actual project spending), which has been transferred to the capital levy reserve through Transfers to Funds identified below. The timing of tax write-offs of \$3,912 are another contributing factor to the year-to-date favourable variance, as the write-offs are generally received at year-end from Local Area Municipalities and are therefore expected to be fully realized by year-end.

Taxation – The year-to-date unfavourable variance of \$6,103 is primarily due to timing differences in the collection of payment-in-lieu of taxes, as the payments are generally received at year-end from Local Area Municipalities. The forecasted unfavourable variance of \$1,814 is primarily the result of a decrease in supplemental tax revenues of \$2,008 attributable to lower than budget growth for Niagara in 2020, which is partially offset by a forecasted favourable variance in payment-in-lieu of taxation revenue of \$194, which has been forecast based on 2019 actual amounts.

Federal & Provincial Grants - The favourable forecasted variance \$23,031 is mainly a result of additional COVID-related funding confirmed of \$30,798, including general Phase 1 Municipal Safe Re-start funding (\$12,185) and program-specific funding within Public Health, Seniors Services, Children's Services, Homelessness Services and Transportation (\$18,614). This additional funding is offset by lower than budgeted Ministry funding reflective of the reduction in Community Assistance expenditures in Social Assistance and Employment Opportunities (SAEO) of \$4,287 and budgeted funding within the Emergency Medical Services division that has not been announced to date.

By-Law Charges & Sales – The unfavourable year-to-date and forecasted variances of \$6,763 and \$10,664 relate to a number of factors, including reduced Transit fare revenue in both NRT (\$3,490) and NST (\$60) related to COVID-19 impacts and lower ridership, as well as lower than expected signs sales and signal maintenance revenue of \$950. In addition, parental fees were not collected during the emergency order when childcare centres were closed and for the provision of childcare services to emergency workers (\$1,213), and there was a loss of revenue associated with Seniors Community Programs that have not operated during the pandemic (\$491). There was also a shortfall in revenue within NRPS for reductions in third party revenue received from the City of Niagara Falls due to the casino closures, as well as reductions in fees for service, special duty and secondment revenues due to COVID-19 emergency measures (\$3,862).

Other Revenue – The unfavourable year-to-date and forecasted variances of \$8,282 and \$10,720 respectively are primarily related to decreased portfolio investment income due to the reinvestment of maturities and call proceeds at lower rates, as well as an increased allocation of investment income to the rate reserves and deferred revenue at the average portfolio rate (\$4,784). Also contributing to this deficit is the reduction in fine revenues within Court Services due to a significant decrease in ticket volumes processed since the start of the pandemic, and also closure of the courts and deferral of trials which has resulted in deferred convictions and corresponding delays in revenue collection. Forecasted deficit related to Vision Zero is \$3,519.

Transfers - The unfavourable year-to-date and forecasted variances of \$7,441 and \$10,448 are primarily due to the transfer of the debt charge placeholder of \$5,620 to the capital reserve, in addition to projected sale of surplus properties of \$320, and forecasted transfers back to reserves for encumbrances and unspent funds, largely due to deferred work resulting from the pandemic: Waterfront Improvement Projects (\$400), Public Realm Investment Programs (\$500), HRIS (\$830), Niagara Region 50th anniversary (\$35), Future Sick Benefit (\$20), community safety & well-being plan (\$130), Regional Official Plan (\$416), GO station operations (\$678), Vision Zero (\$80), airports study (\$193), Children's Services community capital builds (\$1,005) and additional supportive housing units within homelessness (\$224). The majority of these unfavourable variances have been offset by favourable variances above.

Governance Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Compensation	\$1,470	\$1,413	\$57	3.9%	\$1,959	\$1,886	\$73	3.7%
Administrative	\$153	\$29	\$124	80.8%	\$205	\$66	\$139	67.8%
Operational & Supply	\$0	\$0	\$0	N/A	\$0	\$0	\$0	N/A
Equipment, Vehicles, Technology	\$2	\$6	-\$4	-229.2%	\$2	\$6	-\$4	-171.9%
Partnership, Rebate, Exemption	\$2	\$0	\$2	100.0%	\$2	\$1	\$2	75.0%
Total Expenses	\$1,627	\$1,448	\$179	11.0%	\$2,168	\$1,959	\$210	9.7%
Total Revenues			\$0	0.0%		\$0	\$0	0.0%
Intercompany Charges	\$1	\$39	-\$38	N/A	\$1	\$39	-\$38	N/A
Total Intercompany Charges	\$1	\$39	-\$38	N/A	\$1	\$39	-\$38	N/A
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	\$1,628	\$1,487	\$141	8.7%	\$2,170	\$1,998	\$172	7.9%
Total Transfers			\$0	0.0%		\$0	\$0	0.0%
Net Expenditure (Revenue) Before Indirect Allocations	\$1,628	\$1,487	\$141	8.7%	\$2,170	\$1,998	\$172	7.9%
Indirect Allocations & Debt	\$212	\$340	-\$128	-60.4%	\$279	\$414	-\$135	-48.4%
Total Indirect Allocations & Debt	\$212	\$340	-\$128	-60.4%	\$279	\$414	-\$135	-48.4%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	\$1,840	\$1,827	\$13	0.0%	\$2,449	\$2,412	\$37	1.5%

Governance - Continued

Variance Analysis (in thousands of dollars)

Governance is operating at a year-to-date surplus before indirect allocations of \$141 with a forecasted surplus of \$172 for year-end. The following factors have contributed to this surplus.

Compensation - The favourable year-to-date and forecasted variances of \$57 and \$73 are due to a vacancy within the Chair's Office, implementation of a new salary increase methodology for councillors and a declined salary increase for the Regional Chair.

Administration - The favourable year-to-date and forecasted variances of \$124 and \$139 are due to lower than anticipated travel, meals, mileage and registration fees as a result of the COVID-19 pandemic and related restrictions on travel and conferences.

Intercompany Charges - The unfavourable year-to-date and forecasted variance of \$38 is due to an additional staff member redeployed to the Chair's Office to support council through the COVID-19 pandemic.

Community Impacts & Achievements

Governance consists of the Members of Council and the Office of the Regional Chair who provide the overall political leadership of the organization.

Project Updates/Accomplishments

Nearly all of the resources of the Regional Chair's Office have been dedicated to managing the COVID-19 pandemic. Some of these activities have included:

- Calling a State of Emergency under the *Emergency Management and Civil Protections Act* in coordination with the 12 LAMs on April 3, 2020
- Providing political support, where required, on numerous files, including housing, homelessness and long-term care
- Connecting with provincial and federal ministries and MPPs' offices
- Developing and executing on the Region's government relations strategy in regards to COVID-19 financial relief
- Delivering the Regional Chair's 2020 State of the Region address and supporting video, which highlighted the Niagara Region's response to the pandemic
- Successfully attended the 2020 AMO conference where numerous delegations were delivered, resulting in follow up meetings and other positive dialogue
- Successfully delivered on a mandatory mask and face covering by-law to help prevent the spread of COVID-19

General Government Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Administrative	\$4,748	\$8,293	-\$3,545	-74.7%	\$6,331	\$5,342	\$989	15.6%
Occupancy & Infrastructure	\$61	\$73	-\$12	-19.3%	\$82	\$83	-\$1	-1.7%
Partnership, Rebate, Exemption	\$14,440	\$2,809	\$11,631	80.5%	\$18,241	\$10,297	\$7,944	43.6%
Financial Expenditures	\$50,091	\$41,402	\$8,688	17.3%	\$67,247	\$61,550	\$5,697	8.5%
Total Expenses	\$69,341	\$52,578	\$16,763	24.2%	\$91,900	\$77,272	\$14,628	15.9%
Taxation	-\$294,748	-\$288,645	-\$6,103	-2.1%	-\$409,634	-\$407,820	-\$1,814	-0.4%
Federal & Provincial Grants	\$0	\$0	\$0	0.0%	\$0	-\$12,185	\$12,185	0.0%
By-Law Charges & Sales	-\$18	-\$31	\$13	73.4%	-\$24	-\$42	\$18	73.4%
Other Revenue	-\$11,977	-\$8,321	-\$3,656	-30.5%	-\$16,170	-\$11,588	-\$4,582	-28.3%
Total Revenues	-\$306,743	-\$296,997	-\$9,746	-3.2%	-\$425,827	-\$431,633	\$5,806	1.4%
Intercompany Charges	-\$80	-\$85	\$5	-6.3%	-\$107	-\$105	-\$3	2.3%
Total Intercompany Charges	-\$80	-\$85	\$5	-6.3%	-\$107	-\$105	-\$3	2.3%
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	-\$237,482	-\$244,505	\$7,022	3.0%	-\$334,034	-\$354,467	\$20,432	6.1%
Transfers From Funds	-\$7,246	-\$7,246	\$0	0.0%	-\$8,115	-\$7,215	-\$900	-11.1%
Transfers To Funds	\$20,851	\$27,034	-\$6,183	-29.7%	\$21,837	\$27,778	-\$5,941	-27.2%
Total Transfers	\$13,605	\$19,788	-\$6,183	-45.4%	\$13,723	\$20,563	-\$6,841	-49.9%
Net Expenditure (Revenue) Before Indirect Allocations	-\$223,877	-\$224,717	\$839	0.4%	-\$320,312	-\$333,903	\$13,591	4.2%
Indirect Allocations & Debt	-\$62,559	-\$63,687	\$1,129	1.8%	-\$77,030	-\$77,030	\$0	0.0%
Total Indirect Allocations & Debt	-\$62,559	-\$63,687	\$1,129	1.8%	-\$77,030	-\$77,030	\$0	0.0%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	-\$286,436	-\$288,404	\$1,968	0.0%	-\$397,342	-\$410,933	\$13,591	3.4%

General Government - Continued

Variance Analysis (in thousands of dollars)

General Government is operating at a year-to-date surplus before indirect allocations of \$839 and is forecasting an overall surplus before indirect allocations of \$13,591 at year-end due to the following factors:

Administration - The unfavourable year-to-date variance of \$3,545 is primarily due to an increase of the accrual for estimated legal claims against the Region, and the favorable forecasted variance of \$989 relates to the expected change in legal liability due to the timing of anticipated payouts.

Partnership, Rebate, Exemption - The favourable year-to-date and forecasted variances of \$11,631 and \$7,944 are mainly due to uptake being lower than anticipated for planning and economic development grants such as Smarter Niagara Incentive Program (SNIP), Tax Increment Grants (TIG), Public Realm Incentive Program (PRIP) and Gateway tax increment grants, of \$6,399 and \$2,101, development charge grants of \$4,676 and \$5,138, and other regional program of Connect to Innovate (CTI) of \$600.

Financial Expenditures – The favourable year-to-date and forecasted variances of \$8,688 and \$5,697 are largely as a result of the debt charge placeholder of \$5,620 (due to timing of actual project spending), which has been transferred to the capital levy reserve through Transfers to Funds identified below. The timing of tax write-offs of \$3,912 are another contributing factor to the year-to-date favourable variance, as the write-offs are generally received at year-end from Local Area Municipalities and are therefore expected to be fully realized by year-end.

Taxation – The year-to-date unfavourable variance of \$6,103 is primarily due to timing differences in the collection of payment-in-lieu of taxes, as the payments are generally received at year-end from Local Area Municipalities. The forecasted unfavourable variance of \$1,814 is primarily the result of a decrease in supplemental tax revenues of \$2,008 attributable to lower than budget growth for Niagara in 2020, which is partially offset by a forecasted favourable variance in payment-in-lieu of taxation revenue of \$194, which has been forecast based on 2019 actual amounts.

Federal & Provincial Grants – The favourable forecasted variance of \$12,185 relates to the Phase 1 Safe Restart Funding received from the Ontario government to help offset the operating costs and pressures incurred due to COVID-19.

Other Revenue – The year-to-date unfavourable and forecasted variances of \$3,656 and \$4,582 are primarily related to decreased portfolio investment income due to the reinvestment of maturities and call proceeds at lower rates, as well as an increased allocation of investment income to the rate reserves and deferred revenue at the average portfolio rate. Offsetting the unfavourable variances in investment income is a positive variance of \$320 from the forecasted sale of surplus properties, which is to be transferred to the Capital Levy reserve, as identified in Transfer to Funds below.

Transfers To/From Funds – The year-to-date unfavourable variance of \$6,183 is due to the transfer of the debt charge placeholder of \$5,620 to the capital reserve, as well as the timing of transfers to the sinking fund (\$379). The forecasted unfavourable variance of \$6,841 is due to the transfer of the debt charge placeholder of \$5,620, projected sale of surplus properties of \$320, and the forecasted encumbrances for Waterfront Improvement Projects (\$400) and Public Realm Investment Programs (\$500) that are transferred back to reserves.

Community Impacts & Achievements

The General Government department consists of Taxation revenue and costs associated with Property Assessment Services which are provided by the Municipal Property Assessment Corporation (MPAC), investment income on investments held with different institutions (see investment report for further details), economic incentives and other support grants, such as contributions to the Niagara Health System's new cancer centre, as well as grants related to development charges, the Smarter Niagara Incentive Program and Canada Summer Games. General Government is also responsible for managing the Region's capital financing sources, such as capital levy reserve contributions and debt charges.

General Government - Continued

- Council approved 193 Capital projects for 2020, which included a \$13,967 reserve contribution to the Capital Levy reserve. Some of the significant capital projects for 2020 included LTC St.Catharines New Home (\$102,000), LTC Fort Erie New Home (\$57,365), Casablanca Boulevard (\$16,000), Port Dalhousie WasteWater Treatment Plant Upgrade (\$10,000) and Port Colborne Water Treatment Plant Upgrade (\$5,000).
- Funded 86 Capital projects and 131 Operating projects with \$11,367 and \$367 respectively of Development Charges reserves by utilizing a more streamlined and efficient funding process.
- Delivered economic incentive grant programs (Smarter Niagara Incentive Program (SNIP), Tax Increment Grants (TIG), Public Realm Incentive Program (PRIP) and Gateway tax increment grants), partnering with the Local Area Municipalities and not-for-profit organizations to promote culture, public realm and economic growth.
- Total of \$34,186 debentures successfully issued through the Capital Markets in July:
 - \$15,525 issued for Regional projects (Roads, Niagara Regional Housing, Police and General Government) with a term of 10 years and a rate of 1.43%
 - \$18,661 issued for Local Area Municipalities (Welland and St. Catharines) with a term of 10 years and at a rate of 1.43%.

Corporate Administration Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Compensation	\$8,628	\$7,791	\$837	9.7%	\$11,465	\$8,042	\$3,422	29.9%
Administrative	\$3,128	\$1,740	\$1,388	44.4%	\$4,170	\$3,086	\$1,084	26.0%
Operational & Supply	\$135	\$22	\$113	83.6%	\$180	\$107	\$73	40.5%
Occupancy & Infrastructure	\$0	\$0	\$0	N/A	\$0	\$0	\$0	N/A
Equipment, Vehicles, Technology	\$98	\$104	-\$6	-6.2%	\$131	\$137	-\$6	-4.7%
Partnership, Rebate, Exemption	\$223	\$170	\$53	23.8%	\$298	\$357	-\$59	-19.7%
Financial Expenditures	\$0	\$0	\$0	0.0%	\$0	\$0	\$0	0.0%
Total Expenses	\$12,212	\$9,827	\$2,385	19.5%	\$16,243	\$11,729	\$4,514	27.8%
Federal & Provincial Grants	-\$97	\$0	-\$97	-100.0%	-\$130	\$0	-\$130	-100.0%
By-Law Charges & Sales	-\$3	-\$3	\$0	-7.4%	-\$4	-\$3	\$0	-5.6%
Other Revenue	-\$100	-\$405	\$305	304.8%	-\$133	-\$465	\$332	248.9%
Total Revenues	-\$200	-\$407	\$207	103.4%	-\$267	-\$469	\$202	75.5%
Intercompany Charges	-\$46	-\$408	\$361	-780.0%	-\$62	-\$508	\$446	-722.3%
Total Intercompany Charges	-\$46	-\$408	\$361	-780.0%	-\$62	-\$508	\$446	-722.3%
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	\$11,966	\$9,012	\$2,953	24.7%	\$15,914	\$10,752	\$5,162	32.4%
Transfers From Funds	-\$984	-\$984	\$0	0.0%	-\$1,288	-\$273	-\$1,015	-78.8%
Total Transfers	-\$984	-\$984	\$0	0.0%	-\$1,288	-\$273	-\$1,015	-78.8%
Net Expenditure (Revenue) Before Indirect Allocations	\$10,982	\$8,028	\$2,953	26.9%	\$14,626	\$10,479	\$4,147	28.4%
Indirect Allocations & Debt	-\$5,878	-\$4,924	-\$954	-16.2%	-\$7,856	-\$5,349	-\$2,507	-31.9%
Total Indirect Allocations & Debt	-\$5,878	-\$4,924	-\$954	-16.2%	-\$7,856	-\$5,349	-\$2,507	-31.9%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	\$5,103	\$3,104	\$1,999	0.0%	\$6,770	\$5,130	\$1,640	24.2%

Corporate Administration - Continued

Variance Analysis (in thousands of dollars)

Corporate Administration is operating at a year-to-date surplus before indirect allocations of \$2,953 with a forecasted surplus of \$4,147 before indirect allocations for year-end. The following factors have contributed to this surplus.

Compensation – The favourable year-to-date and forecasted variances of \$837 and \$3,422 are due to staffing vacancies throughout the divisions of Corporate Administration and a forecasted corporate benefit surplus. The vacancy-related year-to-date (\$837) and forecasted surplus (\$1,061) is largely driven by a COVID-19 pandemic-related hold on recruitment for roles within the newly established Corporate Strategy and Innovation team. In addition, due to pandemic-related closures and restrictions, corporate health and dental benefit claims are forecasted to be lower than budgeted (\$2,362).

Administration - The favourable year-to-date and forecasted variances of \$1,388 and \$1,084 are due to the delay of the Human Resources Information Systems transition project (\$830) and a repurposing of consulting expenditures due to changes in work plans as a result of the COVID-19 pandemic. Surpluses from reduced travel, meals and conference attendance in all divisions, as well as reduced consulting to support foreign direct investment activities, are offset by corporate external legal expenses related to labour relations.

Operational & Supply - The favourable year-to-date and forecasted variances of \$113 and \$73 are due to lower than anticipated raw data purchases and corporate training costs.

Partnership, Rebate, Exemption - The favourable year-to-date variance of \$53 is due to the timing of grant program awards, and the forecasted unfavourable variance of \$59 is due to increased pandemic recovery grants to be issued by Economic Development.

Federal & Provincial Grants - The unfavourable year-to-date and forecasted variances of \$98 and \$130 are due to reduced grants received by Economic Development.

Other Revenue - The favourable year-to-date and forecasted variances of \$305 and \$332 are due to revenue received for an employee seconded to the Niagara District Airports (\$104) and a previous year's grant returned to the Economic Development department (\$230).

Intercompany Charges - The favourable year-to-date and forecasted variances of \$361 and \$446 are reflective of the reallocation of wages for staff who have been redeployed to support other Niagara Region departments in need during the COVID-19 pandemic.

Transfers - The unfavourable forecasted variance of \$1,015 is due to one-time and future sick benefit funding being returned to reserves (Niagara Region 50th anniversary \$35, HRIS \$830, Future Sick Benefit \$20) and the encumbrance of the deferred community safety & well-being plan (\$130) due to the COVID-19 pandemic.

Community Impacts & Achievements

Corporate Administration includes the Chief Administrative Officer's Office, Corporate Strategy & Innovation, Human Resources and Clerks, whose main focus is the general management and support of the other Regional departments. Economic Development is also a part of Corporate Administration and supports the Niagara Region and business communities to compete successfully in Niagara, Ontario and on a global scale.

Corporate Strategy & Innovation

- Kicked off research and consultation phase of Community Safety & Well-being Plan.
- Redeployed all available staff to essential services during the COVID-19 pandemic.
- Advanced corporate communications priorities and campaigns, including:
- Ongoing support of the municipality's response to the COVID-19 pandemic.
- Development, coordination and execution of *#NiagaraTogether* campaign which, in collaboration with community agencies, encouraged community members to offer donations of food, money and social supports to Niagara's vulnerable populations.
- Delivery of media training and ongoing media relations guidance and support to various client groups within the organization.

Corporate Administration - Continued

- Supported budget process including spearheading public and media engagement, preparation of graphic design materials, social media and media releases.
- Supported Planning and Development Services in implementing a public feedback campaign for the Region's Woodland By-law Review.
- Supported Communications Strategy for launch of Every-other-Week garbage collection which started October 19 2020 – included media relations, special events, graphics, social media and website support
- Supported launch of NRT OnDemand rideshare service in West Niagara in August with communications strategy.
- Collaborated with IT, Planning and Public Works to develop guidelines and procedures for virtual public consultation as in-person public open houses are not possible during COVID-19.

Clerks

- Continued success holding Regional Council and Standing Committee meetings by electronic participation in light of COVID-19, with scheduled sub-committee and advisory Committees being conducted electronically as well.
- Provision of guidance and development of resources and process to support the adoption of a Public Health Information Governance approach for the ongoing management of COVID-19 Public Health electronic documents.
- Provision of guidance to SAEO regarding privacy and records management implications for the implementation of the provincial Electronic Document Management and Digital Mailroom, as SAEO progresses toward full digitization of their documents and information.
- Access and Privacy staff continue to work with divisional leadership to ensure legislative compliance for the ongoing transition to work from home.

Human Resources

- Implementation of Ontario Ombudsman Report "Inside Job" recommendations approved by Regional Council, namely creation of a CAO Recruitment, Selection, and Performance Management Policy, the amendment of our Corporate Recruitment and Selection Policy, and supporting creation of a Whistleblower Policy, all in the interest of protecting the integrity of our hiring processes and conveyance of service delivery.
- Provided corporate-wide human resources support of the COVID-19 pandemic:
 - Recruitment and selection for roles to support essential business continuity to deliver services to our most vulnerable residents
 - Supported staff working remotely from home, including considerations to support staff with child/elder care responsibilities
 - Created comprehensive manager guides, and employee communication tools
 - Creation of Health and Safety fact sheets and completion of infection control and prevention safety plan reviews of work spaces
 - Consultation & support for corporate business continuity and recovery planning
 - Salary data and analysis to support financial reporting and funding requirements

Economic Development

- Held bi-weekly meetings to report on implementation of the Economic Recovery Plan
- ERRT update calls are being used as a communications forum for all support organizations, with an average of 30 stakeholders attending
- Economic Recovery Planning is working in collaboration with the Internal Organizational Recovery table and the Community Planning Recovery table
- Partnership with Venture Niagara to promote funding to local companies through the Regional Recovery and Relief Fund (RRRF) resulted in the funding being fully subscribed, and approximately 70 companies accessed interest-free loans of between \$4,000 and \$40,000
- Funding agreements in place with two Small Business Enterprise Centres (SBEC) in Niagara Falls and St. Catharines, enabling both SBECs to expand their services across all 12 municipalities by hiring two new advisors
- COVID-19 Impact on Investment and Development in Niagara presented to PEDC.

Corporate Administration - Continued

- Recovery efforts supported by strategic marketing, page views of Niagara Canada website up from Q2, top page viewed is the PPE Directory
- Responded to 15 investment leads from businesses considering Niagara as a location and 14 Niagara Foreign Trade Zone inquiries
- Expanded LAM fund to include recovery related initiatives, two approved and four pending

Corporate Services Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Compensation	\$15,578	\$14,556	\$1,022	6.6%	\$20,679	\$19,479	\$1,200	5.8%
Administrative	\$4,626	\$3,683	\$943	20.4%	\$6,164	\$9,913	-\$3,749	-60.8%
Operational & Supply	\$211	\$214	-\$3	-1.4%	\$281	\$292	-\$11	-4.0%
Occupancy & Infrastructure	\$6,260	\$5,580	\$680	10.9%	\$8,414	\$7,812	\$602	7.2%
Equipment, Vehicles, Technology	\$2,151	\$2,179	-\$29	-1.3%	\$2,989	\$3,281	-\$293	-9.8%
Financial Expenditures	\$0	\$0	\$0	0.0%	\$0	\$0	\$0	0.0%
Total Expenses	\$28,826	\$26,213	\$2,613	9.1%	\$38,527	\$40,777	-\$2,251	-5.8%
Federal & Provincial Grants	-\$51	-\$50	-\$1	-1.9%	-\$68	-\$67	-\$1	-1.4%
By-Law Charges & Sales	-\$234	-\$165	-\$70	-29.7%	-\$312	-\$164	-\$149	-47.6%
Other Revenue	-\$1,069	-\$664	-\$406	-37.9%	-\$1,429	-\$848	-\$581	-40.7%
Total Revenues	-\$1,355	-\$879	-\$476	-35.1%	-\$1,810	-\$1,079	-\$731	-40.4%
Intercompany Charges	\$75	-\$398	\$473	631.8%	\$100	-\$478	\$578	579.3%
Total Intercompany Charges	\$75	-\$398	\$473	631.8%	\$100	-\$478	\$578	579.3%
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	\$27,546	\$24,936	\$2,610	9.5%	\$36,817	\$39,220	-\$2,404	-6.5%
Transfers From Funds	-\$381	-\$381	\$0	0.0%	-\$438	-\$438	\$0	0.0%
Transfers To Funds	\$0	\$0	\$0	0.0%	\$0	\$678	-\$678	0.0%
Total Transfers	-\$381	-\$381	\$0	0.0%	-\$438	\$240	-\$678	-154.8%
Net Expenditure (Revenue) Before Indirect Allocations	\$27,165	\$24,554	\$2,610	9.6%	\$36,379	\$39,461	-\$3,082	-8.5%
Indirect Allocations & Debt	-\$26,516	-\$24,004	-\$2,512	-9.5%	-\$35,521	-\$38,510	\$2,989	8.4%
Total Indirect Allocations & Debt	-\$26,516	-\$24,004	-\$2,512	-9.5%	-\$35,521	-\$38,510	\$2,989	8.4%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	\$649	\$550	\$98	0.0%	\$857	\$950	-\$93	-10.9%

Variance Analysis (in thousands of dollars)

Corporate Services is operating at a year-to-date surplus before indirect allocations of \$2,610, with a forecasted deficit of \$3,082 due to the following factors:

Compensation – The favourable year-to-date and forecasted variances of \$1,022 and \$1,200 are due to vacant positions arising through the year in all Corporate Services divisions that were not filled due to prioritization of COVID-19 pandemic-related work.

Administration - The favourable year-to-date variance of \$943 is mainly due to savings arising from delays in consulting work (\$731), phone and internet costs in the IT division (\$203), training (\$147), and third party claim payouts (\$194). These savings are partially offset by increased legal costs for non-insurable claims (\$376) and insurance premium costs (\$106). The unfavourable forecasted variance of \$3,749 is mainly due to higher than budgeted claims payouts and related costs (\$4,273) and insurance premium costs (\$202), and is partially offset by continued savings in consulting (\$780), training (\$171) and phone and internet costs (\$200).

Occupancy & Infrastructure - The favourable year-to-date and forecasted variances of \$680 and \$602 are due to operating savings realized by the delayed purchase of the GO stations, decreased costs associated with operating the St. Catharines Police Building and realization of utility rebates not anticipated in the budget. This is partially offset by COVID-19 related enhanced cleaning, PPE and hand sanitizer purchases, as well as increased costs for leased properties.

Equipment, Vehicles, Technology - The unfavourable year-to-date and forecasted variances of \$29 and \$293 are due to an increase in local area municipality participation in GIS software licensing, which is offset by revenues recovered from the participating local area municipalities.

By-Law Charges & Sales - The unfavourable year-to-date and forecasted variances of \$70 and \$149 are due primarily to lower than anticipated rental fees recovered for a rental property as a result of reduced operating costs.

Other Revenue - The unfavourable year-to-date and forecasted variances of \$406 and \$581 are due to rental revenue not realized related to GO Station operation, lower than anticipated business licensing fees and development charge (DC) funding not realized due to deferral of the DC bylaw update, but are partially offset by costs recovered from participating local area municipalities for GIS software licensing.

Intercompany Transfers – The favourable year-to-date and forecasted variances of \$473 and \$578 are primarily due to the reallocation of wages for staff who have been redeployed to support Niagara Region departments in need of resources due to COVID-19.

Transfers – The unfavourable forecasted variance of \$678 is due to operating savings realized by the delayed purchase of the GO stations being returned to reserve at year-end.

Community Impacts & Achievements
Asset Management Office

- Continuing to collaboratively lead the Region to develop a corporate asset management system
- Established an Asset Management Working Group with cross-Region representation
- Establishing a region-wide asset management community of practice to launch in November
- Led the development of a Risk and Corporate Priority model (CAMRA). The model helps determine the best value to the Region from among the many candidate projects for the 2021 budget
- Supported departments to utilize the CAMRA model, assess, and evaluate the 2021 Capital Budget for presentation to senior management
- Planning and leading the development and submission to the Province of the 2021 Asset Management Plan in accordance with Reg. 588

Business Licensing

- Undertook industry consultation and public consultations in January and February 2020 for business licensing by-law review
- Drafted 5 new business licensing by-laws in May 2020 for industry and legal review
- Prepare Committee report for Q4 2020 new business licensing by-laws
- Release RFP for new Incident Management Software program Q3 2020
- Undertake Provincial Order enforcement in March 2020 for COVID-19 response.
- Review COVID-19 revenue impacts 2020 and monitor

Construction, Energy and Facilities Management

- Installation/replacement of generator systems at Region HQ, providing for continuity of services during emergencies, including critical infrastructure
- Outfitting of 5 SAEO facilities to enable face-to-face consultations with the public
- Coordinate fabrication and installation of COVID-19 barriers in Welland Courthouse for resumption of court service to public
- Procurement of critical PPE and hygiene supplies in support of EMS, Public Health, Police and Community Services for COVID-19 response
- Redeployment of staff to critical duties in support of COVID-19 response
- Procurement of janitorial services for response to COVID-19, ensuring all Region facilities have increased cleaning protocols in place
- Completion of International Plaza at Region Headquarters
- Expansion of the St. Catharines Child Care Centre
- Completion of the Campbell West lighting retrofit project, reducing electricity cost at Region Headquarters and contributing to the Region's pledge to reduce overall electricity use by 8.3% and related Greenhouse gas (GHG) emissions (2019 Conservation & Demand Management Plan)
- Completion of Business Licensing office renovations that have created a more functional workspace

Financial Management and Planning

- Completed the 2019 year end audit;
- Submission to the Province of the 2019 Financial Information Return
- Publication of the 2019 Annual Report
- Developed 2020 tax bylaws and provided required necessary report and bylaws
- Worked with Public Works to update financial implications of South Niagara Falls waste water treatment plant for inclusion in the 2021 budget
- Publication of the 2020 Budget Summary
- 2021 budget planning and preparations
- Successful sale of \$34 million in serial debentures (\$15.5 million Regional) on July 31 at all-time historical low interest rate of 1.43% for 10 years
- Preparation of 2021 Capital and Operating Budgets timetables and planning report for Council and establishing strategies for budget preparation
- COVID-19 Emergency Operations Centre (EOC) support and reporting including tracking of incremental costs, redeployed staff, pandemic pay, collaboration with municipal treasurers, capital projects review, on-line/credit card payments for services
- Completion of Service Sustainability Review project and report to Council

IT Solutions

- Put in place the technology and process to allow: staff to work remotely, Council and Committees to meet over video conference, facilitate public participation in Council and Committee meetings and provide opportunities for public engagement regarding planning and development activities
- Worked with Public Health to deliver comprehensive COVID-19 statistical reporting on the external website
- Implemented online payments on the external website to provide the public with alternative ways to pay for services

- Implemented online chat on the external website for Public Health to support the COVID-19 hotline
- Wireless infrastructure deployed and enhanced the WiFi coverage at all 8 Senior's facilities
- Deployed Recollect mobile application in support of the upcoming Waste Management changes in service delivery

Legal Services

- Legal support to the Regional EOC and to all operating and service departments in response to the COVID-19 pandemic
- Legal support for land transactions that advanced various Transportation capital projects and road improvement initiatives
- Strategic advice and legal support to the GO team on the acquisition of the VIA station property in St. Catharines and the development of the Grimsby GO Station
- Legal advice on numerous capital projects affected by the Provincial Emergency Orders to enable work to advance on those projects deemed essential and assisting Project Managers to help minimize pandemic-related project costs and disruptions
- Legal assistance with formal procurements and agreements relating to: Niagara Homelessness Service System; Area Winter Maintenance; and a number of essential projects
- Successful resolution of a number of claims at mediation and otherwise on favourable terms that represented cost savings for the Region

Procurement and Strategic Acquisitions

- Implementation of weekly meetings on Procurement Project Prioritization for review of essential capital and operational projects
- Complete transition to full electronic bidding including electronic security and surety (as required) for all Regionally issued procurements
- Facilitation of over 160 Formal Procurements resulting in approximately \$61 million in Awarded Contract value

Community Services Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Compensation	\$78,327	\$81,984	-\$3,657	-4.7%	\$104,401	\$109,819	-\$5,418	-5.2%
Administrative	\$1,278	\$1,234	\$44	3.4%	\$1,667	\$1,847	-\$181	-10.8%
Operational & Supply	\$6,965	\$8,245	-\$1,281	-18.4%	\$8,881	\$11,731	-\$2,850	-32.1%
Occupancy & Infrastructure	\$2,659	\$3,606	-\$947	-35.6%	\$3,542	\$4,731	-\$1,189	-33.6%
Equipment, Vehicles, Technology	\$799	\$1,090	-\$292	-36.5%	\$1,039	\$1,419	-\$380	-36.6%
Community Assistance	\$126,022	\$111,543	\$14,478	11.5%	\$165,609	\$160,981	\$4,628	2.8%
Financial Expenditures	\$0	\$7	-\$7	0.0%	\$0	\$7	-\$7	0.0%
Total Expenses	\$216,049	\$207,710	\$8,339	3.9%	\$285,139	\$290,535	-\$5,397	-1.9%
Federal & Provincial Grants	-\$172,747	-\$174,412	\$1,665	1.0%	-\$230,226	-\$239,506	\$9,280	4.0%
By-Law Charges & Sales	-\$2,996	-\$1,691	-\$1,305	-43.6%	-\$3,995	-\$2,291	-\$1,704	-42.6%
Other Revenue	-\$17,822	-\$17,931	\$109	0.6%	-\$23,763	-\$24,072	\$309	1.3%
Total Revenues	-\$193,566	-\$194,034	\$468	0.2%	-\$257,984	-\$265,869	\$7,885	3.1%
Intercompany Charges	\$214	\$1,763	-\$1,549	-722.9%	\$286	\$2,158	-\$1,872	-655.2%
Total Intercompany Charges	\$214	\$1,763	-\$1,549	-722.9%	\$286	\$2,158	-\$1,872	-655.2%
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	\$22,697	\$15,440	\$7,258	32.0%	\$27,440	\$26,824	\$616	2.2%
Transfers From Funds	-\$289	-\$289	\$0	0.0%	-\$289	-\$289	\$0	0.0%
Transfers To Funds	\$1,376	\$2,621	-\$1,245	-90.5%	\$2,234	\$3,463	-\$1,229	-55.0%
Total Transfers	\$1,086	\$2,332	-\$1,245	-114.6%	\$1,945	\$3,174	-\$1,229	-63.2%
Net Expenditure (Revenue) Before Indirect Allocations	\$23,783	\$17,771	\$6,012	25.3%	\$29,385	\$29,998	-\$613	-2.1%
Indirect Allocations & Debt	\$18,161	\$17,434	\$727	4.0%	\$21,556	\$20,150	\$1,406	6.5%
Total Indirect Allocations & Debt	\$18,161	\$17,434	\$727	4.0%	\$21,556	\$20,150	\$1,406	6.5%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	\$41,945	\$35,206	\$6,739	0.0%	\$50,941	\$50,148	\$793	1.6%

Community Services - Continued

Variance Analysis (in thousands of dollars)

Community Services has a year-to-date operating surplus before indirect allocations of \$6,012, with a forecasted deficit of \$613 (2.1 per cent of the net budget) which are being driven by the timing of costs related to the COVID-19 pandemic. The following factors contribute to these variances:

Compensation - The unfavourable year-to-date and forecasted variances of \$3,657 and \$5,418 are primarily due to the following:

- **Childrens:** Favourable year-to-date and forecasted variances of \$285 are due to vacancies driven by an initial corporate strategy to hold recruitment for roles due to the pandemic and lower than anticipated replacement pay in the Regionally operated child care centres.
- **Homelessness:** Unfavourable year-to-date and forecasted variances of \$201 and \$507 are due to additional staffing and overtime required at the COVID shelters.
- **Seniors:** Unfavourable year-to-date and forecasted variances of \$4,026 and \$5,557 are due to additional hours, overtime and pandemic pay (100% provincially funded below) related to increased workload as a result of COVID-19.
- **SAEO:** Favourable year-to-date and forecasted variances of \$288 and \$363 respectively are due to vacancies driven by an initial corporate strategy to hold recruitment for roles due to the pandemic.

Administration - The unfavourable year-to-date and forecasted variances of \$44 and \$181 respectively are primarily due to the printing and signage costs for long-term care homes as a result of COVID-19.

Operational & Supply – The unfavourable year-to-date and forecasted variances of \$1,281 and \$2,850 are due to the following:

- **Homelessness:** The unfavourable year-to-date and forecasted variances of \$814 and \$1,627 relate to incremental costs to support agencies, food, protective personal equipment (PPE), transportation, estimated room damages, support programs, staffing by agencies at the COVID shelter and operating a housing-focused shelter pilot during COVID-19 (which also added critical enhanced bed capacity to avoid shelter overcrowding). These incremental costs are 100% provincially and/or federally funded in revenues below.
- **Seniors:** Unfavourable year-to-date and forecasted variances of \$899 and \$1,326 respectively relate primarily to increased usage of medical supplies and PPE, as well as disposable kitchen supplies as a result of COVID-19.
- **SAEO:** The favourable year-to-date variance of \$429 is due to lower than expected spend on external employment contracts due to the pandemic. There will be a purchase of IT equipment in the last quarter, further supporting increased on-line service provision, resulting in a favourable forecasted variance of \$109.

Occupancy & Infrastructure – The unfavourable year-to-date and forecasted variances of \$947 and \$1,189 are due to the following:

- **Homelessness:** The unfavourable forecasted variance of \$111 relates to incremental costs for cleaning services at the COVID shelters, which are fully funded in revenues below.
- **Seniors:** The unfavourable year-to-date and forecasted variances of \$823 and \$1,039 relate primarily to the increased usage of housekeeping supplies (\$286), as well as usage of contracted services to provide both supervision of high risk residents in isolation and support for screening staff at the long-term care homes (\$755) (with these costs partially mitigated with new provincial funding).

Equipment, Vehicles, Technology – The unfavourable year-to-date and forecasted variances of \$292 and \$380 are primarily due to the need for additional nursing, housekeeping, laundry equipment (e.g. non-contact thermometers, over-bed tables, isolation laundry carts), as well as table barriers for staff screening and resident dining.

Community Assistance - The favourable year-to-date and forecasted variances of \$14,478 and \$4,628 respectively are due to the following:

- **Childrens:** The favourable year-to-date variance of \$9,497 is due to initial uncertainty with provincial funding announcements and directives, resulting in a conservative approach in issuing expansion funding, mindful of the ongoing need to ensure sustainability of the child care system. The unfavourable forecasted

Community Services - Continued

variance of \$853 is primarily due to the completion of the 100% ministry-funded community capital builds, which were not budgeted due to the uncertainty of timing and cost in 2020 as they were a multi-year construction project.

- Homelessness: The favourable year-to-date and forecasted variances of \$654 and \$93 relate to using emergency motels less than expected (\$220 and \$114) and claiming discretionary expenses budgeted in homelessness through SAEO in order to maximize subsidy funding (\$818 and \$766). Another contributing factor are the 2019 encumbered funds to allow for an increased number of supportive housing units, associated supports and housing allowances as approved by Council (report NRH 9-2019) (\$240 and \$224), offset in transfers below. These favourable variances are offset by the incremental costs of the Region's COVID shelters (\$553 and \$831).
- SAEO: The favourable year-to-date and forecasted variances of \$4,330 and \$5,392 are due to lower than expected uptake in client-related benefits, such as dental, childcare, shelter (\$3,622) and employment-related benefits (\$1,478), directly related to reduced caseload and the government's issuance of the federal CERB benefit as a result of the pandemic. This is offset by a corresponding reduction in revenues below.

Federal & Provincial Grants – The favourable year-to-date and forecasted variances of \$1,665 and \$9,280 are due to the following:

- Childrens: The unfavourable year-to-date variance of \$3,520 is due to timing of community assistance payments. The favourable forecasted variance of \$2,531 is due to the 100% provincially-funded St. Catharines child care centre and other community capital builds (multi-year project) not included in the budget due to the uncertainty of timing and cost.
- Homelessness: The favourable year-to-date and forecasted variances of \$2,394 and \$3,216 relate to confirmed provincial and federal funding specific to supporting incremental costs related to homelessness during the COVID-19 pandemic.
- Seniors: The favourable year-to-date and forecasted variances of \$5,898 and \$7,820 are primarily related to Long-Term Care Emergency Funding (\$2,330), Pandemic Pay funding (\$4,240 - \$4/hr for eligible staff working in long-term care/assisted living facilities) and base funding increases (\$841), including funding factor based on resident acuity, issued by the Ministry of Long-Term Care (MOLTC).
- SAEO: Unfavourable year-to-date and forecasted variances of \$3,107 and \$4,287 are primarily due to the lower than expected client benefit issuances as noted in community assistance above.

By-Law Charges & Sales - The unfavourable year-to-date and forecasted variances of \$1,305 and \$1,704 are due to the following:

- Childrens: The unfavourable year-to-date and forecasted variances of \$915 and \$1,213 are due to parental fees not collected during the emergency order (for both closure of operations and then provision of emergency worker child care with no parental fees), along with subsequent lower capacity, resulting in decrease in parental fees collected.
- Seniors: The unfavourable year-to-date and forecasted variances of \$391 and \$491 respectively are due to loss of fee revenue associated with Seniors Community Programs that have not operated during the COVID-19 pandemic.

Other Revenue - The favourable forecasted variance of \$309 is primarily due to higher than anticipated provincially established accommodation fees within long-term care.

Intercompany Charges – The unfavourable year-to-date and forecasted variances of \$1,549 and \$1,872 are primarily due to the reallocation of wages for staff who have been redeployed from other Niagara Region departments to support essential Community Services programs in need during the COVID-19 pandemic. These costs are supported within the base budget of the redeployed staff's home department and are not incremental costs to the Region.

Community Services - Continued

Transfers – The unfavourable year-to-date and forecasted variances of \$1,245 and \$1,229 are as follows:

- Childrens: The unfavorable variance of \$1,005 is due to the completion of the St. Catharines child care centre addition, which is funded from the province and the offset is seen in the federal and provincial grant line.
- Homelessness: The unfavourable year-to-date and forecasted variances of \$240 and \$224 relate to the transfer to the 2019 encumbrance reserve to fund additional supportive housing units as previously approved by Council (report NRH 9-2019).

Community Impacts & Achievements

Children Services

- As of September 30, 2020, the child care system has reopened 78% of its pre-COVID level licensed spaces, a great rebound with more growth expected in October.
- While the system is currently operating at 50% of current licensed capacity, it is only operating at 39% of the pre-COVID licensed capacity. This reduction in operational capacity is due mostly to staff shortages, lack of operating space available within schools and, as demonstrated in our own directly operated centres, the reduced demand for care for younger age groups (infant, toddler, preschool) with more families working from home.
- Children in the system were absent 3,404 days in September alone due to COVID-related testing or isolation directives while waiting for test results. None of these cases were due to a positive COVID infection.
- On August 14, 2020, the province announced \$4.533 million of Safe Restart Funding (SRF) for child care. These funds can be used for additional personal protective equipment (gloves, gowns, etc.), enhanced cleaning, additional staff to meet health and safety requirements, support for short-term vacancies as operators transition to return to full capacity, and minor capital required in accordance with the Ministry's reopening operational guidance or local public health requirements.

Senior Services

- Overall, three factors contributed to successful risk mitigation outcomes during the first wave of the pandemic: enhanced infection prevention and control practices, inventory of pandemic supplies in place prior to the pandemic, and building on existing practices of analytics and relational care.
- Successfully worked with families to introduce essential caregivers into the homes to support resident care.
- Progress on the redevelopment projects is ongoing. Preliminary plans for Linhaven have been submitted to the MOLTC and preliminary plans for Gilmore Lodge are being finalized.

Homelessness and Community Engagement

- The formal procurement for the homelessness service system was completed for the funding period April 1, 2020 to March 31, 2023.
- Established a dedicated site where people experiencing homelessness can safely be isolated while waiting for COVID-19 test results and/or for those who have tested positive for the virus, in response to the COVID-19 pandemic. The Isolation Shelter has been in operation since March 30, 2020. As of September 30, 2020, the isolation shelter has had 196 intakes. Of those, 30 have moved into temporary supportive or permanent housing (includes family reunification). Of the COVID-19 swabs collected and tested on site, all results to date were negative.
- On June 1, 2020, an incubation model for a housing-focused shelter pilot was established, which supports individuals who are the most chronically homeless in Niagara. The work at the shelter pilot connects people to permanent housing solutions through Home for Good and Housing First programming. During the first 4 months of operation, the shelter has had 26 intakes with the following outcomes: 14 individuals have secured permanent housing; 1 individual has secured supportive housing and 4 others have active applications for permanent housing.
- Effective April 1, 2020, Homelessness commenced the new Niagara Assertive Street Outreach program (NASO). This enhanced outreach offering has ensured COVID

Community Services - Continued

screening for clients living rough and has created a partnership with 211 information services where citizens can report homeless persons who need assistance. This program includes an online comprehensive mapping and geo-location model to understand and track outreach efforts, areas of encampments and gathering spots for Niagara's homeless population. This online solution has equipped the outreach team with a common tool that allows data collection in a more consistent, reliable and shared approach, giving the ability to perform deeper data analysis of where homeless encampments and unsheltered individuals are located.

Social Assistance and Employment Opportunities

- Ontario Works caseload experienced a 0.8% decrease 2020 over 2019
- The average number of intake calls from April through August 2020 was 620 per month; compared to 1,300 in 2019
- Intake calls increased to 900 in September and October is anticipated to exceed 1,000
- Experienced a 48% decrease in the number of cases with earnings 2020 over 2019; (8.76% and 16.88% respectively)
- In September, 560 high-risk clients received in-person service and October is expected to exceed 800.

Public Health & Emergency Services Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Compensation	\$62,375	\$65,501	-\$3,126	-5.0%	\$82,664	\$87,542	-\$4,879	-5.9%
Administrative	\$1,403	\$1,202	\$201	14.3%	\$1,889	\$1,592	\$297	15.7%
Operational & Supply	\$4,074	\$4,661	-\$587	-14.4%	\$5,414	\$5,845	-\$431	-8.0%
Occupancy & Infrastructure	\$456	\$565	-\$109	-23.9%	\$604	\$768	-\$163	-24.9%
Equipment, Vehicles, Technology	\$1,533	\$1,713	-\$180	-11.7%	\$2,042	\$2,573	-\$532	-26.0%
Financial Expenditures	\$0	\$2	-\$2	0.0%	\$0	\$2	-\$2	0.0%
Total Expenses	\$69,841	\$73,645	-\$3,804	-5.4%	\$92,612	\$98,322	-\$5,710	-6.2%
Federal & Provincial Grants	-\$49,669	-\$49,515	-\$154	-0.3%	-\$66,254	-\$67,907	\$1,653	2.5%
By-Law Charges & Sales	-\$97	-\$54	-\$44	-44.9%	-\$130	-\$61	-\$69	-53.3%
Other Revenue	-\$509	-\$459	-\$50	-9.8%	-\$678	-\$613	-\$65	-9.5%
Total Revenues	-\$50,275	-\$50,027	-\$248	-0.5%	-\$67,062	-\$68,581	\$1,519	2.3%
Intercompany Charges	\$1,153	\$1,337	-\$184	-15.9%	\$1,538	\$1,719	-\$181	-11.8%
Total Intercompany Charges	\$1,153	\$1,337	-\$184	-15.9%	\$1,538	\$1,719	-\$181	-11.8%
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	\$20,719	\$24,955	-\$4,235	-20.4%	\$27,088	\$31,460	-\$4,371	-16.1%
Transfers From Funds	-\$585	-\$585	\$0	0.0%	-\$759	-\$759	\$0	0.0%
Transfers To Funds	\$224	\$224	\$0	0.0%	\$256	\$256	\$0	0.0%
Total Transfers	-\$361	-\$361	\$0	0.0%	-\$503	-\$503	\$0	0.0%
Net Expenditure (Revenue) Before Indirect Allocations	\$20,358	\$24,593	-\$4,235	-20.8%	\$26,586	\$30,957	-\$4,371	-16.4%
Indirect Allocations & Debt	\$12,325	\$11,934	\$392	3.2%	\$15,052	\$14,708	\$344	2.3%
Total Indirect Allocations & Debt	\$12,325	\$11,934	\$392	3.2%	\$15,052	\$14,708	\$344	2.3%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	\$32,683	\$36,527	-\$3,844	0.0%	\$41,637	\$45,665	-\$4,028	-9.7%

Public Health & Emergency Services - Continued

Variance Analysis (in thousands of dollars)

Public Health (PH) & Emergency Medical Services (EMS) is operating at a year-to-date unfavourable variance before indirect allocations of \$4,235, with a forecasted year-end unfavourable variance of \$4,371, due to the following factors:

Compensation – The unfavourable year-to-date variance of \$3,126 is primarily due to COVID-19 staffing costs of \$3,165 (\$1,385 for EMS replacement and pandemic pay, \$1,064 for approved over-complement staffing and \$716 in overtime for PH). The forecasted unfavourable variance is \$4,879 and is also primarily due to COVID-19 staffing costs of \$5,815 (\$1,425 for EMS replacement and pandemic pay, \$373 for EMS special lieu payouts, \$2,369 for approved over-complement staffing in PH, and PH overtime and time in lieu of \$1,648). As an offset to the incremental COVID-19 expenses, gapping due to staffing vacancies in PH is forecasted at \$1,400. In addition, Workplace Safety Insurance Board (WSIB) costs in EMS have unfavourable variances year-to-date and forecasted of \$443 and \$581.

Administrative – The favourable year-to-date and forecasted variances of \$201 and \$297 are primarily a result of staff development and conferences that have not occurred due to COVID-19.

Operational & Supply - The unfavourable year-to-date and forecasted variances of \$587 and \$431 are primarily due to increased personal protective equipment (PPE) purchases in EMS and Clinical services due to COVID-19 (\$914 and \$668). In addition, a budget adjustment was completed in CDIP to reallocate \$128 of operating budget to capital in order to purchase tobacco enforcement vehicles. These unfavourable variances are partially offset by savings due to delays in contracting Occupational Therapists in EMS (\$95 and \$136), and PH program mileage and supply savings (\$150 and \$191).

Occupancy & Infrastructure – The unfavourable year-to-date and forecasted variances of \$109 and \$163 are driven by the expansion of the EMS Westwood fleet centre, as well as the COVID-driven need to re-lease the former MIH space at EMS headquarters to facilitate training.

Equipment, Vehicles, Technology – The unfavourable year-to-date and forecasted variances of \$180 and \$532 are driven mainly by the purchase of laptops and technology upgrades in PH (\$21 year-to-date, \$150 forecasted), higher than anticipated vehicle and equipment repair costs in EMS (\$90 year-to-date, \$181 forecasted), and ambulance collision repair and replacement costs (\$45).

Federal & Provincial Grants – The unfavourable year-to-date variance of \$154 is primarily due to the timing of costs and revenue recognition in Public Health programs and is partially offset by one-time funding received for EMS dispatch for WSIB of \$452. The forecasted year-end favourable variance of \$1,653 is comprised of several factors, including favourable variances of \$452 for one-time WSIB funding in EMS Dispatch, \$707 for one-time school-focused nurse funding, \$974 for EMS pandemic pay grants received and \$202 of Dedicated Offload Nurse funding that was announced after the 2020 budget had been finalized. This additional funding is offset by funding assumptions included in the 2020 EMS budget that have not been provided by the Ministry of Health, including \$316 for increased land ambulance WSIB, \$285 for Emergency Communication Nurse (ECN) funding, and \$113 for dispatch WSIB funding.

By-Law Charges & Sales – The unfavourable year-to-date and forecasted variances of \$44 and \$69 are the result of lower than anticipated PH by-law related product sales to the public (vaccines, contraception, etc.) due to COVID-19.

Intercompany Charges - The unfavourable year-to-date and forecasted variances of \$184 and \$181 are driven by the net costs related to staffing resources who have been redeployed from other departments to support Public Health through the COVID-19 pandemic.

Public Health & Emergency Services - Continued

Community Impacts & Achievements

Mandatory and Related Programs

- Reorientation of Public Health operations to focus on the COVID-19 pandemic response, with 155 staff of approximately 280 FTEs redeployed to support this effort. Core activities include outbreak management, case follow-up, contact tracing, infection prevention and control inspections, collaboration with health care providers, and communicating and informing the public.
- Success in reducing the spread of COVID-19 by early May, and slowing the pace of outbreaks, with remaining outbreaks much smaller during Q2.
- With many staff redeployed, many Public Health services were scaled back, including School Health, Dental Health, Vaccinations, Sexual Health, parenting and child health supports, and family home visiting.
- Public Health is continuing to move forward the Health Promotion Project, understanding that 75% of morbidity and mortality is due to chronic diseases (alcohol, tobacco, unhealthy eating and lack of physical activity) using Evidence-Informed Decision Making to develop the best interventions to address Niagara's biggest health priorities.

Mental Health

- Participation in a four year project to improve evidence-based treatment protocols in the Early Intervention in Psychosis service.
- Improvements to our intake process to ensure our clients have access to the right service, at the right time, in the right place.
- Intensive training for clinical staff on evidence-based treatments and protocols, including suicide assessment and intervention, cognitive behavioural therapy and dialectical behaviour therapy.
- Participating in the Mental Health and Addictions Collaborative for system planning in Niagara.
- Working in partnership with Community Services to bring mental health services to the homelessness sector.
- Evaluation of outcomes for clients accessing various treatment modalities across mental health services shows improvement in client outcomes.

Emergency Services

- For the duration of the COVID-19 pandemic, Niagara Emergency Medical Services (NEMS) has continued uninterrupted provision of core 911 Mobile Integrated Health (MIH) services, including land ambulance services.
- Community response to COVID-19 has had a significant impact on the delivery of EMS services
 - Provided unconventional resources such as Public Health specimen collection and PPE training to the community
 - Reductions in calls, patient transports and overall hospital utilization resulted in a decrease of ambulance offload delays by 81%
 - The recovery of emergency ambulance resources otherwise spent in offload delay has normalized system performance, demonstrating that response time performance targets can be achieved.
- Economic analysis of the EMS system transformation by McMaster University has identified significant efficiencies from this model and is informing future sustainability planning .
- The system has decreased call volumes for most municipal fire services responding to medical-related calls by approximately 50% or more, with no identifiable adverse impacts to patient outcomes as a result.
- Emergency Communications Nurse (ECN) program provided pandemic support and received Accredited Centre of Excellence designation – only the fourth service in the world to achieve this standard.

Public Health & Emergency Services - Continued

Emergency Management

- The Emergency Management (EM) program has provided full pandemic response support to the Region and local area municipalities in all areas of planning and response.
- Future focus is on recovery planning and preparation for second wave.

Fire Coordinator

- Coordination of pandemic response plans related to fire tiered response.

Chemical-Biological-Radioactive-Nuclear-Explosive (CBRNE) Response Team

- Preparing for the deployment of a revised response plan in partnership with NRPS and municipal fire services.
- Training of team members to support pandemic response.

911 PSAP

- Preparation for implementation of Next Generation 911 (NG911) in 2023.

Public Works – Transportation Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Compensation	\$12,946	\$11,234	\$1,712	13.2%	\$17,240	\$15,465	\$1,775	10.3%
Administrative	\$2,843	\$961	\$1,881	66.2%	\$3,889	\$2,187	\$1,702	43.8%
Operational & Supply	\$20,917	\$12,474	\$8,443	40.4%	\$28,779	\$19,610	\$9,170	31.9%
Occupancy & Infrastructure	\$740	\$403	\$337	45.5%	\$987	\$595	\$392	39.7%
Equipment, Vehicles, Technology	\$1,945	\$1,540	\$406	20.8%	\$2,701	\$2,016	\$685	25.4%
Partnership, Rebate, Exemption	\$275	\$96	\$179	65.2%	\$367	\$347	\$20	5.4%
Financial Expenditures	\$0	\$0	\$0	0.0%	\$0	\$0	\$0	0.0%
Total Expenses	\$39,666	\$26,707	\$12,958	32.7%	\$53,963	\$40,220	\$13,743	25.5%
Federal & Provincial Grants	\$0	-\$27	\$27	0.0%	\$0	-\$27	\$27	0.0%
By-Law Charges & Sales	-\$5,869	-\$3,468	-\$2,401	-40.9%	-\$9,061	-\$4,511	-\$4,550	-50.2%
Other Revenue	-\$1,938	-\$453	-\$1,485	-76.6%	-\$2,696	-\$573	-\$2,124	-78.8%
Total Revenues	-\$7,808	-\$3,949	-\$3,859	-49.4%	-\$11,757	-\$5,111	-\$6,646	-56.5%
Intercompany Charges	-\$1,440	-\$2,004	\$563	-39.1%	-\$1,920	-\$2,593	\$673	-35.0%
Total Intercompany Charges	-\$1,440	-\$2,004	\$563	-39.1%	-\$1,920	-\$2,593	\$673	-35.0%
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	\$30,418	\$20,755	\$9,663	31.8%	\$40,286	\$32,516	\$7,770	19.3%
Transfers From Funds	-\$1,427	-\$1,427	\$0	0.0%	-\$1,619	-\$1,359	-\$260	-16.1%
Expense Allocations To Capital	-\$105	-\$92	-\$13	-12.0%	-\$140	-\$127	-\$13	-9.0%
Total Transfers	-\$1,532	-\$1,519	-\$13	-0.8%	-\$1,759	-\$1,487	-\$273	-15.5%
Net Expenditure (Revenue) Before Indirect Allocations	\$28,886	\$19,236	\$9,650	33.4%	\$38,526	\$31,029	\$7,497	19.5%
Indirect Allocations & Debt	\$32,564	\$31,907	\$657	2.0%	\$39,328	\$39,832	-\$505	-1.3%
Total Indirect Allocations & Debt	\$32,564	\$31,907	\$657	2.0%	\$39,328	\$39,832	-\$505	-1.3%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	\$61,450	\$51,143	\$10,307	0.0%	\$77,854	\$70,862	\$6,992	9.0%

Public Works Transportation - Continued

Variance Analysis (in thousands of dollars)

Public Works Levy is operating at a year-to-date surplus before indirect allocations of \$9,650 and are forecasting a year-end surplus of \$7,497 due to the factors as described below.

The 2020 budget includes expenditures and revenues related to the implementation of the Vision Zero Road Safety program in 2020 in conjunction with the Court Services division. The work on the implementation of the program, including the proposed changes to the Niagara Region Courts Inter-municipal Agreement, has been delayed as a result of the COVID-19 pandemic. Accordingly, no expenditures are expected to be incurred nor revenues realized in 2020. The program was budgeted to break even overall for the year, so while it does cause variances in expense and revenue categories, there will be no net impact on the distribution to the local area municipalities as a result of the delay.

Compensation – The favourable year-to-date and forecasted variances of \$1,712 and \$1,775 are primarily due to delays in filling vacant positions and decreased overtime costs. Forecasted savings related to Vision Zero are \$283.

Administration – The favourable year-to-date and forecasted variances are \$1,881 and \$1,702, respectively. Forecasted savings related to Vision Zero are \$1,034, with the balance related to lower administrative expenses due to COVID-19 impacts.

Operational & Supply – The favourable year-to-date and forecasted variances are \$8,443 and \$9,170, respectively. Forecasted savings related to Vision Zero are \$100. The balance of the forecasted savings are primarily due to reduced Transit Services costs in both Niagara Region Transit (NRT) (\$8,204) and Niagara Specialized Transit (NST) (\$814) as a result of COVID-19 impacts resulting in lower ridership and schedule reductions in 2020. NRT adjusted to COVID-19 impacts by significantly reducing its service by eliminating all express routes and routes 50/55 as well as reducing its operating hours, effectively reducing forecasted service levels to approximately 55% of budget for the entire year. Similarly, NST experienced lower ridership which resulted in savings as the service operator only receives payment per trip delivered. Other operational impacts include lower than anticipated usage of winter sand, winter salt and organic de-icing material (\$140) due to mild winter conditions, and decreases in other program specific supplies and materials (\$12).

Occupancy & Infrastructure – The favourable year-to-date and forecasted variances of \$337 and \$392 are primarily due to lower than expected electricity costs related to delay in rollout of the Street Lighting program.

Equipment, Vehicles, Technology – The favourable year-to-date and forecasted variances are \$406 and \$685, respectively. Forecasted savings related to Vision Zero are \$388, with the balance related to lower fuel prices and usage (\$400) and offsetting increases in other equipment, vehicle and technology costs (\$103).

Federal & Provincial Grants – The favourable year-to-date and forecasted variance of \$27 is due to one-time funding received from the provincial government of Ontario, in partnership with the federal government, under the Safe Restart Agreement to assist with delivery of transit services during the COVID-19 pandemic; for example, funding to support enhanced cleaning costs of buses.

By-Law Charges & Sales Revenue – The unfavourable year-to-date and forecasted variances are \$2,401 and \$4,550, respectively. The forecasted unfavourable variance is primarily due to reduced Transit fare revenue in both NRT (\$3,490) and NST (\$60) related to COVID-19 impacts and lower ridership. Niagara College transitioned to an online educational model and opted to terminate the U-Pass program beginning in May 2020, thereby eliminating a significant portion of NRT revenue, as Niagara College students represented approximately 80% of NRT ridership. The remaining variance is primarily due to lower than expected signs sales and signal maintenance revenue of \$950.

Other Revenue – The unfavourable year-to-date and forecasted variances are \$1,485 and \$2,124, respectively. Forecasted deficit related to Vision Zero is \$1,725, with the balance of the deficit due to lower proceeds from sale of equipment (\$231) and other revenue shortfalls (\$167).

Public Works Transportation - Continued

Intercompany Charges – The favourable year-to-date and forecasted variances of \$563 are largely due to the reallocation of wages for staff redeployed to support other regional divisions in need due to the COVID-19 pandemic.

Transfers to Funds – The unfavourable year-to-date and forecasted variances are \$13 and \$273, respectively. Forecasted deficit related to Vision Zero is \$80, with the balance of the deficit primarily due to lower one-time funding requirement for the Airports study.

Community Impacts & Achievements

- The Regional Road Network consists of 1,732 total lane kms of road. As part of the Region's Transportation Engineering capital program, 49.22 lane kms of roadways will be resurfaced in 2020 through the annual Hot Mix Program-Phases I and II.
- The Region's Transportation Planning department has initiated the Vision Zero Road Safety Plan to enhance safety and community wellbeing for Niagara's residents and visitors. A comprehensive 5 year Action Plan is underway, focused on reducing traffic-related fatalities and serious injuries on Niagara's streets. The Plan addresses safety for the most vulnerable users of our transportation system (pedestrians, school children, older adults and cyclists) and encourages a multi-modal transportation system. Ten (10) additional community safety zones will be launched in Fall 2020 throughout the Region, in conjunction with the new school year.
- Pelham Road reconstruction (Phase 2) led by Transportation Engineering has been completed. This is the second phase of a three-phase program that will complete improvements on Pelham Road from Decew Road to Eighth Avenue, including drainage infrastructure, intersection upgrades and geometric improvements. Active transportation has been an important part of this program as the Pelham Road corridor is a highly utilized active transportation route. Phase 3 is currently in the design stage and will move to construction in the near future.
- Infrastructure Means Protection project has been completed, and an innovative approach to mitigating falls from height has been implemented.
- Regional Road 20 through Smithville in the Township of West Lincoln is now home to the Region's fourth and fifth roundabouts at the intersections of South Grimsby Road 6 and Townline Road. The implementation of these features represents a significant investment in a growing community aimed at improving traffic flow and road safety through the Township.
- Transportation Master Plan (TMP) ongoing strategic projects are underway, including St. Paul Street Bridge Environmental Assessment (EA), Bridge Street EA, Casablanca Boulevard EA and Thorold Stone Road Extension EA that support multi-modal travel demands and capacity improvements, active transportation and GO Initiatives.
- Transit Governance framework: The transit governance study, undertaken to recommend a consolidated Full Commission model for regional transit service in Niagara, was completed in Q4 2020 and brought forward to the Linking Niagara Transit Committee (LNTC). Additional feedback to be sought from local area municipalities through Q4 2020 and Q1 2021.
- Niagara Region launched NRT OnDemand - providing transit in Pelham, Lincoln, Grimsby, West Lincoln and Wainfleet - on August 17, 2020 (delayed from April due to COVID-19). The service experienced continued growth during its first 10 weeks in operation. An expansion zone is set to launch in Niagara-on-the-Lake on November 23, 2020.
- NRT made significant service-level changes due to both Brock University and Niagara College transitioning to substantially online program delivery. As approximately 80% of NRT's ridership is made of students, current ridership requirements are significantly lower than in 2019. Staff continues to monitor these events to ensure that appropriate level of service is deployed to meet demand.

Planning & Development Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Compensation	\$4,400	\$3,957	\$443	10.1%	\$5,837	\$5,251	\$586	10.0%
Administrative	\$1,793	\$431	\$1,362	76.0%	\$2,391	\$1,361	\$1,030	43.1%
Operational & Supply	\$18	\$12	\$6	34.6%	\$23	\$17	\$6	25.9%
Occupancy & Infrastructure	\$0	\$0	\$0	0.0%	\$0	\$0	\$0	0.0%
Equipment, Vehicles, Technology	\$27	\$35	-\$7	-27.5%	\$36	\$37	\$0	-1.4%
Partnership, Rebate, Exemption	\$79	\$10	\$70	87.9%	\$106	\$36	\$70	65.9%
Total Expenses	\$6,317	\$4,444	\$1,874	29.7%	\$8,394	\$6,702	\$1,692	20.2%
By-Law Charges & Sales	-\$1,373	-\$1,098	-\$276	-20.1%	-\$1,833	-\$1,486	-\$348	-19.0%
Other Revenue	-\$1,018	-\$324	-\$694	-68.2%	-\$1,358	-\$821	-\$537	-39.6%
Total Revenues	-\$2,392	-\$1,422	-\$970	-40.6%	-\$3,191	-\$2,306	-\$885	-27.7%
Intercompany Charges	-\$330	-\$385	\$55	-16.6%	-\$440	-\$500	\$60	-13.7%
Total Intercompany Charges	-\$330	-\$385	\$55	-16.6%	-\$440	-\$500	\$60	-13.7%
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	\$3,596	\$2,638	\$958	26.7%	\$4,763	\$3,896	\$868	18.2%
Transfers From Funds	-\$664	-\$664	\$0	0.0%	-\$664	-\$252	-\$412	-62.1%
Total Transfers	-\$664	-\$664	\$0	0.0%	-\$664	-\$252	-\$412	-62.1%
Net Expenditure (Revenue) Before Indirect Allocations	\$2,932	\$1,974	\$958	32.7%	\$4,099	\$3,644	\$455	11.1%
Indirect Allocations & Debt	\$817	\$690	\$127	15.6%	\$1,033	\$917	\$116	11.3%
Total Indirect Allocations & Debt	\$817	\$690	\$127	15.6%	\$1,033	\$917	\$116	11.3%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	\$3,749	\$2,663	\$1,086	0.0%	\$5,133	\$4,561	\$572	11.1%

Variance Analysis (in thousands of dollars)

Planning and Development is operating at a year-to-date surplus before indirect allocations of \$958, with a forecasted surplus of \$455 before indirect allocations for year-end. The following factors have contributed to this surplus.

Compensation - The favourable year-to-date and forecasted variances of \$443 and \$586 are due to staff vacancies resulting from delayed recruitment due to the COVID-19 pandemic and difficulty recruiting senior professional positions.

Administration - The favourable year-to-date and forecasted variances of \$1,362 and \$1,030 are due to the timing of consulting expenditures involving the new Regional Official Plan (ROP) and a known surplus of consulting dollars due to prioritization of the background studies which form the ROP. The delay in ROP expenditure is a direct result of the provincial decision to release revised guidance material and the related process.

Partnership, Rebate, Exemption - The favourable year-to-date and forecasted variances of \$70 are due to agricultural grants not accessed due to pandemic restrictions.

By-Law Charges & Sales - The unfavourable year-to-date and forecasted variances of \$276 and \$348 are due to lower than anticipated application volumes within development planning. The volumes decreased significantly at the end of the first quarter as a direct result of the COVID-19 pandemic; however, development activity recovered in the third quarter.

Other Revenue - The unfavourable year-to-date and forecasted variances of \$694 and \$537 are due to a decreased transfer of development charge revenue. The development charge revenue is matched to expenditures to partially fund the Regional Official Plan and offsets the administration favourable forecast.

Intercompany Charges - The favourable year-to-date and forecasted variances of \$55 and \$60 are reflective of the reallocation of wages for staff members who have been redeployed to support essential services in Community Services during the COVID-19 pandemic.

Transfers - The unfavourable forecasted variance of \$412 is due to ROP project funds being encumbered into 2021 to support project completion timelines.

Community Impacts & Achievements

Planning & Development provides land use planning and development review including natural heritage, urban design, growth management policy and implementation services, capacity planning, water and wastewater master planning, development engineering, development agreements and growth infrastructure planning. The department also provides services related to Part 8 of the Ontario Building Code (private sewage systems) to nine of the twelve local area municipalities.

Project Updates/Accomplishments

- Regional Official Plan (ROP) work is ongoing and progressing on track with attendance at all local councils and established frameworks, background studies and policy development. Public Information Centres (Open Houses), online electronic surveys, Public Meetings and social media input will be occurring in 2020 on key policy issues and draft policy.
- Supported full audit preparation for the grant and incentives review while continuing to deliver programs, future direction from Council will be required.
- Woodland By-law review is ongoing and a virtual open house was held on June 17th, 2020. Updated By-law to be presented to Council in Q4 for endorsement.

Other Initiatives

Leading/Supporting the following Regional Council's Strategic Priorities:

- Implementing GO Hub and Transit Stations Strategy, Streamlining Process for Development Approvals, Facilitating Development Solutions, Grant and Incentive Programs, Affordable Housing and the Housing Action Plan and the Airport Strategy.

Growing Niagara

- Leading the 2021 Water & Wastewater Master Servicing Plans
- District & Secondary Plans: Brock Plan implementation, Glendale Plan ongoing and Prudhommes Plan complete

- Providing assistance with development of the Master Community Plan for Smithville
- Supporting major development initiatives and alignment with growth infrastructure
- Providing assistance for City of Welland for northwest urban boundary expansion.
- Substantive background work on the Region’s new Official Plan, including separate background reports or studies on Employment, Housing, Climate Change, Aggregates, Agriculture, and Natural Environment.

Supporting Local Communities, Fostering Great Development

- 64% increase in development application revenues between 2015-2019
- 45% increase in pre-consultations between 2015-2019
- 90% of applications satisfied review timeline targets in 2019
- Leading Environmental Planning review function
- Developing stormwater and hydrogeology guidelines for the Niagara Region
- Developing and implementing wet weather management programs and education in partnership with the Local Area Municipalities and the Combined Sewer Overflow Program.
- Advancement of Master Plan/Site Plans for LTC builds at Linhaven in St. Catharines, and Gilmore Lodge in Fort Erie. The plans for these properties, and considerations for adjacent compatible uses are advancing to the initial planning approvals stage, concurrently with architectural designs for the LTC Homes themselves.
- Establishing Joint Agency Review Teams to guide two new pending quarry applications in the City of Niagara Falls and the City of Port Colborne
- Working with the agricultural community to streamline provincial regulations related to on-farm uses.
- Updated the Regional Woodland Conservation By-law
- Working with the City of Niagara Falls in advancing infrastructure works and planning approvals for the South Niagara Falls Hospital.

Building Great Communities - Urban Design and Landscape Architecture

- Regional facilities and streetscapes in core areas through the Public Realm Investment Program,
- Providing assistance to several communities with urban design solutions,
- Implementing the Transportation Master Plan through Complete Streets,
- Successful construction of the International Plaza
- Administration of the 2020 Niagara Biennial Design Awards (Winners to be announced in the Fall)

Court Services Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Compensation	\$1,875	\$1,197	\$678	36.2%	\$2,570	\$1,596	\$973	37.9%
Administrative	\$2,057	\$830	\$1,227	59.6%	\$2,891	\$1,357	\$1,534	53.1%
Operational & Supply	\$826	\$404	\$422	51.1%	\$1,163	\$410	\$752	64.7%
Occupancy & Infrastructure	\$0	\$0	\$0	0.0%	\$0	\$1	-\$1	0.0%
Equipment, Vehicles, Technology	\$0	\$10	-\$9	N/A	\$1	\$10	-\$9	N/A
Financial Expenditures	\$118	\$150	-\$31	-26.2%	\$158	\$199	-\$41	-26.0%
Total Expenses	\$4,876	\$2,590	\$2,286	46.9%	\$6,782	\$3,575	\$3,207	47.3%
By-Law Charges & Sales	\$0	\$0	\$0	0.0%	\$0	\$0	\$0	0.0%
Other Revenue	-\$6,443	-\$3,861	-\$2,582	-40.1%	-\$8,860	-\$5,040	-\$3,820	-43.1%
Total Revenues	-\$6,443	-\$3,861	-\$2,582	-40.1%	-\$8,860	-\$5,040	-\$3,820	-43.1%
Intercompany Charges	-\$5	-\$81	\$76	N/A	-\$7	-\$106	\$99	N/A
Total Intercompany Charges	-\$5	-\$81	\$76	N/A	-\$7	-\$106	\$99	N/A
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	-\$1,572	-\$1,352	-\$219	-14.0%	-\$2,085	-\$1,571	-\$513	-24.6%
Transfers To Funds	\$150	\$150	\$0	0.0%	\$200	\$200	\$0	0.0%
Total Transfers	\$150	\$150	\$0	0.0%	\$200	\$200	\$0	0.0%
Net Expenditure (Revenue) Before Indirect Allocations	-\$1,422	-\$1,202	-\$219	-15.4%	-\$1,885	-\$1,371	-\$513	-27.2%
Indirect Allocations & Debt	\$911	\$878	\$33	3.7%	\$1,150	\$1,095	\$55	4.8%
Total Indirect Allocations & Debt	\$911	\$878	\$33	3.7%	\$1,150	\$1,095	\$55	4.8%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	-\$511	-\$325	-\$186	0.0%	-\$734	-\$276	-\$458	-62.4%

Court Services - Continued

Variance Analysis (in thousands of dollars)

Court Services is operating at a year-to-date deficit after indirect allocations of \$186 with a forecasted deficit of \$458 due to the factors as described below.

The 2020 budget includes expenditures and revenues related to the implementation of the Vision Zero Road Safety program in 2020 in conjunction with the Transportation Services division. The work on the implementation of the program, including the proposed changes to the Niagara Region Courts Inter-municipal Agreement, has been delayed as a result of the COVID-19 pandemic. Accordingly, no expenditures are expected to be incurred or revenues realized in 2020. The program was budgeted to break even overall for the year, so while it does cause variances in expense and revenue categories, there will be no net impact on the distribution to the local area municipalities as a result of the delay.

Distribution to Local Area Municipalities - The total distribution to the local area municipalities and the Region for the year is forecasted to be \$458 each, a reduction from the budgeted \$734 distribution. This is due in large part to a decrease in fine payments received as a result of the impacts of the COVID-19 pandemic, such as the closure of the courthouse to the public (re-opened September 14, 2020) and adjournment of in-person court proceedings, as well as a reduction in the volume of charges that have been laid since the start of the pandemic. The revenue reductions have been partially offset by savings realized as a result of the adjournment of court matters, as well as the redeployment of staff to other departments within the Niagara Region in greater need of support through the pandemic. First and second quarter payments have been distributed based on the budgeted allocations. If the forecasted decreases are realized at year-end, they will be adjusted through the final 2020 distribution to local area municipalities in Q1 2021.

Compensation - The favourable year-to-date and forecasted variances are \$678 and \$973 respectively. Forecasted savings related to Vision Zero are \$650, with the balance related to vacancy management, including several staff who have taken voluntary leaves of absence due to the COVID-19 pandemic.

Administrative - The favourable year-to-date and forecasted variances are \$1,227 and \$1,534 respectively. Forecasted savings related to Vision Zero are \$1,038. The balance of the surplus is mainly due to savings associated with the provincial order to temporarily close the courts for the COVID-19 pandemic, such as adjudication and Part III prosecution costs, as well as reduced Victim Fine Surcharge costs as a result of reduced ticket volumes and fine payments received since the start of the pandemic.

Operational & Supply - The favourable year-to-date and forecasted variances are \$422 and \$752. Forecasted savings related to Vision Zero are \$106. The balance of the surplus is related to reduced payments to other POA courts for fines collected on their behalf, which is offset in reduced infraction revenues, and the estimated decrease in the net revenue distribution payment to the local area municipalities reflective of the overall net revenue for the year being less than budgeted.

Equipment, Vehicles & Technology – The unfavourable year-to-date and forecasted variance of \$9 is a result of higher than budgeted minor IT purchases to support virtual court proceedings and electronic COVID screenings, in addition to higher than budgeted computer software support.

Financial Expenditures – The unfavourable year-to-date and forecasted variances of \$31 and \$41 are a result of higher than budgeted collection charges paid to third party collection agencies at a higher rate for third placement matters.

Other Revenue - The unfavourable year-to-date and forecasted variances are \$2,582 and \$3,820. The forecasted revenue deficit related to Vision Zero is \$1,794, with the balance of the deficit due to a significant decrease in ticket volumes processed since the start of the COVID-19 pandemic, and also closure of the courts and deferral of trials which has resulted in deferred convictions and corresponding delays in revenue collection. It is forecasted that based on payment trends and charges laid, revenue in the last quarter is projected (less Vision Zero Impact) to reduce the unfavorable variance year-to-date.

Court Services - Continued

Intercompany Charges – The favourable year-to-date and forecasted variances of \$76 and \$98 are primarily due to the reallocation of wages for staff who have been redeployed to support Region departments in need of resources due to the COVID-19 pandemic.

Community Impacts & Achievements

Court Services is responsible for overseeing the Provincial Offences Court on behalf of the Niagara Region and the 12 Local Area Municipalities in the areas of Administration, Collections and Prosecutions.

- After closing the courthouse building on March 16, the building reopened to the public effective September 14, 2020 for counter service only. Remote service continues to be leveraged wherever possible.
- Direction from the Ministry of the Attorney General has been received indicating that all in-person matters have been adjourned until at least January 25, 2021.
- Since July 6, judicial pre-trial matters and early resolution guilty pleas have been conducted remotely where eligible, before a Justice of the Peace via audio conference.
- Commencing October 19, 2020, all other non-trial remote matters have commenced remotely where eligible, before a Justice of the Peace via audio conference.
- Amendments to the Provincial Offences Act made pursuant to Bill 197, the COVID-19 Economic Recovery Act, 2020, came into effect July 21, 2020. These amendments have enabled Court Services, in consultation with the judiciary, to make greater use of technology to deliver justice services remotely.
- Court services is well equipped to deliver Court services remotely, and has begun to do so, based on extensive preparation for remote matters in addition to the modern technology available onsite at the courthouse facility. Further guidance is pending from the Ministry regarding electronic protocols to enable further transition to remote proceedings.
- Court Services has continued to collaborate with Facilities and Corporate Health and Safety to prepare for the re-opening of the courthouse to the public, as well as resumption of in-person court matters.
- The Court Services team has also supported Seniors Services through redeployment of staff by aiding residents, visitors and staff at Niagara Region's long-term care homes.
- While the COVID-19 pandemic has certainly changed the landscape for 2020, the Court Services team has focused their efforts on transparent, ongoing communication with stakeholders, including enforcement agencies, judiciary, and legal professionals. This helped keep all parties informed, and allowed staff to remain responsive to their needs and maintain business continuity.

Niagara Regional Housing Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Compensation	\$3,924	\$3,872	\$52	1.3%	\$5,215	\$5,048	\$167	3.2%
Administrative	\$692	\$477	\$215	31.1%	\$1,007	\$918	\$89	8.8%
Operational & Supply	\$105	\$86	\$18	17.5%	\$140	\$141	-\$1	-0.6%
Occupancy & Infrastructure	\$11,652	\$11,227	\$425	3.6%	\$15,750	\$15,376	\$374	2.4%
Equipment, Vehicles, Technology	\$208	\$135	\$72	34.9%	\$277	\$219	\$58	21.0%
Community Assistance	\$23,475	\$22,012	\$1,463	6.2%	\$31,508	\$31,786	-\$278	-0.9%
Partnership, Rebate, Exemption	\$0	\$0	\$0	0.0%	\$0	\$0	\$0	0.0%
Financial Expenditures	\$1,475	\$1,353	\$122	8.3%	\$1,967	\$1,834	\$133	6.8%
Total Expenses	\$41,530	\$39,162	\$2,367	5.7%	\$55,863	\$55,322	\$541	1.0%
Federal & Provincial Grants	-\$10,285	-\$9,638	-\$647	-6.3%	-\$13,714	-\$13,781	\$67	0.5%
Other Revenue	-\$12,039	-\$12,220	\$181	1.5%	-\$16,052	-\$16,467	\$415	2.6%
Total Revenues	-\$22,324	-\$21,858	-\$466	-2.1%	-\$29,765	-\$30,248	\$482	1.6%
Intercompany Charges	\$49	\$52	-\$3	-6.5%	\$65	\$69	-\$3	-4.7%
Total Intercompany Charges	\$49	\$52	-\$3	-6.5%	\$65	\$69	-\$3	-4.7%
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	\$19,255	\$17,356	\$1,898	9.9%	\$26,163	\$25,143	\$1,020	3.9%
Transfers From Funds	-\$997	-\$997	\$0	0.0%	-\$1,002	-\$1,002	\$0	0.0%
Transfers To Funds	\$2,412	\$2,412	\$0	0.0%	\$3,183	\$3,183	\$0	0.0%
Total Transfers	\$1,415	\$1,415	\$0	0.0%	\$2,181	\$2,181	\$0	0.0%
Net Expenditure (Revenue) Before Indirect Allocations	\$20,670	\$18,771	\$1,898	9.2%	\$28,345	\$27,324	\$1,020	3.6%
Indirect Allocations & Debt	\$6,576	\$6,536	\$41	0.6%	\$8,099	\$7,990	\$109	1.3%
Total Indirect Allocations & Debt	\$6,576	\$6,536	\$41	0.6%	\$8,099	\$7,990	\$109	1.3%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	\$27,246	\$25,307	\$1,939	0.0%	\$36,444	\$35,314	\$1,130	3.1%

Niagara Regional Housing - Continued

Variance Analysis (in thousands of dollars)

Niagara Regional Housing (NRH) is operating at a favourable year-to-date surplus before indirect allocations of \$1,898, with a forecasted surplus of \$1,020. The year-to-date and forecasted surplus is due to the following factors:

Compensation - The favourable forecasted variance of \$167 is primarily due to a health and dental benefit surplus due to lower claims resulting from COVID-19 pandemic-related closures and restrictions (\$94) and savings from not filling non-essential vacant positions due to COVID-19 (\$83).

Administration - The favourable forecasted variance of \$89 is primarily due to anticipated savings in consulting expenses to the end of the year.

Occupancy & Infrastructure - The favourable year-to-date variance of \$425 is primarily due to \$378 in deferred non-emergency maintenance costs due to COVID-19 and savings seen in utilities of \$190, mainly for natural gas due to recent upgrades in hot water systems and a mild winter. These savings are offset partially by \$166 in incremental costs associated with increased security at owned units and cleaning of high-touch surfaces and common areas due to COVID-19. These trends continue to year-end with a projected favourable variance of \$374, with \$190 related to utilities and \$441 in deferred maintenance costs, offset by \$261 forecasted additional COVID-19 cleaning and security costs.

Community Assistance - The favourable year-to-date variance of \$1,463 is due to delayed spend in ministry-funded programs (\$612) and K3D heat control system upgrades for providers encumbered from the 2019 budget (\$379), both delayed primarily due to COVID-19 restrictions. Also contributing to the variance is \$299 in lower than budgeted subsidy payments to non-profit and co-op housing providers. The delayed spending attributed to COVID-19 is expected to be caught up by year-end. The projected unfavourable year-end variance of \$278 is due to issuance of \$625 in emergency provider capital repair grants by year-end, and an unfavourable ministry-funded program variance of \$92, offset partially by \$476 in lower than budgeted subsidy payments to non-profit and co-op housing providers. The variance associated with ministry-funded programs is offset by a reduction in Federal & Provincial Grants, as revenue is recognized to align with timing of the programs and their related administrative costs.

Financial Expenditures – The year-to-date and forecasted variances of \$122 and \$133 are primarily the result of lower than anticipated write-offs on uncollectable tenant rents on owned units.

Federal & Provincial Grants - The unfavourable year-to-date variance of \$647 and favourable forecasted variance of \$67 is due to timing of ministry-funded programs and related administrative costs, as revenue is recognized based on actual expenses incurred.

Other Revenue - The favourable forecasted variance of \$415 is due primarily to \$276 in higher than anticipated rental revenues for NRH-owned units and \$66 in higher than budgeted investment income from the timing of transfers between Region and NRH bank accounts.

Community Impacts & Achievements

Acting as Service Manager on behalf of Niagara Region, NRH is responsible for Community, Social, Public & Affordable Housing within the context of an ever-increasing wait list and clients struggling through negative effects of poverty. Accomplishments to date in 2020 include:

- **New Units** – construction to increase the number of units on Hawkins Street in Niagara Falls is underway and estimated to be complete in December of 2021. This project includes:
 - a 55 unit, 3-storey apartment building on the corner of Dell Avenue and Hawkins Street
 - an 18 unit, 3-storey apartment building on the corner of Heximer Avenue and Hawkins Street

Niagara Regional Housing - Continued

- *New Units* – 5 units acquired in Thorold with 2 units anticipated to be completed before the end of November 2020 and 3 units completed in Q1 2021.
- *Home Repairs* – NRH received \$545,920 through the Ontario Priorities Housing Initiative (OPHI) for all three streams of the program (Homeowner, Secondary Suite and Multi-Unit). 15 homeowners are currently approved for funding and NRH is working toward streamlining the program as we become more proficient at working under the COVID rules.
- *Homeownership* – NRH received \$200,000 through the Ontario Priorities Housing Initiative (OPHI) Year 1 and \$100,000 through OPHI Year 2. As of September 30, down payment assistance was provided to 16 households to help purchase their first home in 2020.
- *Canada Ontario Housing Benefit (COHB)* – COHB is a portable rent benefit that helps applicants on the Centralized Waiting List pay their rent to their current landlord in the private market. NRH sent out over 3,000 COHB offers to seniors on the waiting list in August. In September, 106 COHB applications were sent to the Ministry.
- *Addressed Homelessness* – Ongoing partnership with Community Services through the Housing First program to move those experiencing homelessness to their own homes with appropriate supports.
- *Housing Providers*
 - The Provider Advisory Committee held virtual meetings to allow the opportunity for ongoing discussions within the group.
 - NRH regularly communicated with Housing Providers to share COVID-related communication materials (e.g. signs/posters), updates from the Ministry of Municipal Affairs and Housing and the Landlord-Tenant Board, as well as steps NRH is taking to respond throughout the pandemic.
- *Improved Public Housing (NRH-owned) communities*
 - NRH began hearing appeals from tenants and applicants virtually
 - In-suite maintenance was re-introduced
 - RAFT summer camps were very successful, with 152 children attending and 1,350 activity kits delivered. Faith Welland camps involved an array of activities (e.g. karate, movie nights, ice cream party, etc.)
 - After School programs began again in one NRH community, while other communities that normally have these programs received weekly activity kits
 - On-site programs like BBQs, balcony bingo and porch visits were held in place of programs that were cancelled or being held virtually (with limited success)
 - Adult masks were distributed to every NRH unit, with instructions and Niagara Region Public Health contact information
 - The Landlord-Tenant Board reopened virtually and NRH was able to obtain a priority hearing
 - NRH partnered with Niagara College to have a Security student offer friendly reminders about COVID guidelines in an effort to reduce social issues resulting from accusations of non-compliance

Niagara Regional Police Services Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Compensation	\$116,515	\$113,255	\$3,260	2.8%	\$157,060	\$153,805	\$3,255	2.1%
Administrative	\$3,160	\$2,562	\$598	18.9%	\$4,213	\$3,569	\$644	15.3%
Operational & Supply	\$1,767	\$2,169	-\$402	-22.7%	\$2,273	\$2,666	-\$393	-17.3%
Occupancy & Infrastructure	\$271	\$208	\$63	23.2%	\$361	\$350	\$10	2.9%
Equipment, Vehicles, Technology	\$5,201	\$5,032	\$169	3.3%	\$6,902	\$6,670	\$233	3.4%
Financial Expenditures	\$1	\$0	\$1	127.4%	\$1	\$0	\$1	100.0%
Total Expenses	\$126,915	\$123,226	\$3,689	2.9%	\$170,810	\$167,060	\$3,750	2.2%
Federal & Provincial Grants	-\$7,252	-\$7,238	-\$14	-0.2%	-\$9,637	-\$9,588	-\$49	-0.5%
By-Law Charges & Sales	-\$4,581	-\$1,900	-\$2,681	-58.5%	-\$6,068	-\$2,206	-\$3,862	-63.6%
Other Revenue	-\$1,639	-\$1,635	-\$4	-0.3%	-\$2,186	-\$2,119	-\$67	-3.1%
Total Revenues	-\$13,473	-\$10,773	-\$2,699	-20.0%	-\$17,891	-\$13,913	-\$3,978	-22.2%
Intercompany Charges	-\$1,021	-\$1,042	\$21	-2.1%	-\$1,361	-\$1,382	\$21	-1.5%
Total Intercompany Charges	-\$1,021	-\$1,042	\$21	-2.1%	-\$1,361	-\$1,382	\$21	-1.5%
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	\$112,422	\$111,411	\$1,011	0.9%	\$151,558	\$151,765	-\$207	-0.1%
Transfers From Funds	-\$187	-\$187	\$0	0.0%	-\$250	-\$250	\$0	0.0%
Transfers To Funds	\$3,038	\$3,038	\$0	0.0%	\$3,150	\$3,150	\$0	0.0%
Total Transfers	\$2,850	\$2,850	\$0	0.0%	\$2,900	\$2,900	\$0	0.0%
Net Expenditure (Revenue) Before Indirect Allocations	\$115,272	\$114,261	\$1,011	0.9%	\$154,458	\$154,665	-\$207	-0.1%
Indirect Allocations & Debt	\$11,295	\$11,624	-\$329	-2.9%	\$15,723	\$18,619	-\$2,896	-18.4%
Total Indirect Allocations & Debt	\$11,295	\$11,624	-\$329	-2.9%	\$15,723	\$18,619	-\$2,896	-18.4%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	\$126,567	\$125,884	\$682	0.0%	\$170,181	\$173,284	-\$3,103	-1.8%

Niagara Regional Police Services - Continued

Variance Analysis (in thousands of dollars)

For the period ending September 30, 2020 the Service's financial result was a net expenditure surplus of \$1,011. The Service is forecasting a \$207 deficit position before indirect allocations by the end of this fiscal year.

Compensation – At September 30, Compensation expense was below the approved budget by \$3,260. This favorable variance is primarily due to a lag in filling vacant positions, reduced employee benefit usage and savings from the 2020 NRPA wage settlement, and is partially offset by civilian staffing costs to meet operational requirements, greater than budgeted retirement sick leave payouts and increased WSIB claims experience. The Service is expecting these trends to continue to year-end. As a result of these factors, the Service is forecasting a \$3,255 surplus for Personnel Costs by year-end.

Other Operational Expenditures - Other Operational Expenditures are comprised of all other operating expenditures excluding Personnel Costs, Financial Expenditures and Interfunctional Transfer. For the period ending September 30, the Other Operational Expenditures was below the approved budget by \$429. This savings is mainly the result of favourable fuel rates and favourable variances in the Police Services Board external legal expenses. In addition, the Service has incurred \$430 from the implementation of COVID-19 emergency measures, mainly for the purchase of personal protective equipment and infection control supplies, which has been offset by savings in staff development, fuel and administrative travel due to COVID-19 restrictions. The Service is forecasting this favorable trend to continue to year-end resulting in a savings of \$495.

Recoveries & Revenues – For the period ending September 30, Gross Revenues and Recoveries were below the approved budget by \$2,699. This shortfall is mainly due to reductions in third party revenue received from the City of Niagara Falls due to the casino closures, as well as reductions in fees for service, special duty and secondment revenues due to COVID-19 emergency measures. The Service is forecasting a \$3,978 deficit for Recoveries & Revenues by year-end. This forecast is based on the assumption that emergency measures will remain in effect for the remainder of the year.

Conclusion

The detailed variance analysis has been prepared based on results of operations at September 30, 2020. At this time, the Service is closely monitoring the potential impact of the COVID-19 pandemic on its financial position and assessing mitigation opportunities.

NPCA Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Partnership, Rebate, Exemption	\$5,809	\$5,810	\$0	0.0%	\$5,809	\$5,810	\$0	0.0%
Total Expenses	\$5,809	\$5,810	\$0	0.0%	\$5,809	\$5,810	\$0	0.0%
Total Revenues			\$0	0.0%		\$0	\$0	0.0%
Total Intercompany Charges			\$0	0.0%		\$0	\$0	0.0%
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	\$5,809	\$5,810	\$0	0.0%	\$5,809	\$5,810	\$0	0.0%
Total Transfers			\$0	0.0%		\$0	\$0	0.0%
Net Expenditure (Revenue) Before Indirect Allocations	\$5,809	\$5,810	\$0	0.0%	\$5,809	\$5,810	\$0	0.0%
Total Indirect Allocations & Debt			\$0	0.0%		\$0	\$0	0.0%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	\$5,809	\$5,810	\$0	0.0%	\$5,809	\$5,810	\$0	0.0%

Niagara Peninsula Conservation Authority - Continued

Niagara Peninsula Conservation Authority (NPCA) is a separate corporation and the Niagara Region levies the Niagara share of the NPCA levy on their behalf. The above summary shows the amount levied on behalf of the NPCA and not their operating results.

Water & Wastewater Services Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Compensation	\$18,842	\$17,956	\$886	4.7%	\$24,852	\$24,072	\$781	3.1%
Administrative	\$2,575	\$1,246	\$1,329	51.6%	\$3,433	\$3,280	\$153	4.5%
Operational & Supply	\$9,875	\$10,831	-\$956	-9.7%	\$13,166	\$14,147	-\$981	-7.5%
Occupancy & Infrastructure	\$13,276	\$11,863	\$1,413	10.6%	\$17,700	\$17,075	\$625	3.5%
Equipment, Vehicles, Technology	\$4,941	\$3,492	\$1,450	29.3%	\$6,588	\$5,858	\$730	11.1%
Partnership, Rebate, Exemption	\$13,137	\$1,211	\$11,926	90.8%	\$17,516	\$17,499	\$16	0.1%
Financial Expenditures	\$0	\$27	-\$27	0.0%	\$0	\$27	-\$27	0.0%
Total Expenses	\$62,646	\$46,625	\$16,020	25.6%	\$83,255	\$81,958	\$1,298	1.6%
Taxation	-\$92,951	-\$92,410	-\$541	-0.6%	-\$122,942	-\$122,239	-\$703	-0.6%
By-Law Charges & Sales	-\$1,066	-\$902	-\$164	-15.3%	-\$1,421	-\$1,480	\$59	4.2%
Other Revenue	-\$6,336	-\$922	-\$5,414	-85.4%	-\$8,448	-\$8,458	\$10	0.1%
Total Revenues	-\$100,353	-\$94,235	-\$6,118	-6.1%	-\$132,811	-\$132,177	-\$634	-0.5%
Intercompany Charges	\$1,333	\$1,210	\$123	9.2%	\$1,777	\$1,654	\$123	6.9%
Total Intercompany Charges	\$1,333	\$1,210	\$123	9.2%	\$1,777	\$1,654	\$123	6.9%
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	-\$36,374	-\$46,399	\$10,025	27.6%	-\$47,778	-\$48,565	\$787	1.6%
Transfers From Funds	-\$6,540	-\$1,183	-\$5,357	-81.9%	-\$8,720	-\$10,370	\$1,650	18.9%
Transfers To Funds	\$30,562	\$32,212	-\$1,650	-5.4%	\$40,749	\$42,399	-\$1,650	-4.0%
Total Transfers	\$24,022	\$31,028	-\$7,007	-29.2%	\$32,029	\$32,029	\$0	0.0%
Net Expenditure (Revenue) Before Indirect Allocations	-\$12,353	-\$15,371	\$3,019	24.4%	-\$15,750	-\$16,536	\$787	5.0%
Indirect Allocations & Debt	\$10,033	\$9,374	\$659	6.6%	\$15,750	\$14,887	\$863	5.5%
Total Indirect Allocations & Debt	\$10,033	\$9,374	\$659	6.6%	\$15,750	\$14,887	\$863	5.5%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	-\$2,320	-\$5,997	\$3,677	0.0%	\$0	-\$1,649	\$1,649	0.0%

Water & Wastewater - Continued

Variance Analysis (in thousands of dollars)

Water & Wastewater services is operating at a surplus after indirect allocations of \$3,677, with a forecasted surplus of \$1,649 for year-end, due to the following factors:

Compensation - The favourable year-to-date and forecasted variances of \$886 and \$781 are due to delays in filling vacancies and the gapping of student positions and water wagon staff due to the COVID-19 pandemic.

Administration – There is a favourable year-to-date variance of \$1,329, with a forecasted favourable variance of \$153 at year-end. The year-to-date variance is primarily the result of lower than expected consulting expenses of \$1,278 due to the timing of the Master Servicing Plans (MSP), which will be encumbered into the 2021 budget. The variance in consulting is anticipated to remain favourable by \$164 at year-end due to delays associated with Regional facility lockdowns resulting in restricted access to external sites as a result of COVID-19. Due to the pandemic, the Niagara Children's Water Festival, the Water Wagon program and conferences were cancelled, which generated savings, in addition to reduced travel-related expenses such as mileage. This resulted in a favourable variance year-to-date of \$134 and it is expected that this will increase to \$184 at year-end. Partially offsetting the variances noted are increased external legal expenses for pending litigation of \$185 year-to-date, which are expected to increase to \$270 at year-end.

Operational & Supply – There is an unfavourable year-to-date variance of \$956, with a forecasted unfavourable variance of \$981. The year-to-date variance is primarily due to increased sludge management costs of \$530 as a result of price increases during the temporary bio-solids contract. As well, year-to-date chemical costs are unfavourable by \$280 due to increased costs and usage. Partially offsetting these variances were lower than expected training expenses year-to-date of \$149 due to delayed training as a result of COVID-19. Sludge management costs are expected to end the year at an unfavourable variance of \$390 due to a combination of temporary pricing during the year and new contract pricing. Chemicals are expected to end the year with an unfavourable variance of \$393. Training expenses are expected to remain favourable by \$161, as mandatory training deadlines have been extended due to the pandemic.

Occupancy & Infrastructure – There is a favourable year-to-date variance of \$1,413, with a forecasted favourable variance of \$625. The year-to-date variance is due to lower than expected electricity costs of \$168 due to timing, lower than budgeted natural gas costs of \$117 and increased utility rebates of \$298. There were also favourable variances in repairs and maintenance (R&M) of buildings of \$123 and for water and sewer mains of \$742 due to delays in completing this work due to COVID-19. The forecasted favourable variance is as a result of natural gas savings of \$120, increased utility rebates of \$312 and a favourable variance in R&M funds for water and sewer mains of \$569. This is expected to be partially offset by higher than expected costs for property taxes of \$130 and water of \$108 due to retroactive billings for the new Niagara-on-the-Lake Waste Water Treatment Plant.

Equipment, Vehicles, Technology – There is a favourable year-to-date variance of \$1,450, with a forecasted favourable variance of \$730. The year-to-date favourable variance is primarily due to the timing of equipment repair and maintenance costs compared to budget by \$1,316 as a result of prioritization of preventative maintenance and repairs due to COVID-19. As well, there are savings of \$157 year-to-date for computer software licensing and support due to the deferral of Asset Management software. Due to timing of spend, it is expected that equipment repairs and maintenance and minor equipment costs will end the year with a favourable variance of \$566. Software licensing and support costs are expected to be favourable at year end by \$201.

Partnership, Rebate, Exemption - The favourable year-to-date variance of \$11,926 is due to CSO funds committed to local area municipalities but not yet paid of \$11,909. All CSO funding not spent will be encumbered into future year budgets.

Taxation - The unfavourable year-to-date and forecasted variances of \$541 and \$703 are a result of decreased water sales due to reduced water usage due to the pandemic.

Water & Wastewater - Continued

By-Law Charges & Sales Costs - The unfavourable year-to-date variance of \$164 is due to the timing of sewer surcharge and hauled sewage revenue. It is expected that the hauled sewage favourable variance will be \$235 for the year, which will be partially offset by reduced sewer surcharge revenue of \$174. Overall, the variance is expected to be favourable by \$59 for the year.

Other Revenue – There is an unfavourable year-to-date variance of \$5,414, with a forecasted favourable variance of \$10. The year-to-date variance is mainly driven by the timing of development charge revenue recognition to fund the CSO program and MSP of \$5,323.

Transfers - The unfavourable year-to-date variance of \$7,007 is due to previously encumbered CSO funds committed to local municipalities but not yet paid and MSP funding for costs that have not yet been incurred. The forecasted variance is \$0 as any remaining balance will be encumbered into the 2021 wastewater budget.

Community Impacts & Achievements

- The Water and Wastewater division treated 40,556 ML of water throughout Q1 and Q2 of 2020 through six water treatment plants and 312 km of watermains, as well as 25,779 ML of wastewater through eleven plants and one biosolids storage facility, with collection through 113 pumping stations and 306 km of forcemains and gravity trunk sewers.
- Successful completion of Water Quality Management System (QMS) External Audit by a third-party auditor in July 2020. Successful external audit is required to maintain the accreditation of our Water QMS, in turn allowing us to continue to hold our Municipal Drinking Water Licenses.
- Improvements to disinfection documentation for use during capital projects.
- Piloting project to develop a Normalized Difference Vegetation Index (NDVI) to improve Harmful Algae Bloom (HAB) risk management.
- Taste and odour sampling program at all water treatment plants to develop timeline of formation for future prediction and improve GAC replacement matrix.
- Optimization of filters at Niagara Falls WTP and Rosehill WTP to support ongoing capital works construction sequencing.
- Supported pandemic response by producing hand sanitizer, which was made available to all departments within Niagara Region.
- Established a partnership with McMaster University to monitor the presence of COVID-19 (Novel Coronavirus) in wastewater.
- Enhanced odour control operation and monitoring by installing remote meters in the collection system equipped with cellular connectivity.
- 4,855 samples analyzed by the Niagara Region Environmental Lab.
- The 17th annual Niagara Children's Water Festival delivered via a virtual format this year due to COVID-19 with 1,500 page visits to the festival.
- Completion of several chemical system retrofit upgrades using internal resources, realizing significant savings and eliminating the need for inclusion in W-WW capital program.
- Administration of over 50 W-WW essential supplies and services contracts, implementing new business processes with vendors as required as part of divisional pandemic response plan.
- Transition of training sessions to virtual e-learning as part of continuing efforts to minimize dependency on in-class delivery methods.
- Re-assignment of water operations and maintenance managers to new areas to facilitate additional cross-training opportunities.
- Produced 360 view imagery to support the capital program and virtual tours in 2021.

Capital Projects & Asset Management:

- W-WW has 153 active capital projects in 2020.
- 27 virtual tours of Water-Wastewater facilities replacing on-site tours in response to COVID-19.
- 4,996 locate requests, 11 drone flights supporting various projects.
- A Power BI Capital Project Dashboard to provide insight into the status of current capital projects.

Waste Management Services Statement of Operations (in thousands of dollars)

	Year to Date Budget	Year to Date Actual	Year to Date Budget vs Actual Variance Amount	Year to Date Budget vs Actual Variance Percentage	Annual Budget	Annual Forecast	Annual Budget vs Forecast Variance Amount	Annual Budget vs Forecast Variance Percentage
Compensation	\$2,953	\$2,904	\$49	1.7%	\$3,923	\$3,767	\$156	4.0%
Administrative	\$1,310	\$653	\$658	50.2%	\$2,106	\$1,732	\$374	17.7%
Operational & Supply	\$30,025	\$29,472	\$553	1.8%	\$42,448	\$42,019	\$428	1.0%
Occupancy & Infrastructure	\$1,104	\$1,064	\$40	3.6%	\$1,453	\$1,438	\$15	1.1%
Equipment, Vehicles, Technology	\$915	\$828	\$88	9.6%	\$1,214	\$1,128	\$86	7.1%
Partnership, Rebate, Exemption	\$142	\$144	-\$2	-1.8%	\$189	\$191	-\$2	-1.3%
Financial Expenditures	\$0	\$29	-\$29	0.0%	\$0	\$29	-\$29	0.0%
Total Expenses	\$36,449	\$35,094	\$1,355	3.7%	\$51,333	\$50,305	\$1,028	2.0%
Taxation	-\$28,243	-\$28,243	\$0	0.0%	-\$38,822	-\$38,822	\$0	0.0%
By-Law Charges & Sales	-\$8,707	-\$8,119	-\$588	-6.7%	-\$11,609	-\$10,820	-\$789	-6.8%
Other Revenue	-\$3,888	-\$3,931	\$43	1.1%	-\$5,191	-\$5,234	\$43	0.8%
Total Revenues	-\$40,837	-\$40,293	-\$544	-1.3%	-\$55,622	-\$54,876	-\$745	-1.3%
Intercompany Charges	\$97	\$1	\$96	98.7%	\$130	\$34	\$96	74.0%
Total Intercompany Charges	\$97	\$1	\$96	98.7%	\$130	\$34	\$96	74.0%
Net Expenditure (Revenue) Before Transfers & Indirect Allocations	-\$4,290	-\$5,198	\$907	21.1%	-\$4,159	-\$4,537	\$378	9.1%
Transfers From Funds	-\$2,013	-\$2,013	\$0	0.0%	-\$2,413	-\$2,413	\$0	0.0%
Transfers To Funds	\$3,102	\$3,102	\$0	0.0%	\$4,136	\$4,278	-\$143	-3.5%
Total Transfers	\$1,089	\$1,089	\$0	0.0%	\$1,722	\$1,865	-\$143	-8.3%
Net Expenditure (Revenue) Before Indirect Allocations	-\$3,201	-\$4,108	\$907	28.3%	-\$2,437	-\$2,672	\$235	9.7%
Indirect Allocations & Debt	\$2,059	\$1,900	\$158	7.7%	\$2,437	\$2,276	\$161	6.6%
Total Indirect Allocations & Debt	\$2,059	\$1,900	\$158	7.7%	\$2,437	\$2,276	\$161	6.6%
Net Expenditure (Revenue) After Transfers & Indirect Allocations	-\$1,143	-\$2,208	\$1,065	0.0%	\$0	-\$396	\$396	0.0%

Variance Analysis (in thousands of dollars)

Waste Management Services is operating at a year-to-date surplus after indirect allocations of \$1,065, with a forecasted surplus of \$396, due to the following factors:

Compensation – The favourable year-to-date and forecasted variances of \$49 and \$156 are due primarily to salary gapping and position vacancy management as a result of the COVID-19 pandemic.

Administrative – The favourable year-to date and forecasted variances of \$658 and \$374 are primarily due to the budget timing of consulting engagements related to the Long-Term Strategic Plan (LTSP) Study, the Material Recovery Facility (MRF) Opportunity Review – Phase 4, and the service level change campaign. Promotional and educational costs were also lower than anticipated due to the timing of the service level campaign and deferral of other planned campaigns as a result of the COVID-19 pandemic. A substantial portion of this campaign work is scheduled to be completed by the end of the year in alignment with the new collection contract. Staff mileage, training and development are forecasted to have a favourable variance of \$64 due to travel limitations involved with the ongoing pandemic.

Operational & Supply – The favourable year-to-date and forecasted variances of \$553 and \$428 are primarily due to lower than anticipated environmental monitoring and operating services for the landfill sites as well as lower annual fuel, CPI and residential unit count adjustments for the collection contracts. The COVID-19 pandemic has led to an estimated savings of \$211 for lower than anticipated labour costs at the MRF for 2020, as well as the reduction in recyclable material purchase costs from commercial businesses due to shutdowns related to the pandemic, which is offset by related decreases in recycling processing revenues. Due to stay at home orders as a result of the COVID-19 pandemic, significantly higher volumes of organics were collected than projected, leading to a forecasted unfavorable variance of \$294, which partially offsets the favourable variances noted above.

Occupancy & Infrastructure – The favourable year-to-date and forecasted variances of \$40 and \$15 are due to lower than anticipated property repairs & maintenance due to temporary closures of dog parks and naturalization sites during the year.

Equipment, Vehicles, Technology – The favourable year-to-date and forecasted variances of \$88 and \$86 are primarily due to lower than anticipated equipment repairs required at various sites and fuel savings.

By-Law Charges & Sales – The unfavourable year-to-date and forecasted variances of \$588 and \$789 are primarily due to overall lower than anticipated market revenues received from the sale of recyclable commodities (i.e. favourable variance forecasted for boxboard, aluminum and Eco-glass, of \$1,020, offset by an unfavourable variance from PET plastic, steel, newsprint, bulky rigid plastics and fine paper of \$1,241). Additional contributing factors to the variance are reduced tipping fee revenue due to limiting non-essential trips to the residential drop-off depots at the landfill sites and the waiving of tipping fees for large household items (\$643), as well as reduced commercial shredding and recycling revenue due to commercial business closures (\$52), both a result of the COVID-19 pandemic. These decreases are partially offset by a forecasted increase in garbage tag sales of \$131.

Intercompany Charges – The favourable year-to-date and forecasted variance of \$96 is primarily due to the reallocation of wages for staff who have been redeployed to support Niagara Region departments in need of resources due to the COVID-19 pandemic.

Transfers – The unfavourable forecasted variance of \$143 is due to unspent funds associated with the service level campaign transferred back to the Waste Management Stabilization Reserve (the original funding source of the service level campaign budget).

Community Impacts & Achievements

Waste Management Services (WMS) is responsible for the operation of various facilities, including landfill sites, HHW depots and the Recycling Centre. WMS is also responsible for the delivery of curbside waste, recycling and organics collection and diversion programs, the management of long-term organics processing and disposal contracts, the

operations and maintenance contracts at open and closed landfill sites, the recycling processing contract, policy development, capital program delivery and supporting outreach and communications programs.

- Since January 2020, Niagara Region has been managing the implementation plan for the new waste collection contract, which commenced on October 19, 2020.
- The first phases of a multi-tiered social marketing and communication campaign across all platforms, focused on promoting and raising awareness of the new collection service level changes which began October 19, 2020 and increasing participation in the Region's recycling and organics collection programs, is complete. The campaign is now in its post launch phase which includes messages focusing on compliance and illegal dumping, while recognizing and expressing appreciation to residents and businesses that have embraced and adapted to the changes.
- Development and implementation of an online sale platform for garbage tags, curbside containers for recycling and organics programs and backyard composters.
- Implementation of a Niagara Region web and mobile app 'Niagara Region Waste', which is free for download from the Google Play and Apple App store. This tool provides an additional mechanism to communicate waste management program information, such as collection limits and collection day, and collection for special items such as Christmas trees. Other functionalities include a 'where does it go' search tool, collection reminders and related collection delay notifications.
- The terms of reference for the Niagara Region's Waste Management Long-Term Strategic Plan is in the process of being finalized and the request for proposals will be issued in Q4 2020.
- Continue to market recyclable materials despite restrictive global market conditions.
- MRF Opportunity Review Phase 4 is in progress:
 - Purpose is to identify options for the MRF considering the transition of the residential Blue Box program to extended producer responsibility.
 - Project consultant/ transaction advisor is in the process of preparing a negotiated request for proposal for issuance in Q4 2020.
- Waste Management's Condition Assessment and Asset Management project has been completed, which captures all capital assets related to the Niagara Region's 14 landfill sites. This work will help with planning for the future capital funding needs of the Waste Management division and was relied upon as part of the 2021 capital budget development process.
- Phase 2 of the upgrades at the Humberstone Landfill began in Q2 2020 and are nearing completion.
- On-going discussions are occurring with the Ministry of the Environment, Conservation and Parks (MOECP) and work is being conducted to reduce the number of monitoring wells required at both open and closed landfill sites leading to an optimization of the monitoring program and hopefully result in reduced future costs. An immediate result has been a reduction in the number of monitoring wells at the Humberstone Landfill.
- Preliminary investigation has commenced into designating the Glenridge Naturalization Site as a UNESCO Geosite, which are sites and landscapes of international geological significance and are managed with a holistic concept of protection, education and sustainable development.
- Niagara Region Waste Management Services received a silver award in the campaign category at the Municipal Waste Association Promotion and Education Awards for the 'Recycling Matters' campaign. The Recycling Matters Awareness campaign focused on educating residents on acceptable materials and proper preparation of recyclables in order to decrease contamination and improve the quality of recyclables that are sent to end market.
- Since the start of the partnership between the Broken Spoke bicycle refurbishment program and Niagara Region, a total of 7,611 bicycles have been collected at Niagara Region Drop-off Depots and provided to this program for the purpose of reuse. The program has now surpassed repairing and donating 10,000 bicycles.
- Due to COVID 19, the annual spring compost giveaway event was held from September 14 – 26. A total of 490 cars picked up compost and approximately 3,500 bags were given out. Over \$1,600 and 300 kg of food were collected for charity.

Operating Budget Amendments & Adjustment Summary (in thousands of dollars)

The following identifies all budget amendments & adjustments as per Budget Control Policy 2017-63.

Original Budget Revenue & Expenditures		\$1,015,216	
Corporate	\$16,377		To record the 2019 Encumbrance budget adjustment as detailed in the 2019 Year-End Results & Transfer report (CSD 15-2020).
Corporate Administration	\$(55)		To record the termination of federal grant funding that supported the Niagara Development Corridor Partnership Inc. (NDCPi)
General Government	\$178		To utilize 2019 Smarter Niagara Incentive Program (SNIP) surplus to fund the 2020 SNIP as per the 2019 Year-End Results & Transfer report (CSD 15-2020).
Community Services	\$157		To record one-time funding and related expenditures for the extension of Homelessness contracts provided by the Community Homelessness Prevention Initiative.
Planning and Development	\$612		To utilize 2019 unused development charge funding and related expenditures for the Regional Official Plan as per the 2019 Year-End Results & Transfer report (CSD 15-2020).
Public Health and Emergency Services	\$7		To record one-time funding from the Local Health Integrated Network (LHIN) to support expenditures for Community Paramedicine remote patient monitoring.
Public Health and Emergency Services	\$253		To record renewed funding from the LHIN to support expenditures for the Community Paramedicine remote patient monitoring program for April to December 2020.
Public Health and Emergency Services	\$24		To record revised funding and related expenditures for annualized Mental Health LHIN revenues approved after the approval of the 2020 annual budget.
Wastewater	\$5,286		To record unused development charge funding and related expenditures for the Combined Sewer Overflow program from 2019 in relation to the 2019 Year-End Results & Transfer report (CSD 15-2020).
Niagara Regional Housing	\$250		To utilize 2019 Niagara Regional Housing surplus to fund the Affordable Housing Master Plan to be completed in 2020 as per the 2019 Year-End Results & Transfer report (CSD 15-2020).
Niagara Regional Police Service	\$98		To record funding and related expenditures from the Province of Ontario related to the purchase of equipment and software.
Total Budget Adjustment		\$23,187	
December 31, 2020 Adjusted Budget		\$1,038,403	

Reserve Summary (in thousands of dollars)

Reserves are an important tool to assist in financial management and planning of a municipality. Prudent use of reserves help mitigate fluctuations in taxation and rate requirements and assist in funding capital projects. Reserves are governed by the Region's Reserve and Reserve Fund Policy C-F-013.

At September 30, 2020 the Region's consolidated and uncommitted reserve balance (excluding commitments made with the 2021 approved budget) was \$183,484 (\$245,612 at December 31, 2019). The ratio of debt to reserves is an important marker of fiscal sustainability. A ratio of less than 1 shows that if revenues were to decline, the Region would have other resources to meet its obligations. Conversely, if the ratio is greater than 1, it can indicate vulnerability to economic downturns. The Region's debt to reserve ratio, including unissued debt is 3.38 (2.07 at December 31, 2019).

Description	Balances at Dec 31, 2019	Year to Date Transfers from Operating	Year to Date Transfers to Operating	Year to Date Net Transfers from/(to) Capital	Interest	Balances at Sept 30, 2020	Forecasted Transfers from Operating	Forecasted Transfers to Operating	Forecasted Interest	Capital Commitments to Uninitiated Projects	Balances Available at Dec 31, 2020
Wastewater Capital	\$41,575	\$15,722	\$0	-\$44,715	\$618	\$13,200	\$5,241	\$0	\$165	-\$6,660	\$11,946
Water Capital	\$78,813	\$14,840	\$0	-\$30,810	\$1,525	\$64,368	\$4,946	\$0	\$408	-\$6,660	\$63,062
Waste Management	\$15,770	\$1,893	\$0	-\$8,250	\$268	\$9,681	\$631	\$0	\$72	-\$9,002	\$1,382
General Capital Levy	\$15,680	\$21,486	-\$1,659	-\$28,373	\$0	\$7,134	\$1,501	-\$533	\$0	-\$400	\$7,702
Infrastructure Deficit	\$0	\$3,657	\$0	-\$3,657	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Court Services Facility Renewal	\$2,876	\$150	\$0	\$0	\$0	\$3,026	\$50	\$0	\$0	\$0	\$3,076
Niagara Regional Housing	\$8,228	\$1,156	-\$250	-\$2,814	\$0	\$6,320	\$385	\$0	\$0	\$0	\$6,705
NRH Owned Units	\$5,988	\$1,157	\$0	-\$2,312	\$0	\$4,833	\$386	\$0	\$0	\$0	\$5,219
NRPS Long-Term Accommodation (LTA)	\$52	\$0	-\$39	\$0	\$0	\$13	\$0	-\$13	\$0	\$0	\$0
Ontario Police Video Training Alliance	\$109	\$0	\$0	\$0	\$0	\$109	\$0	\$0	\$0	\$0	\$109
Police Capital Levy	\$561	\$1,200	\$0	-\$1,477	\$0	\$284	\$0	\$0	\$0	\$0	\$284
Police Vehicle and Equipment Replacement	\$24	\$1,500	\$0	-\$1,500	\$0	\$24	\$0	\$0	\$0	\$0	\$24
Total Capital Reserves	\$169,676	\$62,761	-\$1,948	-\$123,908	\$2,411	\$108,992	\$13,140	-\$546	\$645	-\$22,722	\$99,509
Wastewater Stabilization	\$1,848	\$0	-\$375	\$0	\$33	\$1,506	\$0	-\$125	\$9	\$0	\$1,390
Water Stabilization	\$2,985	\$0	\$0	\$0	\$62	\$3,047	\$0	\$0	\$17	\$0	\$3,064
Waste Management Stabilization	\$6,043	\$169	-\$1,203	\$0	\$111	\$5,120	\$199	-\$401	\$30	\$0	\$4,948
Encumbrance	\$16,377	\$1,890	-\$8,965	\$0	\$0	\$9,302	\$1,136	-\$9,302	\$0	\$0	\$1,136

Reserve Summary (in thousands of dollars) - continued

Description	Balances at Dec 31, 2019	Year to Date Transfers from Operating	Year to Date Transfers to Operating	Year to Date Net Transfers from/(to) Capital	Interest	Balances at Sept 30, 2020	Forecasted Transfers from Operating	Forecasted Transfers to Operating	Forecasted Interest	Capital Commitments to Uninitiated Projects	Balances Available at Dec 31, 2020
Investment Income Stabilization	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Taxpayer Relief	\$23,757	\$1,253	-\$2,784	\$0	\$0	\$22,226	\$1,387	-\$408	\$0	\$0	\$23,205
NRH Rent Supplements	\$266	\$0	-\$13	\$0	\$0	\$253	\$0	-\$4	\$0	\$0	\$249
Police Contingency	\$454	\$187	\$0	\$0	\$0	\$641	\$62	\$0	\$0	\$0	\$703
Police Services Board Contingency	\$242	\$0	\$0	\$0	\$0	\$242	\$0	\$0	\$0	\$0	\$242
Total Corporate Stabilization Reserves	\$51,972	\$3,499	-\$13,340	\$0	\$206	\$42,337	\$2,784	-\$10,240	\$56	\$0	\$34,937
Ambulance Communication	\$37	\$0	-\$28	\$0	\$0	\$9	\$0	-\$9	\$0	\$0	\$0
Circle Route Initiatives	\$1,383	\$0	\$0	\$0	\$0	\$1,383	\$0	\$0	\$0	\$0	\$1,383
Total Specified Contribution Reserves	\$1,420	\$0	-\$28	\$0	\$0	\$1,392	\$0	-\$9	\$0	\$0	\$1,383
Future Benefit Costs	\$24,695	\$0	-\$146	\$0	\$0	\$24,549	\$0	-\$29	\$0	\$0	\$24,520
Self Insurance	\$2,270	\$0	\$0	\$0	\$0	\$2,270	\$0	\$0	\$0	\$0	\$2,270
Smart Growth	\$201	\$0	\$0	\$0	\$0	\$201	\$0	\$0	\$0	\$0	\$201
Landfill Liability	\$8,205	\$1,040	\$0	\$979	\$195	\$10,419	\$347	\$0	\$52	\$0	\$10,818
NRH Employee future benefits	\$793	\$0	\$0	\$0	\$0	\$793	\$0	\$0	\$0	\$0	\$793
Police Accumulated Sick Leave	\$1,680	\$0	-\$187	\$0	\$0	\$1,493	\$0	-\$62	\$0	\$0	\$1,431
Police Future Benefit Cost	\$4,152	\$0	\$0	\$0	\$0	\$4,152	\$0	\$0	\$0	\$0	\$4,152
Police WSIB	\$3,270	\$150	\$0	\$0	\$0	\$3,420	\$50	\$0	\$0	\$0	\$3,470
Total Future Liability Reserves	\$45,266	\$1,190	-\$333	\$979	\$195	\$47,297	\$397	-\$91	\$52	\$0	\$47,655
Total (Excluding Deferred Revenues)	\$268,334	\$67,450	-\$15,649	-\$122,929	\$2,812	\$200,018	\$16,321	-\$10,886	\$753	-\$22,722	\$183,484

Deferred Revenue Summary (in thousands of dollars)

Description	Balances at Dec 31, 2019	Year to Date Transfers from Revenues (Collections)	Year to Date Transfers from Revenues (DC Grants)	Year to Date Transfers to Operating	Year to Date Transfers from/(to) Capital	Interest allocation	Balance at Sep 30, 2020	Forecasted Transfers from Revenues	Forecasted interest	Capital Commitments *	Balance Available at Dec 31, 2020
Development Charges-General Government	\$1,483	\$228	\$22	-\$221	\$0	\$31	\$1,543	\$83	\$8	\$0	\$1,634
Development Charges-Police Services	\$2,980	\$538	\$39	\$0	-\$23	\$68	\$3,602	\$192	\$18	-\$20	\$3,792
Development Charges-Roads	\$56,893	\$8,975	\$637	-\$49	-\$8,414	\$1,195	\$59,237	\$3,204	\$320	-\$53,799	\$8,962
Development Charges-Sewer	\$52,193	\$6,106	\$449	-\$412	-\$1,438	\$1,134	\$58,032	\$2,185	\$304	-\$19,644	\$40,877
Development Charges-Water	\$35,029	\$4,326	\$319	\$0	-\$7,748	\$696	\$32,622	\$1,548	\$186	-\$20,498	\$13,858
Development Charges-Emergency Medical	\$1,531	\$245	\$10	\$0	-\$53	\$34	\$1,767	\$85	\$9	-\$1,086	\$775
Development Charges-LT Care	\$5,727	\$1,933	\$41	\$0	-\$1,312	\$126	\$6,515	\$658	\$34	-\$23,586	-\$16,379
Development Charges-POA	\$315	\$75	\$3	\$0	\$0	\$7	\$400	\$26	\$2	-\$12	\$416
Development Charges-Health	\$768	\$219	\$9	\$0	\$0	\$18	\$1,014	\$76	\$5	\$0	\$1,095
Development Charges-Social Housing	\$4,370	\$1,950	\$20	\$0	-\$1,801	\$93	\$4,632	\$657	\$25	-\$13,635	-\$8,321
Development Charges-Waste Division	\$1,852	\$614	\$10	\$0	-\$44	\$45	\$2,477	\$208	\$12	-\$266	\$2,431
Subtotal Development Charges	\$163,141	\$25,209	\$1,559	-\$682	-\$20,833	\$3,447	\$171,841	\$8,922	\$923	-\$132,546	\$49,140
Federal Gas Tax	\$34,343	\$13,587	\$0	\$0	-\$16,851	\$680	\$31,759	\$0	\$182	-\$29,802	\$2,139
Provincial Gas Tax	\$658	\$856	\$0	-\$79	\$0	\$22	\$1,457	\$0	\$6	\$0	\$1,463
Subtotal Gas Tax	\$35,001	\$14,443	\$0	-\$79	-\$16,851	\$702	\$33,216	\$0	\$188	-\$29,802	\$3,602
Total	\$198,142	\$39,652	\$1,559	-\$761	-\$37,684	\$4,149	\$205,057	\$8,922	\$1,111	-\$162,348	\$52,742

* The capital commitments included represent all approved capital project expenditures budgeted to be funded by development charges and/or federal/provincial gas tax. Each quarter and/or year end a review of the status of the respective capital projects is completed and revenue earned is allocated accordingly.

Deferred Revenue Summary (in thousands of dollars) - continued

Summary of All Mandatory and Discretionary Grants, per Regional Development Charge Bylaw (2020)

Grant Category	Actuals		Total Year-to-Date Actuals	Q4 Forecast	Annual Forecast	Annual Budget	Actual Variance
	Q1-Q2	Q3					
Other Economic Incentives:							
50% Industrial - (M)	\$49	\$26	\$75				
Brownfield - (D) ²	\$0	\$0	\$0				
Smart Growth Niagara - (D)	\$0	\$174	\$174				
Long-Term Care Facility - (D)	\$0	\$0	\$0				
Board of Education - (D)	\$0	\$0	\$0				
NRH - (D)	\$706	\$0	\$706				
Parking garage - (D)	\$188	\$0	\$188				
Agriculture - (D)	\$0	\$0	\$0				
Place of Worship - (D)	\$0	\$0	\$0				
Intensification RDC Reductions - (M)	\$0	\$0	\$0				
Hotels/Motels - (D)	\$7	\$0	\$7				
Other (D)	\$85	\$0	\$85				
Subtotal - Other Economic Incentives	\$1,036	\$200	\$1,236	\$132	\$1,368	\$5,668	\$4,300
Non-Profit - (D)¹	\$150	\$0	\$150	\$0	\$150	\$150	\$0
Industrial and Gateway - (D)³	\$114	\$59	\$173	\$100	\$273	\$1,050	\$777
Total	\$1,300	\$259	\$1,559	\$232	\$1,791	\$6,868	\$5,077

Note: (D) – Discretionary, (M) – Mandatory

* Details on individual application can be found on the following page.

Deferred Revenue Summary (in thousands of dollars) - continued

Details for Application Based Regional Development Charge Grants (2020)

2020 Brownfield RDC Reduction Program Applicants and Approved Amounts

Address	Application Date	Development Description	Municipality	Approved Eligible Costs	Grants Paid to Date	Grants Paid 2020
Grants Application Prior to 2020 ^{1,2}				\$29,221	\$2,090	\$0
2020 Applications:						
NIL				\$0	\$0	\$0
Total				\$29,221	\$2,090	\$0

¹Grants awarded in prior years may be paid in current or future periods depending on the timing of building permit issuance.

²Conditional grant awarded pending submission of final information from applicant.

2020 Non-Profit RDC Grant Applicants and Approved Amounts

Organization	Application Date	Development Description	Municipality	Grant Requested	Grants Paid 2020
Q1-Q2 Applications:				\$158	\$150
Q3 Applications:					
NIL				\$0	\$0
Total				\$158	\$150

2020 Discretionary Industrial RDC Grant Applicants and Approved Amounts

Address	Application Date	Development Description	Municipality	Grant Requested	Grants Paid 2020
Q1-Q2 Applications:				\$114	\$114
Q3 Applications:					
Glendale Developments (Niagara) Ltd.	Feb 3, 2020	Tire Refurbishment Centre	Fort Erie		
	Jul 7, 2020	Manufacturer Plant Based Foods	NOTL	\$17	\$17
Niagara Pet Nutrition	Aug 4, 2020	Pet Food Manufacturer	Thorold	\$42	\$42
Total				\$173	\$173

Operating Reserve Transfer Reconciliation

All transfers to and from Reserves and Reserve Funds are identified in an approved annual budget (operating or capital) unless they are inflows received in a Reserve Fund from an outside source (i.e development charges, gas tax receipts). A requirement in the Reserve and Reserve Funds Policy requires a report outlining any year to date or forecasted inflows and outflows that were not included in the Council approved annual budget. Below is a summary of transfers to and from reserve and reserve funds not approved in the initial annual budget.

Reserve Description	Year to Date Transfer (to)/from Reserves	Forecast Transfer (to)/from Reserves	Annual Forecast Transfer (to)/from Reserves	Transfer Description
Council approved net operating transfers to reserves, including interest allocation to reserves	-\$55,399	-\$11,611	-\$67,010	Council approved net operating transfers before seniors approved debt charge placeholder
Capital Levy	-\$5,620	\$0	-\$5,620	Transfer debt charge placeholder surplus to fund budget requirements for Seniors long-term care home redevelopment
	-\$61,019	-\$11,611	-\$72,630	Council approved net operating transfers
<u>Additional operating reserve transfers (to)/from reserves:</u>				
All Rate Reserves	-\$884	-\$109	-\$993	Interest income allocation to reserve at investment income portfolio rate in alignment with the Reserve Policy
2019 Encumbrances	\$8,157	\$0	\$8,157	2019 Encumbrances (CSD 15-2020 - Total \$16,377 less CSO encumbrances \$8,220 = \$8,157)
2019 Encumbrances	-\$842	\$9,062	\$8,220	2019 CSO Encumbrances (CSD 15-2020)
2019 Encumbrances	-\$240	-\$896	-\$1,136	2019 underspent encumbrances expected to be re-encumbered at the end of 2020
Capital Levy	-\$29	\$0	-\$29	Transfer back to reserve for unused funds - ICOPS reorganization
Capital Levy	-\$184	-\$136	-\$320	Transfer to reserve for proceeds on sale of surplus properties (as per Procurement By-Law)
Capital Levy	\$0	-\$20	-\$20	Transfer back to reserve for unused funds - Drainage Assessment funding for LAMS
Capital Levy	\$0	-\$680	-\$680	Transfer back to reserve for unused funds - Niagara Falls and St. Catharines GO Stations not fully operational

Operating Reserve Transfer Reconciliation (in thousands of dollars) – Continued

Reserve Description	Year to Date Transfer (to)/from Reserves	Forecast Transfer (to)/from Reserves	Annual Forecast Transfer (to)/from Reserves	Transfer Description
Niagara Regional Housing	\$250	\$0	\$250	Transfer from reserve - to fund the Niagara Regional Housing Affordable Housing Master Plan to be completed in 2020 as per CSD 15-2020
Taxpayer Relief	\$0	-\$80	-\$80	Transfer back to reserve for unused funds - Transportation Vision Zero Road Safety program implementation deferred to 2021
Taxpayer Relief	\$178	\$0	\$178	Transfer from reserve - to fund the 2020 SNIP program as directed by Council at December 5, 2019 BRCOTW (CSD 15-2020)
Taxpayer Relief	\$0	-\$400	-\$400	Transfer back to reserve for unused funds - Waterfront improvement grant deferred to 2021
Taxpayer Relief	\$0	-\$130	-\$130	Transfer back to reserve for unused funds - one-time funding for the Community Safety and Well-being plan deferred to 2021
Taxpayer Relief	\$0	-\$35	-\$35	Transfer back to reserve for unused funds - one-time funding for the 50th anniversary of the Niagara Region
Taxpayer Relief	\$0	-\$160	-\$160	Transfer back to reserve for unused funds - Niagara Airports
Taxpayer Relief	\$0	-\$830	-\$830	Transfer back to reserve for unused funds - Human Resources Information Systems project deferred to 2021
Waste Management Stabilization	\$0	-\$143	-\$143	Transfer back to reserve for unused funds - advertising, printing, community information, and temporary staffing funding for new 2020 service level campaign
Future Benefit Costs	\$0	-\$20	-\$20	Transfer back to reserve for unused funds - sick leave payout
Net operating transfers to reserves	-\$54,613	-\$6,188	-\$60,801	

Capital Reserve Transfer Reconciliation (in thousands of dollars)

All transfers to and from Reserves and Reserve Funds are identified in an approved annual budget (operating or capital) unless they are inflows received in a Reserve Fund from an outside source (i.e development charges, gas tax receipts). A requirement in the Reserve and Reserve Funds Policy requires a report outlining any year to date or forecasted inflows and outflows that were not included in the Council approved annual budget. Below is a summary of transfers to and from reserve and reserve funds.

Reserve Description	Year to Date Transfer (to)/from Reserves	Forecast Transfer (to)/from Reserves	Annual Forecast Transfer (to)/from Reserves	Transfer Description
Council approved net capital transfers per 2020 Budget	\$123,818	\$0	\$123,818	Reserve Transfers to capital projects
Capital reserve transfer commitments from 2019 or prior Budget	\$0	\$22,722	\$22,722	2019 or prior uninitiated capital projects
<u>Q1 and Q2 additional capital reserve transfers:</u>				
NRH Owned Units	-\$6	\$0	-\$6	Project close out, funds returned to reserve - Grounds Capital 2017
Landfill Liability	-\$908	\$0	-\$908	Project close out, funds returned to reserve - Line 5 - Leachate Collection System
Landfill Liability	-\$200	\$0	-\$200	Budget reductions - Mountain Road Pond Expansion (-\$125), Glenridge Landfill Gas Collection Flaring System Decomission (-\$75)
NRH Owned Units	\$580	\$0	\$580	2019 year-end surplus transferred to reserve to fund heat control system upgrades in owned units to be completed in 2020 as per CSD 15-2020
Niagara Regional Housing	-\$107	\$0	-\$107	Budget adjustment resulting in reduced transfer from reserves as a result of additional Ontario Priority Housing Initiatives funding for the Hawkins Street Project received not considered in the Council approved budget.

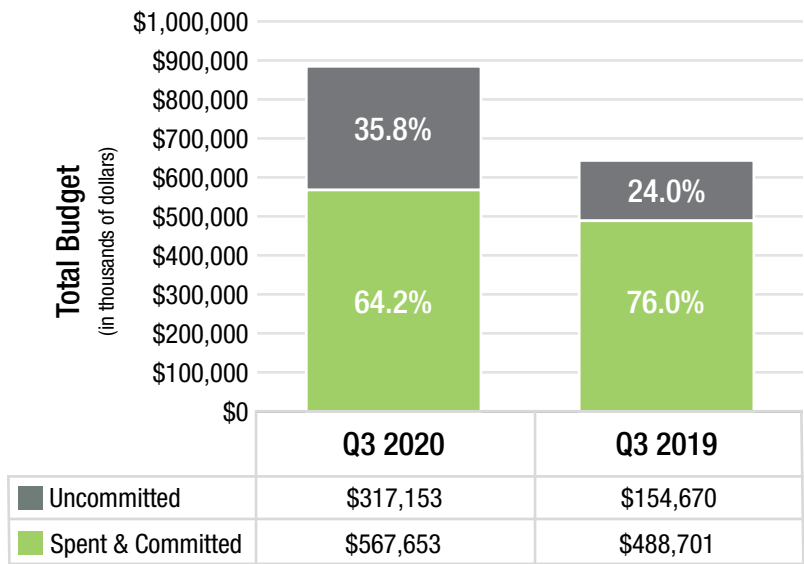
Capital Reserve Transfer Reconciliation (in thousands of dollars) – Continued

Reserve Description	Year to Date Transfer (to)/from Reserves	Forecast Transfer (to)/from Reserves	Annual Forecast Transfer (to)/from Reserves	Transfer Description
<u>Q3 additional capital reserve transfers:</u>				
Police Capital Levy	-\$27	\$0	-\$27	Project close outs, funds returned to reserve - Niagara Regional Police Tactical Explosives Robot (-\$14), Niagara Regional Police Communications Unit Noise Reduction (-\$2), Niagara Regional Police Armor Rescue Vehicle (-\$0), Niagara Regional Police Forensic Scanner (-\$1), Niagara Regional Police Fraud Unit Scanner (-\$6), Niagara Regional Police CCTV Equipment (-\$0), Hyundai Data Collection Equipment (-\$5)
Landfill Liability	-\$91	\$0	-\$91	Project close out, funds returned to reserve - Mountain - Leachate Collection System
Niagara Regional Housing	-\$130	\$0	-\$130	Budget reduction - New Build, Carlton Street, St. Catharines (-\$90), Intensification, Welland (-\$40)
Net capital transfers	\$122,929	\$22,722	\$145,651	

CAPITAL HIGHLIGHTS

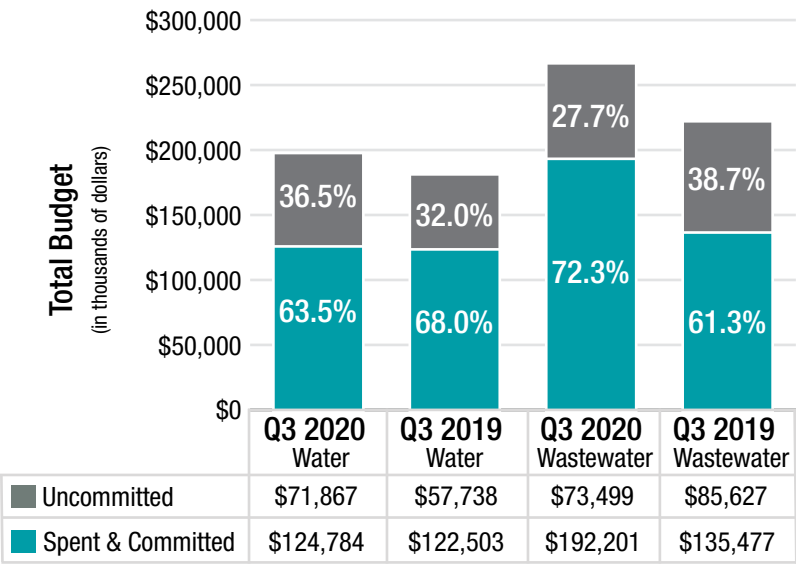
LEVY

PROJECT BUDGETS SPENT AND/OR COMMITTED AT QUARTER END
Active projects with budgets greater than \$1 million.



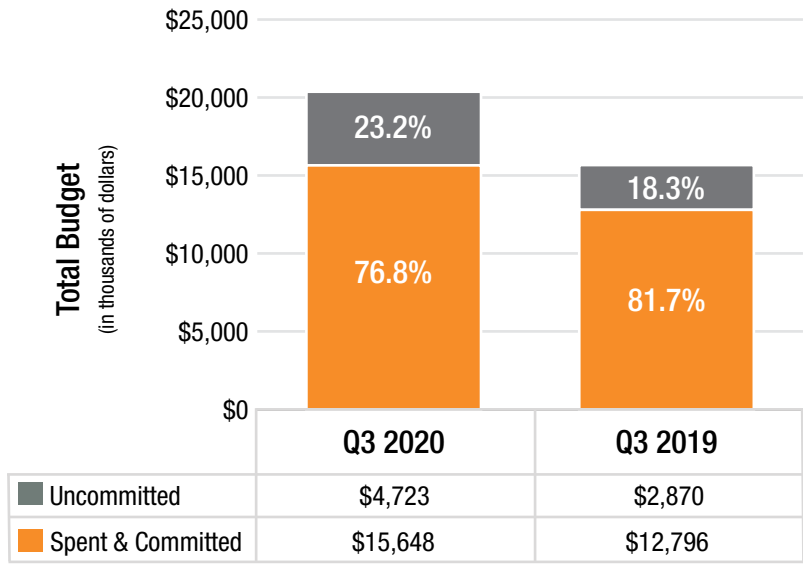
WATER & WASTEWATER

PROJECT BUDGETS SPENT AND/OR COMMITTED AT QUARTER END
Active projects with budgets greater than \$1 million.



WASTE MANAGEMENT

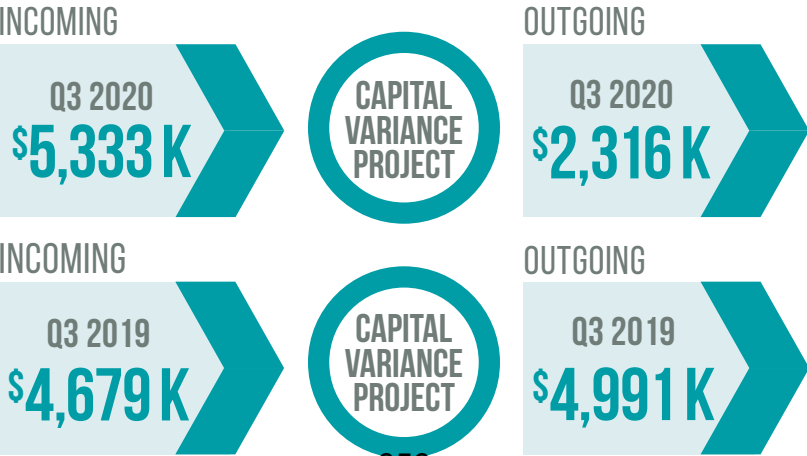
PROJECT BUDGETS SPENT AND/OR COMMITTED AT QUARTER END
Active projects with budgets greater than \$1 million.



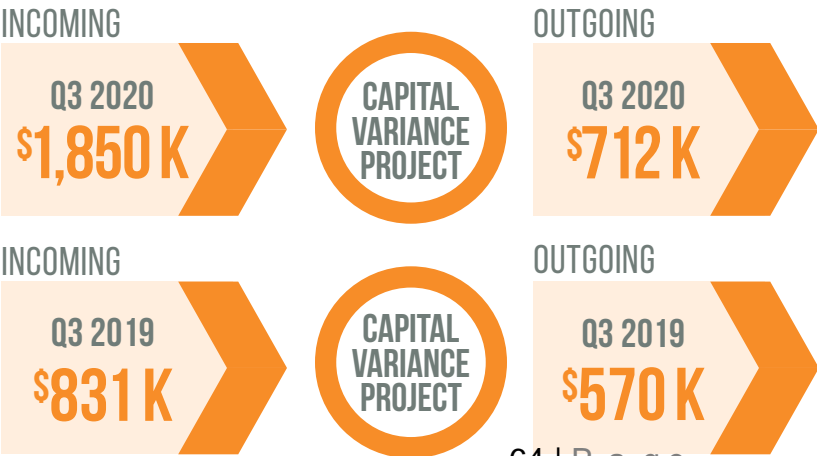
CAPITAL VARIANCE PROJECT TRANSFERS AT QUARTER END



CAPITAL VARIANCE PROJECT TRANSFERS AT QUARTER END



CAPITAL VARIANCE PROJECT TRANSFERS AT QUARTER END



Capital Summary (in thousands of dollars)

The Corporate Services department develops the Capital Financing Strategy and Capital Budget guidelines in co-ordination with department and board input and in alignment with Council objectives and corporate policies. The Corporate Services department is responsible for the following: preparing the consolidated capital budget and forecast based on the requests of departments and boards; coordinating capital initiations, financing, closure and budget reduction of capital projects approvals and reporting; supporting tangible capital asset accounting in accordance with the Capital Asset Management Policy; and reporting on the consolidated activity of the capital program.

The capital budget represents priority projects as determined by the departments and boards and approved by Council. Following capital budget approval, projects are initiated based on department requirements and timing to complete projects. Project managers within departments and boards administer the projects and maintain the related tangible capital asset information. Project managers are accountable for monitoring the capital projects within the capital program and taking corrective action, when necessary, including both reporting on significant variances as well as taking part in the capital closure and budget reduction of capital projects process.

Capital Program Reconciliation

The capital budget managed by Niagara Region has decreased by \$19,006 since Q2 2020. This decrease is primarily caused by projects closed (\$9,893) and budget reductions (\$15,318). The decrease is offset by gross budget adjustments (\$3,656) and transfers from capital variance project (\$2,549).

Eight capital projects of the 600 capital sub-projects, with budgets totalling approximately \$37,369 (levy \$36,224 / rate \$1,145) remain uninitiated at September 30, 2020. A summary of the levy and rate impact of Niagara Regions total capital program during the year is presented below:

Capital Program Reconciliation	Levy Programs	Rate Programs	Total Program
2019 Total Adjusted Program (excluding Capital Variance Projects) at December 31, 2019	\$754,803	\$466,963	\$1,221,766
Council Approved 2020 Budget	\$270,399	\$105,125	\$375,524
Gross Budget Adjustment (including transfers from operating)	\$2,340	\$346	\$2,686
Transfer from Capital Variance Project	\$584	\$830	\$1,414
Budget Reductions on Active Capital Projects *	- \$5,321	- \$9,823	- \$15,144
Projects Closed	- \$27,952	- \$7,005	- \$34,957
2020 Total Adjusted Program (excluding Capital Variance Projects) at July 27, 2020	\$994,853	\$556,436	\$1,551,289
Gross Budget Adjustment (including transfers from operating)	\$3,656	\$0	\$3,656
Transfer from Capital Variance	\$351	\$2,198	\$2,549
Budget Reductions on Active Capital Projects *	- \$2,018	- \$13,300	- \$15,318
Projects Closed	- \$7,577	- \$2,316	- \$9,893
2020 Total Adjusted Budget (excluding Capital Variance Projects) at October 22, 2020	\$989,265	\$543,018	\$1,532,283

* Budget reductions do not necessarily reflect surplus funding as not all project budgets are funded in advance.

Capital Budget Adjustments (in thousands of dollars)

The chart below identifies the projects which have received gross budget adjustments (from external revenue sources), transfers from the capital variance project, budget reductions and transfer to operations during Q3 2020 per the budget control policy 2017-63.

Department	Project Description	Total Budget	Gross Budget Adjustment	Transfer from Capital Variance	Budget Reduction	Treatment of Reduction	Adjusted Budget
Corporate Services	2017 Data Centre Enhancement	\$450			- \$100	CVP - Levy	\$350
Corporate Services	2018 Information Technology Asset Replacement	\$3,147			- \$200	CVP - Levy	\$2,947
Corporate Services	2020 Automatic Building Redesign	\$100		\$50			\$150
Corporate Services	2020 Headquarters Security Upgrade	\$100		\$160			\$260
Community Services	2018 Long Term Care Capital Improvements	\$1,026			- \$198	CVP - Levy	\$828
Community Services	2019 Long Term Care Roof Replacement	\$531		\$8			\$539
Niagara Regional Housing	New Build, Carlton Street, St. Catharines	\$15,070			- \$90	NRH Reserve	\$14,980
Niagara Regional Housing	Intensification, Welland	\$2,758			- \$40	NRH Reserve	\$2,718
Niagara Regional Housing	Multi-Residential Intensification Welland	\$0	\$100				\$100
Public Works - Levy	Intersection - RR89 Jacobsen/Burleigh	\$6,256			- \$470	CVP - Levy \$323, DC Roads \$147	\$5,786
Public Works - Levy	Structural Rehabilitation - Reece Bridge	\$9,983			- \$250	CVP - Levy	\$9,733
Public Works - Levy	Road Reconstruction - St Davids Road East	\$6,934	\$3,290				\$10,224
Public Works - Levy	Roads Rehabilitation RR56 Glendale/St David	\$2,000			- \$670	CVP - Levy \$603, DC Roads \$67	\$1,330
Public Works - Levy	2019 Roads Resurfacing	\$8,844	\$95				\$8,939
Public Works - Levy	Capacity Improvement RR98 Montrose Road	\$1,000	\$43	\$8			\$1,051

Capital Budget Adjustments (in thousands of dollars) – Continued

Department	Project Description	Total Budget	Gross Budget Adjustment	Transfer from Capital Variance	Budget Reduction	Treatment of Reduction	Adjusted Budget
Public Works - Levy	St.Catharines GO Precinct Capital Works	\$250		\$125			\$375
Public Works - Levy	Tobacco Enforcement Vehicles	\$0	\$128				\$128
All Levy Departments		\$58,449	\$3,656	\$351	- \$2,018		\$60,438
Waste Management	Supervisory Control and Data Acquisition	\$700		\$105			\$805
Waste Management	Mountain Rd Leachate Control System Upgrade	\$110		\$151			\$261
Waste Management	Recycling Facility Improvements	\$835			- \$450	CVP - Waste Management	\$385
Waste Management	Recycling Drum Line Feeder	\$0		\$450			\$450
Wastewater	Wastewater Treatment Plant Upgrade - Welland	\$21,821		\$552			\$22,373
Wastewater	Wastewater Treatment Plant Upgrade - Garner Road	\$6,700		\$240			\$6,940
Wastewater	Wastewater Treatment Plant Upgrade - Niagara Falls	\$2,100		\$250			\$2,350
Wastewater	Seaway Wastewater Treatment Plant Ferric Upgrade	\$200		\$250			\$450
Water	Water Treatment Plant Upgrade - Niagara Falls - 2017	\$12,752		\$200			\$12,952
Water	Niagara Falls Water Treatment Plant Intake Relocation	\$15,550			- \$12,850	External funding not received	\$2,700
All Rate Departments		\$60,768	\$0	\$2,198	- \$13,300		\$49,666
All Departments	Total	\$119,217	\$3,656	\$2,549	- \$15,318		\$110,104

Capital Project Closures (in thousands of dollars)

Projects are closed throughout the year. When projects are closed, surplus funds are transferred to Capital Variance Projects that have been set up in various functional areas (levy-supported and water / wastewater / waste management capital projects). For projects that are not funded from the general capital levy or rate reserves, any surpluses identified through the closeout report would be returned to the specific source reserve for future use, and reported as part of the year-end transfer report. The following 31 projects were closed between July 28 to October 22, 2020. Closed projects may be required to be opened to complete subsequent transactions received for invoices or accounting adjustments.

Department	Project Description	Adjusted Budget	Project-to-date Actuals	Variance	Surplus	Destination of Transfer	Project Duration (Years)
Public Works - Levy	Partial Rebuild - Gilmore Road @ Central Avenue	\$230	\$198	\$32	\$32	CVP Levy	5
Public Works - Levy	Vehicle and Equipment Replacements - 2017	\$900	\$812	\$88	\$88	CVP Levy	4
Public Works - Levy	Annual - Storm Sewer & Culvert Program - 2017	\$1,750	\$1,736	\$14	\$14	CVP Levy	4
Public Works - Levy	Annual Miscellaneous Road Properties - 2017	\$200	\$5	\$195	\$166	CVP Levy	4
Public Works - Levy	Illumination Program - 2018	\$400	\$383	\$17	\$16	CVP Levy	3
Public Works - Levy	Structural Rehabilitation - Mewburn @ CNR Tracks	\$2,500	\$1,625	\$875	\$131	CVP Levy	3
Public Works - Levy	Annual Miscellaneous Road Properties - 2018	\$200	\$3	\$197	\$197	CVP Levy	3
Community Services	Long Term Care Home Technology Improvements - 2017	\$201	\$185	\$16	\$16	CVP Levy	4
Corporate Services	IT EOC Enhancements - 2017	\$100	\$3	\$97	\$97	CVP Levy	4
Corporate Services	Regional Headquarters Space Accommodations	\$100	\$82	\$18	\$18	CVP Levy	2
Corporate Services	Welland Social Assistance & Employment Opportunities Renovations	\$220	\$130	\$90	\$90	CVP Levy	2
Corporate Services	Regional Headquarters Humidification	\$110	\$7	\$103	\$103	CVP Levy	1
Niagara Regional Police Services Board	Niagara Regional Police Tactical Explosives Robot	\$173	\$159	\$14	\$14	Police Capital Levy Reserve	3
Niagara Regional Police Services Board	Niagara Regional Police Communications Unit Noise Reduction	\$53	\$51	\$2	\$2	Police Capital Levy Reserve	3
Niagara Regional Police Services Board	Niagara Regional Police Armor Rescue Vehicle	\$300	\$300	\$0	\$0	Police Capital Levy Reserve	2
Niagara Regional Police Services Board	Niagara Regional Police Forensic Scanner	\$75	\$74	\$1	\$1	Police Capital Levy Reserve	2
Niagara Regional Police Services Board	Niagara Regional Police Fraud Unit Scanner	\$6	\$0	\$6	\$6	Police Capital Levy Reserve	2

Capital Project Closures (in thousands of dollars) - Continued

Department	Project Description	Adjusted Budget	Project-to-date Actuals	Variance	Surplus	Destination of Transfer	Project Duration (Years)
Niagara Regional Police Services Board	Niagara Regional Police CCTV Equipment	\$45	\$45	\$0	\$0	Police Capital Levy Reserve	2
Niagara Regional Police Services Board	Hyundai Data Collection Equipment	\$14	\$9	\$5	\$5	Police Capital Levy Reserve	1
Total Levy Reporting Projects Closed and Removed from Project Listing		\$7,577	\$5,807	\$1,770	\$996		
Waste Management	Mountain - Leachate Collection System	\$185	\$33	\$152	\$152	CVP WMT \$61 Landfill Liability \$91	5
Waste Management	Annual Recycling Centre Building & Equipment - 2017	\$465	\$393	\$72	\$72	CVP WMT	4
Total Waste Management Projects Closed and Removed from Project Listing		\$650	\$426	\$224	\$224		
Wastewater	Combined Sewer Overflow - Crescent Road	\$13	\$9	\$4	\$5	CVP SEW	8
Wastewater	Combined Sewer Overflow - Stanton Avenue	\$71	\$21	\$50	\$50	CVP SEW	7
Wastewater	Combined Sewer Overflow - Crysler Avenue	\$11	\$8	\$3	\$3	CVP SEW	7
Wastewater	Combined Sewer Overflow - St. Lawrence Avenue	\$12	\$10	\$2	\$2	CVP SEW	7
Wastewater	Combined Sewer Overflow - Maranda Street	\$10	\$9	\$1	\$0	CVP SEW	7
Wastewater	Combined Sewer Overflow - Colborne Street	\$185	\$169	\$16	\$16	CVP SEW	7
Wastewater	Combined Sewer Overflow - Ellis Street	\$25	\$11	\$14	\$14	CVP SEW	7
Wastewater	Combined Sewer Overflow - Ralph Avenue	\$81	\$37	\$44	\$44	CVP SEW	7
Wastewater	Wastewater Treatment Plant Upgrade - Niagara Falls Primary Tank	\$598	\$586	\$12	\$12	CVP SEW	4
Total Wastewater Projects Closed and Removed from Project Listing		\$1,006	\$860	\$146	\$146		
Water Works	Watermain Program - Martindale Road	\$660	\$652	\$8	\$8	CVP WAT	8
Total Water Projects Closed and Removed from Project Listing		\$660	\$652	\$8	\$8		
Total Rate Projects Closed and Removed from Project Listing		\$2,316	\$1,938	\$378	\$378		
Total Projects Closed		\$9,893	\$7,745	\$2,148	\$1,374		

Capital Project Summary (in thousands of dollars)

Once a project is initiated, multiple projects may be set up to manage the overall project. Illustrated below is the \$1,532,283 capital budget managed by Niagara Region, representing 600 sub-projects, total capital spending including commitments to date of \$966,526 and budget remaining of \$565,757, after commitments.

This chart represents (in aggregate), currently active and uninitiated projects managed by Niagara Region. Capital project detail for 189 projects with budgets greater than \$1 million are discussed on subsequent pages.

Departments and Boards with projects with budgets greater than \$1 million	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed
Community Services	\$1,675	\$1,661	\$14	99.2%
Corporate Services	\$315,513	\$136,860	\$178,653	43.4%
Niagara Regional Housing	\$68,001	\$57,776	\$10,225	85.0%
Niagara Regional Police Services Board	\$29,885	\$27,380	\$2,505	91.6%
Planning	\$3,294	\$3,279	\$15	99.5%
Public Health	\$8,164	\$6,837	\$1,327	83.7%
Public Works - Levy	\$458,274	\$333,860	\$124,414	72.9%
Waste Management	\$20,371	\$15,648	\$4,723	76.8%
Wastewater	\$265,700	\$192,201	\$73,499	72.3%
Water Works	\$196,651	\$124,784	\$71,867	63.5%
Active projects with budgets greater than \$1 million	\$1,367,528	\$900,286	\$467,242	65.8%
Uninitiated projects with budgets greater than \$1 million	\$36,869	\$0	\$36,869	0.0%
Total projects with budgets greater than \$1 million	\$1,404,397	\$900,286	\$504,111	64.1%
Active projects with budgets less than \$1 million	\$127,386	\$66,240	\$61,146	52.0%
Uninitiated projects with budgets less than \$1 million	\$500	\$0	\$500	0.0%
Total Capital Projects	\$1,532,283	\$966,526	\$565,757	63.1%

Capital Project Forecast (in thousands of dollars)

A detailed analysis of capital sub-projects with budgets greater than \$1 million is presented below. There are a total of 189 projects totaling \$1,404,397 of adjusted capital budget. Project spending to date including commitments on these sub-projects amounts to \$900,286, representing 64.1 per cent of the adjusted capital budget on these active and uninitiated sub-projects.

When a surplus exists at the end of a project, the surplus funds will be transferred back to the respective Capital Variance Project (CVP). Projects forecasting a deficit will require additional funding. Project-to-date funding requests up to \$250 can be made through a CVP request at the discretion of the Commissioner of the department and the Treasurer. Requests in excess of \$250 will be made through Council.

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
St. Catharines Child Care Addition		\$1,675	\$1,661	\$14	99.2%	\$39	\$0	\$0	\$0	2020
Total Community Services		\$1,675	\$1,661	\$14	99.2%	\$39	\$0	\$0	\$0	
2021 Canada Summer Games ****		\$20,037	\$13,687	\$6,350	68.3%	\$3,000	\$3,350	\$0	\$0	2021
911 Backup Rationalization - 2020		\$1,000	\$677	\$323	67.7%	\$200	\$770	\$0	\$0	2021
Asset Replacement - 2018		\$2,946	\$2,860	\$86	97.1%	\$0	\$287	\$0	\$0	2021
Asset Replacement - 2019		\$2,288	\$2,145	\$143	93.8%	\$282	\$143	\$0	\$0	2021
Asset Replacement - 2020		\$1,035	\$773	\$262	74.6%	\$750	\$171	\$0	\$0	2021
Court Facilities Welland *		\$12,490	\$12,356	\$134	98.9%	\$0	\$66	\$0	\$353	2021
Customer Service Strategic Priority		\$1,685	\$165	\$1,520	9.8%	\$20	\$250	\$1,250	\$0	2024
Emergency Medical Services Central Hub	Uninitiated	\$3,895	\$0	\$3,895	0.0%	\$0	\$3,895	\$0	\$0	2021
Emergency Medical Services Facility Welland		\$1,100	\$382	\$718	34.8%	\$0	\$729	\$0	\$0	2021
Environmental Centre Expansion		\$2,000	\$145	\$1,855	7.2%	\$0	\$1,862	\$0	\$0	2022
Environmental Centre Expansion	Uninitiated	\$21,177	\$0	\$21,177	0.0%		\$1,138	\$20,039	\$0	2022

Capital Project Forecast (in thousands of dollars) – Continued

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
Expansion of Social Housing Units (Alternative Service Delivery Model)		\$1,750	\$0	\$1,750	0.0%	\$0	\$1,750	\$0	\$0	2021
Health Facilities - Niagara Falls *		\$6,069	\$5,921	\$148	97.6%	\$50	\$0	\$0	\$98	2020
Long-term Accommodations - NRPS D1		\$20,496	\$19,744	\$752	96.3%	\$4,000	\$1,024	\$0	\$0	2021
Long-term Accommodations - NRPS Headquarters D2		\$65,627	\$65,627	\$0	100.0%	\$341	\$0	\$0	\$0	2020
Long-term Care Home Redevelopment - 2015		\$73,000	\$10,303	\$62,697	14.1%	\$694	\$3,214	\$61,237	\$0	2023
Redevelopment of Linhaven Long Term Care Home - 2020		\$102,000	\$373	\$101,627	0.4%	\$3,247	\$15,456	\$83,195	\$0	2023
Regional Headquarters Generator Replacement		\$1,990	\$1,702	\$288	85.5%	\$143	\$288	\$0	\$0	2021
Total Corporate Services		\$340,585	\$136,860	\$203,725	40.2%	\$12,727	\$34,393	\$165,721	\$451	
Building Capital - 2018		\$4,673	\$4,647	\$26	99.5%	\$329	\$40	\$0	\$0	2021
Building Capital - 2019		\$5,536	\$5,532	\$4	99.9%	\$548	\$500	\$0	\$0	2021
Building Capital - 2020		\$3,974	\$1,600	\$2,374	40.3%	\$904	\$2,374	\$0	\$0	2021
Expansion, Roach Avenue, Welland *		\$2,718	\$2,705	\$13	99.5%	\$4	\$0	\$0	\$13	2020
Expansion, Thorold		\$1,101	\$1,101	\$0	100.0%	\$25	\$0	\$0	\$0	2020
Grounds Capital - 2020		\$1,010	\$718	\$292	71.1%	\$579	\$291	\$0	\$0	2021
Muli-Residential Intensification - Niagara Falls - 2018		\$20,900	\$18,642	\$2,258	89.2%	\$2,896	\$14,938	\$0	\$0	2021
New Build, Carlton Street, St. Catharines *		\$14,980	\$14,968	\$12	99.9%	\$8	\$0	\$0	\$12	2020

Capital Project Forecast (in thousands of dollars) – Continued

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
Social Housing Assistance Improvement Program - 2018		\$2,683	\$2,618	\$65	97.6%	\$164	\$0	\$0	\$0	2020
Unit Capital - 2018		\$1,600	\$1,413	\$187	88.3%	\$315	\$40	\$0	\$0	2021
Unit Capital - 2019		\$5,355	\$3,719	\$1,636	69.4%	\$876	\$1,636	\$0	\$0	2021
Unit Capital - 2020		\$3,471	\$113	\$3,358	3.3%	\$0	\$3,358	\$0	\$0	2021
Total Niagara Regional Housing		\$68,001	\$57,776	\$10,225	85.0%	\$6,648	\$23,177	\$0	\$25	
Communications Unit Back-up		\$1,000	\$0	\$1,000	0.0%	\$0	\$1,000	\$0	\$0	2021
Communications Unit Back-up	Uninitiated	\$1,250	\$0	\$1,250	0.0%	\$0	\$1,250	\$0	\$0	2021
Information Technology & Equipment Replacement		\$1,100	\$1,074	\$26	97.6%	\$31	\$0	\$0	\$0	2020
Information Technology Continuity Plan		\$1,500	\$1,003	\$497	66.9%	\$100	\$397	\$0	\$0	2021
S.P.I.R.I.T. (Supporting Police in Records Information Technology)		\$8,630	\$8,482	\$148	98.3%	\$74	\$74	\$0	\$0	2021
Vehicles - 2018		\$1,386	\$1,386	\$0	100.0%	\$0	\$0	\$0	\$0	2020
Vehicles - 2019		\$1,454	\$1,430	\$24	98.4%	\$0	\$23	\$0	\$0	2021
Vehicles - 2020		\$1,500	\$805	\$695	53.6%	\$428	\$695	\$0	\$0	2021
Voice Radio System		\$13,315	\$13,200	\$115	99.1%	\$20	\$80	\$18	\$0	2022
Total Niagara Regional Police Services Board		\$31,135	\$27,380	\$3,755	87.9%	\$653	\$3,519	\$18	\$0	
Regional Headquarters Landscape Master Plan		\$3,294	\$3,279	\$15	99.5%	\$36	\$15	\$0	\$0	2021
Total Planning		\$3,294	\$3,279	\$15	99.5%	\$36	\$15	\$0	\$0	
Ambulance & Equipment - 2018		\$2,595	\$2,379	\$216	91.7%	\$0	\$278	\$0	\$0	2021

Capital Project Forecast (in thousands of dollars) – Continued

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
Ambulance & Equipment - 2019		\$2,201	\$1,969	\$232	89.5%	\$0	\$801	\$0	\$0	2021
Ambulance & Equipment - 2020		\$3,368	\$2,489	\$879	73.9%	\$0	\$3,219	\$0	\$0	2021
Total Public Health		\$8,164	\$6,837	\$1,327	83.7%	\$0	\$4,298	\$0	\$0	
Annual - Development Projects - 2020		\$1,000	\$0	\$1,000	0.0%	\$500	\$500	\$0	\$0	2021
Annual - Storm Sewer & Culvert Program - 2019		\$1,000	\$958	\$42	95.8%	\$704	\$42	\$0	\$0	2021
Annual - Storm Sewer & Culvert Program - 2020		\$1,100	\$705	\$395	64.1%	\$700	\$395	\$0	\$0	2021
Annual - Traffic Signals Program - 2020		\$3,000	\$13	\$2,987	0.4%	\$60	\$2,927	\$0	\$0	2021
Capacity Improvements - Charnwood/McLeod		\$7,110	\$6,789	\$321	95.5%	\$325	\$80	\$25	\$0	2022
Capacity Improvements - New Escarpment Crossing		\$2,200	\$691	\$1,509	31.4%	\$0	\$1,000	\$509	\$0	2022
Capacity Improvements - New Escarpment Crossing	Uninitiated	\$1,000	\$0	\$1,000	0.0%	\$0	\$0	\$1,000	\$0	2021
Capacity Improvements - Reconstruct Hwy 406 @ Third Interchange		\$1,460	\$727	\$733	49.8%	\$0	\$500	\$233	\$0	2022
Capacity Improvements - Reconstruct QEW @ Glendale Ave Interchange		\$8,000	\$145	\$7,855	1.8%	\$300	\$2,500	\$5,063	\$0	2023
Capacity Improvements - Reconstruct RR49 Concession 6/Eastwest Line		\$4,575	\$3,222	\$1,353	70.4%	\$100	\$1,000	\$796	\$0	2022

Capital Project Forecast (in thousands of dollars) – Continued

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
Capacity Improvements - Reconstruct RR49 McLeod, Montrose to Stanley		\$8,278	\$8,250	\$28	99.7%	\$28	\$0	\$0	\$0	2020
Capacity Improvements - RR10 Livingston/QEW-GR		\$27,750	\$2,090	\$25,660	7.5%	\$150	\$12,000	\$14,046	\$0	2023
Capacity Improvements - RR54 Hwy 20/Merritt *		\$7,850	\$6,871	\$979	87.5%	\$800	\$357	\$0	\$500	2021
Capacity Improvements - RR98 Montrose Road		\$1,050	\$1,001	\$49	95.3%	\$400	\$441	\$0	\$0	2021
Environmental Assessment - RR 42 Ontario Street		\$1,900	\$610	\$1,290	32.1%	\$0	\$0	\$1,761	\$0	2023
Fleet & Vehicle Replacement Program - 2020		\$1,520	\$0	\$1,520	0.0%	\$800	\$720	\$0	\$0	2021
Illumination Program - 2020		\$1,000	\$0	\$1,000	0.0%	\$50	\$950	\$0	\$0	2021
Interchange Sir Isaac Brock Way @ 406 Hwy		\$4,271	\$4,159	\$112	97.4%	\$0	\$0	\$0	\$112	2020
Intersection - RR20 Industrial Park/South Grimsby Road 6		\$2,897	\$2,848	\$49	98.3%	\$101	\$0	\$0	\$0	2020
Intersection - RR20 Roundabout at S Grimsby Rd		\$5,712	\$5,356	\$356	93.8%	\$356	\$0	\$0	\$0	2020
Intersection - RR20 Industrial Park to Townline Phase 2		\$3,231	\$3,041	\$190	94.1%	\$791	\$0	\$0	\$0	2020
Intersection Improvement - RR24 Victoria Ave		\$2,200	\$1,314	\$886	59.7%	\$1,000	\$733	\$386	\$0	2022
Intersection Improvement - RR46 Geneva Street		\$1,000	\$8	\$992	0.8%	\$30	\$962	\$0	\$0	2021
Intersection Improvement - RR46 Geneva/St. Paul		\$5,750	\$5,322	\$428	92.6%	\$894	\$200	\$0	\$0	2021

Capital Project Forecast (in thousands of dollars) – Continued

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
Intersection - RR89 Jacobsen/Burleigh *		\$5,786	\$5,494	\$292	95.0%	\$0	\$308	\$0	\$200	2021
Replacement of Burgoyne Bridge **		\$99,534	\$98,590	\$944	99.1%	\$101	\$0	\$0	\$879	2020
Road Equipment Upgrade - 2020		\$1,000	\$0	\$1,000	0.0%	\$100	\$500	\$400	\$0	2022
Roads Facility Program - Patrol Yard Improvement - 2019		\$1,000	\$15	\$985	1.5%	\$100	\$886	\$0	\$0	2021
Roads Facility Program - Patrol Yard Improvement - 2020		\$1,000	\$158	\$842	15.8%	\$0	\$100	\$893	\$0	2022
Roads Reconstruction - RR20 Station/Rice		\$3,793	\$3,477	\$316	91.7%	\$0	\$316	\$0	\$0	2021
Roads Reconstruction - RR38 QEW/Fourth *		\$23,156	\$19,037	\$4,119	82.2%	\$2,800	\$1,500	\$983	\$1,000	2022
Roads Reconstruction - St Davids Road East		\$10,224	\$8,459	\$1,765	82.7%	\$5,500	\$3,500	\$566	\$0	2022
Roads Rehabilitation - RR27 Prince Charles Dr to Lincoln St		\$5,750	\$4,715	\$1,035	82.0%	\$1,000	\$386	\$0	\$0	2021
Roads Rehabilitation - RR63 Baldwin/Coffee Bridge		\$3,035	\$3,018	\$17	99.5%	\$1,312	\$0	\$0	\$0	2020
Roads Rehabilitation - RR69 Wessel/Centre Phase 3		\$1,000	\$174	\$826	17.4%	\$600	\$235	\$0	\$0	2021
Roads Rehabilitation - RR1 Albert/Lakeshore		\$2,165	\$593	\$1,572	27.4%	\$10	\$1,581	\$0	\$0	2021
Roads Rehabilitation - RR1 Dominion Road, Burleigh/Buffalo		\$12,070	\$11,868	\$202	98.3%	\$0	\$779	\$0	\$0	2021

Capital Project Forecast (in thousands of dollars) – Continued

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
Roads Rehabilitation - RR45 RR4/RR63		\$1,775	\$405	\$1,370	22.8%	\$25	\$1,000	\$421	\$0	2022
Roads Rehabilitation - RR56 Glendale to St Davids		\$1,330	\$1,325	\$5	99.6%	\$5	\$0	\$0	\$0	2020
Roads Rehabilitation - RR57 Thorold Stone Road Extension		\$25,300	\$11,125	\$14,175	44.0%	\$100	\$5,000	\$9,322	\$0	2023
Roads Rehabilitation - RR69 Effingham/Wessel Phase 2		\$9,118	\$9,116	\$2	100.0%	\$200	\$2,824	\$0	\$0	2021
Roads Rehabilitation - RR87 Townline/Four Mile Creek		\$8,500	\$5,234	\$3,266	61.6%	\$294	\$3,000	\$0	\$0	2021
Roads Rehabilitation - RR87 Third/Seventh		\$2,800	\$2,433	\$367	86.9%	\$1,401	\$0	\$0	\$0	2020
Roads Rehabilitation - RR49 Hydro Power Canal to Wilson Cres Phase 2		\$1,700	\$369	\$1,331	21.7%	\$6	\$1,500	\$0	\$0	2021
Roads Rehabilitation - RR 43 Bridge Street - 2019		\$1,250	\$386	\$864	30.9%	\$250	\$920	\$0	\$0	2021
Roads Resurfacing - 2013		\$4,933	\$4,797	\$136	97.2%	\$695	\$46	\$0	\$0	2021
Roads Resurfacing - 2018		\$9,510	\$9,439	\$71	99.3%	\$127	\$0	\$0	\$0	2020
Roads Resurfacing - 2019		\$8,939	\$8,657	\$282	96.8%	\$1,400	\$529	\$0	\$0	2021
Roads Resurfacing - 2020		\$8,345	\$8,214	\$131	98.4%	\$3,000	\$1,095	\$0	\$0	2021
Stabilization RR14 Canboro Rd at Warner		\$5,539	\$5,392	\$147	97.3%	\$149	\$0	\$0	\$0	2020
Storm Pumping Station Improvements - McLeod Rd at Stanley Ave - 2017		\$2,050	\$186	\$1,864	9.1%	\$20	\$1,860	\$0	\$0	2021
Structural Rehabilitation - 2016 Program		\$3,700	\$3,140	\$560	84.9%	\$1,800	\$553	\$0	\$0	2021

Capital Project Forecast (in thousands of dollars) – Continued

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
Structural Rehabilitation - 2019 Program		\$1,000	\$971	\$29	97.1%	\$29	\$80	\$0	\$0	2021
Structural Rehabilitation - 2020 Program		\$1,000	\$0	\$1,000	0.0%	\$50	\$950	\$0	\$0	2021
Structural Rehabilitation - Main Street Bridge		\$4,703	\$4,434	\$269	94.3%	\$0	\$269	\$0	\$0	2021
Structural Rehabilitation - Ontario Power Generation Bridges over Gibson Lake		\$8,100	\$8,007	\$93	98.8%	\$108	\$0	\$0	\$0	2020
Structural Rehabilitation - Reece Bridge *		\$9,733	\$9,715	\$18	99.8%	\$50	\$100	\$0	\$400	2021
Structural Rehabilitation - RR81 St Paul West CNR Bridge		\$2,250	\$685	\$1,565	30.4%	\$200	\$1,613	\$0	\$0	2021
Structural Replacement - RR81 20 Mile Arch Bridge		\$5,020	\$445	\$4,575	8.9%	\$50	\$370	\$4,533	\$0	2024
Structure Rehabilitation - Schisler Road Bridge		\$2,000	\$327	\$1,673	16.4%	\$150	\$1,783	\$0	\$0	2021
Transportation Infrastructure Means Protection		\$4,000	\$3,088	\$912	77.2%	\$20	\$929	\$0	\$0	2021
Public Works - Roads & Fleet		\$406,962	\$307,608	\$99,354	75.6%	\$29,741	\$59,819	\$40,937	\$3,091	
GO Transit		\$31,598	\$9,513	\$22,085	30.1%	\$500	\$21,758	\$0	\$0	2023
GO Transit	Uninitiated	\$8,402	\$0	\$8,402	0.0%	\$0	\$3,994	\$4,408	\$0	2023
Total GO Transit		\$40,000	\$9,513	\$30,487	23.8%	\$500	\$25,752	\$4,408	\$0	
Inter-Municipal Transit Capital Acquisition - 2017		\$20,714	\$16,739	\$3,975	80.8%	\$5,672	\$2,619	\$0	\$0	2021
Total IMT Transit		\$20,714	\$16,739	\$3,975	80.8%	\$5,672	\$2,619	\$0	\$0	
Total Public Works - Levy		\$467,676	\$333,860	\$133,816	71.4%	\$35,913	\$88,190	\$45,345	\$3,091	

Capital Project Forecast (in thousands of dollars) – Continued

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
Bridge St - Public Drop Off Depot Improvement	Uninitiated	\$1,145	\$0	\$1,145	0.0%	\$0	\$1,050	\$95	\$0	2022
Glenridge - Leachate Collection System		\$1,210	\$359	\$851	29.6%	\$200	\$50	\$862	\$0	2023
Humberstone - Infrastructure Upgrades		\$10,706	\$9,030	\$1,676	84.3%	\$1,500	\$765	\$1,470	\$0	2023
Niagara Road 12 - Cell 4 Construction & ManHole Rehabilitation *		\$3,455	\$3,389	\$66	98.1%	\$7	\$0	\$0	\$80	2020
Niagara Road 12 & Park Road - Pump Station Upgrades *		\$1,677	\$1,654	\$23	98.6%	\$5	\$0	\$0	\$66	2020
Recycling Centre - Facility Improvements Groundwater		\$1,123	\$1,037	\$86	92.3%	\$0	\$94	\$0	\$0	2021
Recycling Centre - Fibre Line Enhancements		\$2,200	\$179	\$2,021	8.1%	\$3	\$2,018	\$0	\$0	2021
Total Waste Management		\$21,516	\$15,648	\$5,868	72.7%	\$1,715	\$3,977	\$2,427	\$146	
Combined Sewer Overflow - Grimsby		\$1,725	\$222	\$1,503	12.9%	\$0	\$60	\$1,443	\$0	2022
Decommissioning Wastewater Treatment Plant - Niagara-on-the-Lake		\$12,700	\$552	\$12,148	4.3%	\$20	\$3,000	\$9,331	\$0	2023
Digester & Sludge Program - 2018		\$2,550	\$2,175	\$375	85.3%	\$750	\$637	\$0	\$0	2021
Digester & Sludge Program - 2020		\$1,250	\$560	\$690	44.8%	\$300	\$750	\$200	\$0	2022
Forcemain Replacement Bridgeport Sewage Pump Station		\$3,250	\$562	\$2,688	17.3%	\$300	\$2,400	\$220	\$0	2022

Capital Project Forecast (in thousands of dollars) – Continued

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
Forcemain Replacement Jordan Valley Sewage Pump Station		\$3,175	\$272	\$2,903	8.6%	\$200	\$300	\$2,589	\$0	2023
Lagoon Upgrade program - Stevensville/Douglastown		\$4,100	\$446	\$3,654	10.9%	\$20	\$1,500	\$2,352	\$0	2022
Miscellaneous Program - Centrifuge Components		\$1,211	\$1,210	\$1	99.9%	\$0	\$991	\$0	\$0	2021
Miscellaneous Program - Chemical System Upgrades - 2017		\$1,900	\$1,625	\$275	85.5%	\$100	\$1,500	\$216	\$0	2022
Miscellaneous Program - Chemical System Upgrades - 2018		\$2,200	\$273	\$1,927	12.4%	\$0	\$101	\$2,000	\$0	2022
Miscellaneous Program - Garner Road		\$5,242	\$5,108	\$134	97.4%	\$0	\$137	\$0	\$0	2021
Miscellaneous Program - Motor Control Centres		\$2,000	\$226	\$1,774	11.3%	\$102	\$1,789	\$0	\$0	2021
Pump Station Capacity Expansion Program - Odour Control - Smithville		\$1,500	\$888	\$612	59.2%	\$100	\$559	\$0	\$0	2021
Pump Station Improvement Program - Design		\$5,711	\$5,663	\$48	99.2%	\$0	\$110	\$0	\$0	2021
Pump Station Improvement Program - Haulage Road		\$2,150	\$2,058	\$92	95.7%	\$500	\$300	\$277	\$0	2022
Pump Station Improvement Program - Lakeside		\$2,500	\$2,229	\$271	89.2%	\$400	\$1,587	\$50	\$0	2022
Pump Station Improvement Program - NOTL, Garrison Rd, William St		\$3,285	\$3,140	\$145	95.6%	\$145	\$0	\$0	\$0	2020

Capital Project Forecast (in thousands of dollars) – Continued

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
Pump Station Improvement Program - Park Lane		\$1,400	\$1,039	\$361	74.2%	\$509	\$723	\$0	\$0	2021
Pump Station Improvement Program - Riverview SPS		\$1,305	\$899	\$406	68.9%	\$700	\$131	\$0	\$0	2021
Pump Station Improvement Program - South Side High Lift		\$6,651	\$6,370	\$281	95.8%	\$100	\$181	\$0	\$0	2021
Pump Station Improvement Program - Wellandvale		\$3,445	\$3,000	\$445	87.1%	\$1,450	\$300	\$281	\$0	2022
Pump Station Improvement Program - Woodsvlew		\$5,420	\$478	\$4,942	8.8%	\$50	\$409	\$4,650	\$0	2022
Pump Station Improvement Program - Shirley Road		\$2,400	\$419	\$1,981	17.5%	\$25	\$1,250	\$797	\$0	2022
Pump Station Improvement Program - East Side Port Colborne		\$4,500	\$301	\$4,199	6.7%	\$20	\$2,500	\$1,685	\$0	2022
Pump Station Improvement Program - Laurie Ave		\$4,700	\$624	\$4,076	13.3%	\$0	\$4,000	\$465	\$0	2022
Sewer & Forcemain Program - Dain City		\$11,525	\$4,737	\$6,788	41.1%	\$1,000	\$8,177	\$500	\$0	2022
Sewer & Forcemain Program - Highway 406 Trunk		\$1,274	\$1,273	\$1	100.0%	\$0	\$1	\$0	\$0	2021
Sewer & Forcemain Program - Stamford Centre *		\$10,562	\$10,206	\$356	96.6%	\$24	\$0	\$0	\$1,100	2020
Sewer & Forcemain Program - Tupper Dr Trunk		\$2,910	\$252	\$2,658	8.7%	\$125	\$2,626	\$0	\$0	2021
Sewer Trunk Rehabilitation - Stamford - Phase 2		\$7,950	\$6,137	\$1,813	77.2%	\$0	\$7,757	\$0	\$0	2021
Sewer Relining Program		\$1,336	\$1,336	\$0	100.0%	\$3	\$0	\$0	\$0	2020

Capital Project Forecast (in thousands of dollars) – Continued

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
Wastewater Treatment Plant Capacity Expansion - Niagara-on-the-Lake		\$47,895	\$47,513	\$382	99.2%	\$514	\$0	\$0	\$0	2020
Wastewater Treatment Plant Capacity Expansion - South Niagara Falls		\$4,900	\$2,870	\$2,030	58.6%	\$500	\$2,929	\$0	\$0	2021
Wastewater Treatment Plant Upgrade - Garner Road		\$6,940	\$6,657	\$283	95.9%	\$1,000	\$2,726	\$0	\$0	2021
Wastewater Treatment Plant Upgrade - Niagara Falls		\$2,350	\$1,940	\$410	82.6%	\$771	\$0	\$0	\$0	2020
Wastewater Treatment Plant Upgrade - Port Weller		\$5,900	\$3,349	\$2,551	56.8%	\$365	\$500	\$3,367	\$0	2023
Wastewater Treatment Plant Upgrade - Port Weller 2017		\$1,310	\$1,290	\$20	98.4%	\$69	\$0	\$0	\$0	2020
Wastewater Treatment Plant Upgrade - Welland		\$22,373	\$21,683	\$690	96.9%	\$200	\$4,161	\$0	\$0	2021
Wastewater Treatment Plant Upgrade - Welland Phase 2		\$2,400	\$452	\$1,948	18.8%	\$0	\$1,000	\$1,388	\$0	2024
Wastewater Treatment Plant Upgrade - Aeration - Seaway		\$1,235	\$1,228	\$6	99.5%	\$8	\$0	\$0	\$0	2020
Wastewater Treatment Plant Upgrade - Bar Screen - Port Weller		\$3,230	\$2,888	\$342	89.4%	\$1,600	\$800	\$275	\$0	2022
Wastewater Treatment Plant Upgrade - Fine Bubble Aeration - Port Dalhousie		\$39,500	\$32,971	\$6,529	83.5%	\$50	\$15,000	\$23,039	\$0	2023
Wastewater Treatment Plant Upgrade - Grit System - Grimsby		\$1,725	\$1,614	\$111	93.5%	\$213	\$0	\$0	\$0	2020

Capital Project Forecast (in thousands of dollars) – Continued

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
Wastewater Treatment Plant Upgrade - Primary Digester #2 - Niagara Falls		\$1,000	\$543	\$457	54.3%	\$550	\$150	\$265	\$0	2023
Wastewater Treatment Plant Upgrade - Secondary Clarifier - Seaway *		\$3,115	\$2,923	\$192	93.8%	\$320	\$325	\$0	\$320	2021
Total Wastewater		\$265,700	\$192,201	\$73,499	72.3%	\$13,103	\$71,367	\$55,390	\$1,420	
Elevated Tank - New - Pelham		\$2,820	\$224	\$2,596	7.9%	\$85	\$2,616	\$0	\$0	2021
Elevated Tank - New - Fort Erie		\$1,755	\$254	\$1,501	14.5%	\$50	\$200	\$1,347	\$0	2022
Elevated Tank - Corrosion Protection - Virgil		\$3,525	\$2,843	\$682	80.6%	\$14	\$3,005	\$0	\$0	2021
Elevated Tank Rehabilitation - Thorold South *		\$2,992	\$2,796	\$196	93.4%	\$50	\$20	\$50	\$140	2022
Meter Replacement Program		\$3,550	\$2,094	\$1,456	59.0%	\$200	\$1,511	\$100	\$0	2022
Miscellaneous Program - Evalution & Replacement *		\$1,100	\$1,093	\$7	99.4%	\$2	\$0	\$0	\$35	2020
Miscellaneous Program - Granular Activated Carbon Replacement		\$4,260	\$3,287	\$973	77.2%	\$0	\$2,535	\$0	\$0	2021
Miscellaneous Program - System Storage - Grimsby		\$22,915	\$19,614	\$3,301	85.6%	\$8,969	\$8,000	\$0	\$0	2021
Miscellaneous Program - System Storage - Port Colborne		\$11,850	\$11,790	\$60	99.5%	\$203	\$0	\$0	\$0	2020
Pumping Station Upgrades - Shoalts Drive		\$1,400	\$0	\$1,400	0.0%	\$20	\$800	\$580	\$0	2023
Transmission Main over Welland River		\$4,080	\$6	\$4,074	0.1%	\$0	\$0	\$4,074	\$0	2023

Capital Project Forecast (in thousands of dollars) – Continued

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
Water Treatment Plant Raw Water Intake - Niagara Falls		\$2,700	\$2,211	\$489	81.9%	\$500	\$1,926	\$0	\$0	2021
Water Treatment Plant Roadway & Parking Lot - Grimsby		\$1,880	\$882	\$998	46.9%	\$100	\$1,588	\$50	\$0	2022
Water Treatment Plant Upgrade - Decew Falls - 2016		\$22,250	\$12,004	\$10,246	54.0%	\$2,000	\$10,000	\$9,530	\$0	2022
Water Treatment Plant Upgrade - Niagara Falls - 2015		\$3,495	\$3,042	\$453	87.0%	\$0	\$3,126	\$100	\$0	2022
Water Treatment Plant Upgrade - Niagara Falls - 2017		\$12,952	\$12,609	\$343	97.3%	\$3,200	\$534	\$0	\$0	2021
Water Treatment Plant Upgrade - Port Colborne		\$13,600	\$1,120	\$12,480	8.2%	\$100	\$7,000	\$5,553	\$0	2022
Water Treatment Plant Upgrade - Rosehill		\$15,000	\$14,543	\$457	97.0%	\$1,648	\$300	\$0	\$0	2021
Water Treatment Plant Upgrade - Rosehill - 2017		\$2,686	\$303	\$2,383	11.3%	\$270	\$180	\$2,056	\$0	2024
Water Treatment Plant Upgrade - Welland - 2017		\$5,000	\$1,720	\$3,280	34.4%	\$350	\$1,000	\$3,144	\$0	2023
Water Treatment Plant Upgrade - Niagara Falls - 2018		\$4,565	\$143	\$4,422	3.1%	\$50	\$4,328	\$100	\$0	2022
Water Treatment Plant Upgrade - Decew Falls Plant 2 - 2020		\$2,000	\$0	\$2,000	0.0%	\$5	\$500	\$1,495	\$0	2023
Watermain Intake Channel Modifications - DeCew - 2017		\$1,500	\$916	\$584	61.1%	\$0	\$0	\$0	\$1,500	2020

Capital Project Forecast (in thousands of dollars) – Continued

Department Total Projects	Project Status	Adjusted Budget	Project-to-date Actuals and Commitments	Budget Remaining	Percentage of Budget Spent and/or Committed	2020 Forecasted Expenditures	2021 Forecasted Expenditures	2022 and Beyond Forecasted Expenditures	Forecasted Surplus / Deficit	Estimated Year of Completion
Watermain Security Study - Decew Water Treatment Plant to Townline Rd E		\$1,000	\$307	\$693	30.7%	\$10	\$500	\$488	\$0	2022
Watermain Replacement - Vineland 19th Street and Glen Road		\$2,500	\$0	\$2,500	0.0%	\$0	\$2,500	\$0	\$0	2021
Watermain Program - Along CNR Grimsby		\$16,825	\$12,032	\$4,793	71.5%	\$0	\$7,829	\$0	\$0	2021
Watermain Program - Barrick Road		\$1,965	\$1	\$1,964	0.0%	\$0	\$0	\$1,964	\$0	2023
Watermain Program - Fort Erie, Dominion Road *		\$10,615	\$10,426	\$189	98.2%	\$100	\$100	\$0	\$377	2021
Watermain Program - Hwy406 Cross Trans		\$1,911	\$1,905	\$6	99.7%	\$0	\$6	\$0	\$0	2021
Watermain Program - Lundy's Lane *		\$1,000	\$2	\$998	0.2%	\$100	\$0	\$0	\$898	2020
Watermain Program - Welland Canal Extension		\$4,620	\$0	\$4,620	0.0%	\$0	\$4,620	\$0	\$0	2021
Watermain Program - Welland East and West		\$6,200	\$4,801	\$1,399	77.4%	\$60	\$1,797	\$0	\$0	2021
Watermain Program - St. Davids Rd Phase 2		\$2,140	\$1,816	\$324	84.9%	\$100	\$1,924	\$100	\$0	2022
Total Water Works		\$196,651	\$124,784	\$71,867	63.5%	\$18,186	\$68,445	\$30,731	\$2,950	
Total Projects with remaining budgets greater than \$1 million		\$1,404,397	\$900,286	\$504,111	64.1%	\$89,020	\$297,381	\$299,632	\$8,083	

(*) At the time of report preparation, the surplus either has been returned or is anticipated to be returned to respective reserves or CVP in 2020 or early 2021

(**) Gross expenditure surplus on this project will be used to offset external revenue shortfall

Capital Project Forecast (in thousands of dollars) – Continued

(***) Project close form has been received and open commitment was cancelled subsequent to date that report was prepared, as OPG has retained this project under their management in place of providing external funding to Niagara Region to manage the project.

(****) This project includes the Region’s initial planned contribution to the project being managed by the Host Society. The Canada Summer Games project is currently under review and will be consolidated into the Region’s operations. The full value of the project to be managed by the Region is expected to be reflected in our Q4 financial report.

Capital Variance Project Summary (in thousands of dollars)

Capital projects sometimes require more or less than the approved budget. Throughout the year, project variances are managed through either requesting extra budget dollars from the Capital Variance Project (CVP), or by transferring excess capital project budget dollars to the CVP through a budget reduction.

Transfers to the CVP do not require approval. Requests less than \$250, one-time or cumulative on a project, may be approved by the departmental Commissioner or Director, in combination with the Commissioner of Corporate Services. Requests in excess of \$250, one-time or cumulative on a project, require Council approval. Throughout the year, the balances of the CVPs are monitored and, if significant excess exists, would be adjusted by transferring the excess to the respective capital reserve following Council approval.

The excess funds in the Levy and Wastewater CVPs have been identified as a funding source for the 2021 Capital Budget and will be transferred to the reserve at year-end. The excess funds in the Waste Management CVP will be transferred to the respective capital reserves for use in the long-term capital affordability strategy.

Capital Variance Project Reconciliation	Levy Programs	Waste Management	Wastewater	Water Works	Total Programs
Balance at December 31, 2019*	\$1,000	\$582	\$1,000	\$1,000	\$3,582
Transfer to Active Capital Projects	- \$584	- \$6	- \$388	- \$436	- \$1,414
Budget Reductions on Active Capital Projects	\$1,261	\$975	\$4,561	\$150	\$6,947
Transfers (to)/from Closed Capital Projects	\$2,400	\$292	\$264	\$203	\$3,159
Adjustments to Previously Closed Projects	\$41				\$41
Balance at July 27, 2020	\$4,118	\$1,843	\$5,437	\$917	\$12,315
Transfer to Active Capital Projects	- \$351	- \$706	- \$1,292	- \$200	- \$2,549
Budget Reductions on Active Capital Projects	\$1,674	\$450			\$2,124
Transfers (to)/from Closed Capital Projects	\$968	\$133	\$146	\$8	\$1,255
Balance at October 22, 2020	\$6,409	\$1,720	\$4,291	\$725	\$13,145
Committed to 2021 Budget request	- \$4,000		- \$3,000		- \$7,000
Uncommitted Balance at October 22, 2020**	\$2,409	\$1,720	\$1,291	\$725	\$6,145

* Due to limited funding availability in the Waste Management Capital reserve for the 2020 budget, funds were committed from the CVP, drawing it below \$1,000. As expected, it was replenished with project closures in early 2020.

** The balance of the Water Works CVP is expected to be replenished through project closures and/or budget reductions in Q4 2020, as indicated in the Capital Forecast report, bringing the balance up to a minimum of \$1,000.

Investment Report (in thousands of dollars)

Investment income during Q3 on the primary portfolio amounted to \$4,934, which comprises investment portfolio income and interest on cash balances.

Investment Performance

Investment Income Before Transfers to Reserves:

Unfavourable investment income in Q3 of \$505, is a result of the declining bond yield environment, investment calls from corporate bonds and the Region choosing to maintain higher cash balances in high-interest savings accounts as a mitigation strategy. Investment income before transfers for 2020, forecast to the end of the year, is unfavourable by \$1,668 when compared to budget, as the bond yield environment is expected to remain low.

Budget vs Actual/Forecast before Reserve Transfers	YTD Actuals			Forecast	Total
	Q1	Q2	Q3	Q4	
Budget	\$5,143	\$5,283	\$5,439	\$5,489	\$21,354
Actual	\$5,219	\$5,028	\$4,934	\$4,505	\$19,685
Variance	\$76	\$-255	\$-505	\$-984	\$-1,668

Year-to-date cumulative portfolio return:

Q1	Q2	Q3	Q4 Forecast
2.71%	2.62%	2.57%	2.62%

Investment Income After Transfers to Reserves:

Investment income after transfers in Q3 is unfavourable by \$4,695 as result of interest income transferred to development charges and rate reserves at a higher rate than budgeted in alignment with the reserve and reserve fund policy. Forecasted investment income after transfers compared to budget is unfavourable by \$4,784.

Budget vs Actual/Forecast after Reserve Transfers	YTD Actuals			Forecast	Total
	Q1	Q2	Q3	Q4	
Budget	\$5,143	\$5,283	\$5,439	\$5,489	\$21,354
Net Budget Transfers	\$-1,325	\$-1,325	\$-1,325	\$-1,325	\$-5,299
Budget (Net)	\$3,818	\$3,958	\$4,114	\$4,164	\$16,054
Actual	\$5,219	\$5,028	\$4,934	\$4,505	\$19,685
Net Actual Transfers	\$-1,012	\$-128	\$-5,515	\$-1,760	\$-8,415
Actual (Net)	\$4,207	\$4,900	\$-581	\$2,744	\$11,270
Variance	\$389	\$942	\$-4,695	\$-1,420	\$-4,784

Note: Staff monitor foreign exchange rates during the year to take advantage of favourable opportunities, gains of \$77 are included in year to date investment income. Amounts reflected in this report for investment performance above do not include the NRH investment portfolio since these are managed separately.

For completeness, the value of the NRH investments is shown in the total investment holdings.

Investment Term Holdings

Funds	Book Value	Weight
Cash Equivalent<1Yr	\$38,195	4.7%
2 Year	\$18,779	2.3%
3 Year	\$28,185	3.4%
4 Year	\$26,526	3.2%
5+ Year	\$441,012	53.7%
NRH Investments	\$6,479	0.8%
Subtotal (Investments)	\$559,176	68.1%
Cash	\$243,497	29.7%
Sinking Fund (Incl.Cash)	\$18,056	2.2%
Total Portfolio	\$820,729	100.0%

Investment Detail (in thousands of dollars)

Institution	Type of Investment	Balance of Investment by Institution	Percentage Holdings *	Policy Percentage Limits
Bank of Montreal	Corporate	\$52,200	9.15%	15.00%
Bank of Nova Scotia	Corporate	\$20,000	3.50%	15.00%
Canadian Imperial Bank of Commerce	Corporate	\$36,000	6.31%	15.00%
National Bank of Canada	Corporate	\$64,500	11.30%	15.00%
Royal Bank of Canada	Corporate	\$41,500	7.27%	15.00%
Total	Corporate	\$214,200	37.54%	50.00%
City of Hamilton	Municipal	\$5,724	1.00%	5.00%
City of Montreal	Municipal	\$3,032	0.53%	5.00%
City of Ottawa	Municipal	\$5,342	0.94%	5.00%
City of Quebec	Municipal	\$2,303	0.40%	5.00%
City of Saskatoon	Municipal	\$3,332	0.58%	5.00%
City of Toronto	Municipal	\$8,494	1.49%	5.00%
County of Wellington	Municipal	\$852	0.15%	5.00%
Municipal Finance Authority of BC	Municipal	\$5,020	0.88%	5.00%
New Brunswick Municipal Finance Authority	Municipal	\$5,507	0.97%	5.00%
Region of Halton	Municipal	\$1,519	0.27%	5.00%
Region of Peel	Municipal	\$3,515	0.62%	5.00%
Region of Waterloo	Municipal	\$13,089	2.29%	5.00%
Region of York	Municipal	\$9,691	1.70%	5.00%
York Region District School Board	Municipal	\$4,184	0.73%	5.00%
York Sinking Fund Debenture	Municipal	\$1,793	0.31%	5.00%
Total	Municipal	\$73,397	12.86%	25.00%
Newfoundland and Labrador Hydro	Provincial	\$751	0.13%	25.00%
Ontario Hydro	Provincial	\$22,350	3.92%	25.00%
Province of Alberta	Provincial	\$1,348	0.24%	25.00%
Province of British Columbia	Provincial	\$7,205	1.26%	25.00%
Province of Manitoba	Provincial	\$33,701	5.91%	25.00%
Province of New Brunswick	Provincial	\$1,908	0.33%	25.00%
Province of Newfoundland	Provincial	\$60,884	10.67%	25.00%
Province of Nova Scotia	Provincial	\$17,410	3.05%	25.00%
Province of Ontario	Provincial	\$45,553	7.98%	25.00%
Province of Prince Edward Island	Provincial	\$2,833	0.50%	25.00%
Province of Quebec	Provincial	\$65,627	11.50%	25.00%
Province of Saskatchewan	Provincial	\$5,207	0.91%	25.00%
Quebec Hydro	Provincial	\$14,350	2.51%	25.00%
Total	Provincial	\$279,127	48.91%	75.00%
Region of Niagara Debentures	Municipal	\$3,934	0.69%	100.00%
Total Niagara Region Investments		\$570,658	100.00%	100.00%
NRH Investments		\$6,479		
TOTAL Region (excl Cash) & NRH	All	\$577,137		
General Chequing **	Cash	\$88,322		
Savings	Cash	\$155,175		
Sinking Fund	Cash	\$95		
Total		\$243,592		
TOTAL including Cash		\$820,729		

* Note: Holdings by security percentages exclude cash balances and NRH investments.

**Cash balances shown are the amounts held by the financial institution at the end of the quarter and do not include adjustments for outstanding payments or deposits or the NRH general operating account and payroll trust accounts. Balances include USD funds converted at quarter end spot rate of 1.3339.

Debt Report (in thousands of dollars)

S&P (Standard & Poor's) has had Niagara rated AA with stable outlook since April 5, 2001 when S&P and CBRS (Canadian Bond Rating Service) merged their ratings. S&P affirmed Niagara's AA rating with stable outlook on October 13, 2020. The ratings reflect S&P's opinion of Niagara's exceptional liquidity and budgetary performance, strong financial management, and moderate debt burden. Niagara continually strives to improve our credit rating, as it sends a strong, positive message to investors, and directly impacts our cost of borrowing in the capital markets.

Standard and Poor uses an assessment scale of 1 to 5, with an assessment score of 1 being exceptional and 5 being the weakest score.

Key Rating Factor	Institutional Framework	Economy	Financial Management	Budgetary Performance	Liquidity	Debt Burden
Standard & Poor's Assessment	2	3	2	1	1	3

Department	Total Debt as at December 31, 2019 including Sinking Fund Assets	Year to Date Debt Issued	Year to Date Principal Payments	Sinking Fund Contributions and Asset Earnings	Total Debt as at September 30, 2020 including Sinking Fund Assets	Forecasted Principal Payments	Unissued Debt*	Total Debt & Unissued Debt as at December 31, 2020	Annual Repayment Limits**
General Government	\$21,122	\$3,000	- \$1,988	- \$54	\$22,080	\$0	\$3,350	\$25,430	
Police	\$87,489	\$1,214	- \$3,263	- \$201	\$85,238	- \$850	\$2,250	\$86,638	
Transportation	\$131,585	\$8,011	- \$12,878	- \$232	\$126,486	- \$164	\$47,602	\$173,924	
Public Health	\$14,657	\$0	- \$1,946	\$0	\$12,711	- \$44	\$3,037	\$15,704	
Community Services	\$19,538	\$0	- \$2,608	\$0	\$16,930	\$0	\$144,522	\$161,452	
NRH	\$36,357	\$3,300	- \$4,173	\$0	\$35,484	- \$109	\$2,519	\$37,894	
Planning	\$32	\$0	- \$32	\$0	\$0	\$0	\$0	\$0	
Total Levy	\$310,779	\$15,525	- \$26,889	- \$487	\$298,928	- \$1,167	\$203,280	\$501,041	
Wastewater	\$56,797	\$0	- \$2,279	- \$1,029	\$53,489	- \$68	\$32,296	\$85,717	
Water	\$11,114	\$0	- \$368	- \$256	\$10,490	- \$8	\$22,249	\$32,731	
Waste Management	\$795	\$0	- \$795	\$0	\$0	\$0	\$0	\$0	
Total Rate	\$68,706	\$0	- \$3,441	- \$1,286	\$63,979	- \$76	\$54,545	\$118,448	
Total Niagara Region	\$379,485	\$15,525	- \$30,330	- \$1,773	\$362,907	- \$1,243	\$257,825	\$619,490	8.06%

Debt Report (in thousands of dollars) - Continued

Department	Total Debt as at December 31, 2019 including Sinking Fund Assets	Year to Date Debt Issued	Year to Date Principal Payments	Sinking Fund Contributions and Asset Earnings	Total Debt as at September 30, 2020 including Sinking Fund Assets	Forecasted Principal Payments	Unissued Debt*	Total Debt & Unissued Debt as at December 31, 2020	Annual Repayment Limits**
Fort Erie	\$6,333	\$0	- \$703	\$0	\$5,631	- \$106	\$0	\$5,525	2.51%
Grimsby	\$3,140	\$0	- \$176	\$0	\$2,963	- \$179	\$0	\$2,784	2.75%
Lincoln	\$6,676	\$0	- \$546	\$0	\$6,130	- \$69	\$0	\$6,061	2.59%
NOTL	\$3,609	\$0	- \$481	\$0	\$3,128	- \$50	\$0	\$3,078	1.74%
Niagara Falls	\$48,560	\$0	- \$3,341	\$0	\$45,220	- \$549	\$0	\$44,670	3.16%
Pelham	\$32,252	\$0	- \$2,137	\$0	\$30,115	- \$100	\$0	\$30,015	12.81%
Port Colborne	\$27,246	\$0	- \$1,733	\$0	\$25,513	- \$242	\$0	\$25,270	8.67%
St. Catharines	\$118,033	\$13,444	- \$12,396	- \$243	\$118,838	- \$310	\$0	\$118,528	9.44%
Thorold	\$950	\$0	- \$77	\$0	\$873	- \$43	\$0	\$830	1.60%
Wainfleet	\$1,708	\$0	- \$190	\$0	\$1,518	\$0	\$0	\$1,518	1.17%
Welland	\$49,199	\$5,217	- \$5,641	\$0	\$48,775	- \$624	\$0	\$48,151	8.82%
West Lincoln	\$18,496	\$0	- \$596	\$0	\$17,900	- \$67	\$0	\$17,834	5.30%
NPCA	\$216	\$0	- \$216	\$0	\$0	\$0	\$0	\$0	
Separate School Board	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
Debt Assumed for Others (External)	\$316,419	\$18,661	- \$28,233	- \$243	\$306,604	- \$2,338	\$0	\$304,265	
Total Niagara Region & External	\$695,904	\$34,186	- \$58,563	- \$2,016	\$669,510	- \$3,581	\$257,825	\$923,755	

*Unissued debt information from the local area municipalities is not provided to Niagara Region

**2019 FIR data used for ARL calculation for Niagara Region, NOTL and Pelham. All others used 2018 FIR with the exception of Grimsby and Niagara Falls that relied on 2017 FIR data

2020 Debt Issuances

- By-law 2020-45: Capital Markets \$34,186, 10 years, 1.43% for Niagara Region and municipalities of Welland and St. Catharines

Accounts Receivable Aging Report (in thousands of dollars)

The accounts receivable aging report reflects all unpaid accounts greater than 120 days and greater than \$25. Listing does not include outstanding invoices at quarter-end where payments have been received prior to finalization of the Q3 Financial Update.

Customer Name	Over 120	Explanation of Account	Status
Bell Canada	\$73	Cost sharing invoice (\$72) for work completed during the Church Street transportation project. Public Works Project Manager working with their contact to receive payment. Construction Encroachment permits (\$1); payment expected within Q4 2020.	Collection to continue
City of Niagara Falls	\$73	2018 RDC invoice in dispute with developer (\$60), applied for NFP grant, which was denied. Collection efforts to continue, which may include collecting through property tax. 2019 RDC's (\$13) for one multiple permit for which staff have followed up with the City building department on status.	Collection to continue
City of St. Catharines	\$934	Balance due is related to COVID-19 concessions to local area municipalities regarding tax and water/waste water billings in CSD 31-2020 and will be paid in full by the end of 2020.	Collection to continue
Merritton Mills Redevelopment Corp	\$262	Receivable of 2007 tipping fees for the last of four redeveloped brownfield sites. Niagara Region will offset the tipping fees against the Tax Increment Grant (TIG) being paid on the development, which was initiated in 2019 and is expected to be fully recovered by 2024. In the interim, the Niagara Region is holding a Letter of Credit (LOC) as security for the full amount of the receivable.	2019 TIG agreements Collection to continue
Town of Fort Erie	\$35	Cost sharing invoice (\$35) for Watermain project. A portion is expected to be paid at the end of October 2020 and discussions with Town Public Works staff are continuing for expected payment date of the balance.	Collection to continue
Town of Grimsby	\$401	2018 RDC invoice in dispute with developer (\$401), Grimsby to collect additional amounts outstanding through property tax (Grimsby currently proceeding with legal action). Staff will continue to work with Grimsby building staff to determine expected remittance dates.	Collection to continue
Town of Lincoln	\$726	RDC balance owing (\$275) from developer that made payment at prior year rates. Lincoln building staff have followed up with the developer and Region will take necessary corrective action if not received. Timing difference (\$451) between when Region receives permit information and when permit is issued and payment made by developer. Region staff will continue to work with Lincoln staff to create a better process flow for permit and remittance information.	Collection to continue

Accounts Receivable Aging Report (in thousands of dollars) - Continued

Customer Name	Over 120	Explanation of Account	Status
Town of NOTL	\$79	2019 RDC balances due to permit information that is sent monthly, with payment remitted quarterly. Amounts will be included in future payment. Region has requested that RDC be remitted to the Region monthly instead of quarterly, which will address outstanding balances in a more timely manner. Staff will continue to work with NOTL building staff to determine expected remittance dates.	Collection to continue
TOTAL	\$2,583		

Consolidated Statement of Financial Position (in thousands of dollars)

The consolidated statement of financial position is prepared in accordance with Canadian public sector accounting standards ("PSAS") and includes all unfunded liabilities, impacts of amortization and capital fund activity. This report is unaudited and prepared with information as at November 6, 2020.

	Sep. 30, 2020	Dec. 31, 2019
FINANCIAL ASSETS		
Cash	\$ 251,148	\$ 135,681
Investments (page 88)	559,176	635,596
Accounts receivable	46,164	80,140
Other current assets	780	417
Tangible capital assets held for sale	2,178	1,760
Debt Recoverable from others (page 91)	306,604	316,419
	1,116,050	1,170,013
FINANCIAL LIABILITIES		
Accounts payable and accrued liabilities	119,801	129,782
Employee future benefits and post-employment liabilities	109,462	109,462
Deferred revenue	231,686	219,750
Landfill closure and post-closure liability	61,277	61,277
Long-term liabilities (page 91)	669,510	695,904
Capital lease obligation	4,276	4,352
	1,196,012	1,220,527
Net debt	(29,962)	(50,514)
NON-FINANCIAL ASSETS		
Tangible capital assets	1,871,670	1,823,929
Inventory	7,519	7,498
Prepaid expenses	14,275	18,609
	1,893,464	1,850,036
Accumulated surplus	\$ 1,863,502	\$ 1,799,522

Accumulated surplus reconciliation:

	Sep. 30, 2020	Dec. 31, 2019
Invested in tangible capital assets	\$ 1,504,488	\$ 1,440,091
Capital fund – unexpended capital financing	329,264	271,407
Operating fund	(843)	(10,886)
Unfunded landfill closure & post-closure liability	(61,277)	(61,277)
Unfunded employee future benefits & post-employment liabilities	(108,148)	(108,148)
Total surplus	1,663,484	1,531,187
Total reserves and reserves funds (page 56)	200,018	268,335
Total accumulated surplus	\$ 1,863,502	\$ 1,799,522

Explanation of Statement of Operations

The statements of operations provided in the preceding pages summarize the Niagara Region's financial activity as of June 30, 2020. These statements have been compiled by Corporate Services and the departments have validated the information and provided commentary.

These statements present the net funding position of Niagara Region's operating budget and do not include Public Sector Accounting (PSA) adjustments for amortization, employee future benefits and landfill liability.

Approved and/or expected unbudgeted transfers to/from reserves can offset other variances and impact net surplus/deficit reported by departments. These statements do not include capital activity. Capital activity is summarized by project in the capital reports section.

Definition of Column Headings

Year to date Budget - the portion of the annual budget expected to be realized from January through September.

Year to date Actual - actual costs incurred and revenues earned from January to June. Departments have accrued for goods or services received but not yet paid for and revenues earned but not yet received.

Year to date Budget vs Actual Variance Favourable/(Unfavourable) - the difference between the year to date budget and the year to date actual. An unfavourable variance (i.e. actual expenditures are greater than budgeted or actual revenues are less than budgeted) is shown as a negative and a favourable variance (i.e. actual expenditures are less than budgeted or actual revenues are greater than budgeted) is shown as a positive.

Annual Budget - the annual budget approved by council with budget adjustments as explained on the Operating Budget Amendments & Adjustment Summary.

Annual Forecast - the year to date actual plus the year to go forecast for July to December. It is intended to project expected organization results at the end of the current year based on information available at June 30, 2020. As noted, actual operating results may vary from the forecasted information presented.

Annual Budget vs Forecast Variance Favourable/(Unfavourable) - the difference between the annual budget and the annual forecast. An unfavourable variance (i.e. forecasted expenditures are greater than budgeted or forecasted revenues are less than budgeted) is shown as a negative and a favourable variance (i.e. forecasted expenditures are less than budgeted or forecasted revenues are greater than budgeted) is shown as a positive.

Definition of Report Rows – Expenditures

Compensation – salaries, benefits and personnel related allowances (meals, clothing, training, etc).

Administration – costs for audit, advertising, consulting, insurance, contracted services, Court Services expenses, allowances (car, mileage, etc.), telephone, training and related expenses, office supplies, memberships and other miscellaneous expenses.

Operational & Supply – program specific costs including: chemical, medical, waste management supplies and purchased services.

Occupancy & Infrastructure – costs to repair or maintain property and infrastructure, property tax, leases and all utilities.

Equipment, Vehicles, Technology – costs to repair or maintain equipment and vehicles, minor equipment purchases, computer licenses and support.

Community Assistance – Ontario Works allowances and benefits program costs, rent supplements and the use of all housing related subsidies.

Financial Expenditures – interest charges, principal debt payments, tax write-offs, and bad debt expense. The debt related charges included in this section are allocated to departments through indirect allocations & debt.

Partnership, Rebate, Exemption – grants, rebates and exemptions provided to local area municipalities and/or other organizations to support projects within the region.

Explanation of Statement of Operations - Continued

Definition of Report Rows – Revenues

Taxation – revenues received from local area municipalities including payment-in-lieu, supplemental and power dams revenue; as well as funds received to support waste management, water and wastewater operations.

Federal & Provincial Grants – funds received from the provincial and federal governments.

By-law Charges & Sales – shared services revenue (without shared services agreement), licenses, permits and approvals, and fees and service charges on the User Fee By-Law such as child care fees, health fees, police fees (i.e. accident reports, etc), seniors homes fees (i.e. long term care accommodations fees), road fees and other miscellaneous fees (i.e. zoning).

Other Revenue – shared services revenue (with shared services agreement), investment income, Court Services revenue, recycling revenue, housing revenue and other miscellaneous revenue.

Definition of Report Rows – Intercompany Charges

Intercompany Charges – direct rate-based costs that are allocated to the beneficial recipient by the department providing the service or goods and calculated based on a pre-established rate (i.e. fleet, fuel, photocopiers, and print shop). This includes the allocation of the costs of staffing resources that have been strategically redeployed due to the COVID-19 pandemic from one department to another. The pre-established rate is intended to recover the costs incurred by the service providing department (time and material).

Definition of Report Rows – Transfers

Transfer to Reserves – includes all transfers of funds in the current year from the operating program to a reserve. At a corporate level the net of the transfers to reserves and the transfers from reserves represents our total contribution to reserves or draw on reserves in the year.

Transfer from Reserves – transfers of funds in the current year to the operating program from a reserve. At a corporate level the net of the transfers from reserves and the transfers to reserves represents our total contribution to reserves or draw on reserves in the year.

Expense Allocation to Capital – eligible costs recorded and managed in the operating program allocated to the capital program.

Definition of Report Rows – Indirect Allocation & Debt

Indirect Allocation – costs that are not directly traceable to a specific program or department (i.e. HR, finance, procurement, legal, IT, properties, and communications). Indirect costs are common resources shared by several programs and services that require an allocation to determine full cost of the program or service.

Capital Financial Allocation – allocations of all debt charges incurred to programs and services based on projects the debt is issued to fund.



Appendix 2: COVID-19 2020 Financial Impact Summary (in thousands)

The information available and estimated to date has been summarized into the following key categories.

1. Total Gross Cost: This category represents all costs tracked and associated with the emergency response including costs that can be accommodated within our approved 2020 budget. It is important to note that while the Region does have an established base budget to support some of these expenditures, it is not what was originally contemplated in the base budget and may result in delays in work plans and/or backlogs after the emergency is complete.
2. Total Net Cost: This category considers confirmed funding sources that have been matched to eligible expenditures.
3. Net Deficit/(Surplus): This category removes the costs that can be supported by our approved base budget. It also considers strategic and other mitigations (offset by other non-COVID pressures) the Region has been able to identify and put in place to help manage the cost of the emergency.

	Spent & Committed As of Date	Spent & committed	Projected to Dec 31	Total
Redeployed Resources				
EOC Dedicated Resources ¹	31-Oct	\$ 4,247	\$ 705	\$ 4,952
Lost Productivity – Staff Unable to Work ²	17-Oct	2,628	571	3,199
Redeployed Resources ³	17-Oct	9,300	2,776	12,076
Emergency Child Care Costs ⁴	05-Oct	602	-	602
Total redeployed resources		16,777	4,052	20,829
Costs incremental to base budget				
Additional labour related costs ⁵	17-Oct	7,351	2,509	9,860
Pandemic Pay ⁶	17-Oct	4,558	-	4,558
Purchases made or committed ⁷	26-Oct	9,492	7,013	16,505
Total costs incremental to base budget		21,401	9,522	30,923
Lost Revenue ⁸		-	12,965	12,965
		-	-	-
Cost Savings ⁹		-	(16,158)	(16,158)
		-	-	-
Total Gross Cost		38,179	10,380	48,559
		-	-	-
Confirmed Funding Matched to Expenses ¹⁰		(14,908)	(15,891)	(30,799)
		-	-	-
Net Cost to Region		23,271	(5,511)	17,760
Strategic and Other Mitigations ¹¹		-	(16,049)	(16,049)
Redeployed resources		(16,777)	(4,052)	(20,829)
Net Deficit/(Surplus)		\$ 6,494	\$ (25,611)	\$ (19,118)

- ¹ Mar 13 to June 29 - Assumes 100% of salary and benefit costs to any staff member fully activated in the Regional EOC, Public Health EOC, and EMS EOC . As of June 30th all EOC members have estimated their ongoing time commitment and costs have been projected accordingly.
- ² Staff unable to work due to self-isolation, needing to care for family members or being sick directly associated with COVID-19
- ³ Corporate cost of staff redeployed from their main role to new roles to support the pandemic.
- ⁴ Emergency child care services were provided as requested by the province. Cost include base staffing and supplies used while delivering emergency childcare in April through June.
- ⁵ Additional salary, benefits and overtime costs related to managing the emergency. Overtime (banked and paid) to date represent 25% of the additional labour related cost which averages to an additional 21 FTE each week of the pandemic.
- ⁶ Final pandemic pay from April 24 to August 13. Pandemic pay is allocated by department as follows and does not yet include amounts flowed to third party agencies through the Homelessness program: Seniors Services \$3.5 million thousand, Homelessness Services \$0.02 million, Emergency Medical Services \$1 million, Public Health Programs \$0.04 million.
- ⁷ Additional purchase commitments made to directly support the emergency (e.g. cleaning supplies and services, personal protective equipment, emergency shelter, screening, advertising). Included in the purchases the Region has executed 36 special circumstance purchases over \$10 thousand for a total value of \$5.3 million. These purchase consist mainly of personal protective equipment, cleaning supplies/services, emergency shelter, homelessness agency support and screening services. Staff will continue to rely on the special circumstance provisions in the procurement by-law on an as-required basis and report back to Council as needed.
- ⁸ Estimated loss of expected revenue sources (e.g. rental income on owned units, transit fare revenue, business licensing revenue, development applications, parental fees, POA infraction revenue, investment income).
- ⁹ Estimated cost savings directly related to the COVID measures (e.g. reduced travel costs, reduced electricity, cancelled events). Fuel savings in EMS and transportation estimated at \$0.45 million.
- ¹⁰ Funding received has been matched to eligible expenditures.
- ¹¹ Strategic mitigations put in place by the Region (e.g. gapping of vacant positions, reduced non-emergency repair work, reduced transit service costs, other non-COVID related savings). This category is offset by other non-COVID related pressures.

Appendix 3: COVID-19 2020 Financial Impact by Department (in thousands)

	Redeployed Resources	Costs incremental to base budget	Lost Revenue	Cost savings	Total Gross Cost	Confirmed Funding Matched to Expenses	Net Cost to Region	Strategic & Other Mitigations	Costs supported by our base budget	Net Deficit/ (Surplus)
General Government	\$ -	\$ 6	\$ 1,668	\$ (5,077)	\$ (3,403)	\$ (12,185)	\$ (15,588)	\$ 1,997	\$ -	\$ (13,591)
Corporate Administration	1,132	530	-	(2,365)	(703)	-	(703)	(2,312)	(1,132)	(4,147)
Governance	79	2	-	(134)	(53)	-	(53)	(40)	(79)	(172)
Corporate Services	956	1,434	207	(14)	2,583	-	2,583	1,455	(956)	3,082
Court Services	15	14	915	(238)	706	-	706	(178)	(15)	513
Planning	250	4	340	-	594	-	594	(799)	(250)	(455)
Niagara Regional Housing	1	293	-	(94)	200	-	200	(1,219)	(1)	(1,020)
NRPS *	1,458	723	3,936	(1,243)	4,874	-	4,874	(3,209)	(1,458)	207
Transportation	191	58	3,625	(5,921)	(2,047)	(27)	(2,074)	(5,232)	(191)	(7,497)
Public Health										
Public Health	8,579	4,655	141	(49)	13,326	(771)	12,555	(2,104)	(8,579)	1,872
EMS	2,333	2,929	40	(238)	5,064	(974)	4,090	742	(2,333)	2,499
Sub-total Public Health	10,912	7,584	181	(287)	18,390	(1,745)	16,645	(1,362)	(10,912)	4,371
Community Services										
Childrens Services **	925	5,179	307	-	6,411	(5,253)	1,158	(238)	(925)	(5)
Seniors Services ***	4,208	10,996	9	-	15,213	(8,007)	7,206	445	(4,208)	3,443
SAEO	192	27	-	-	219	-	219	(2,093)	(192)	(2,066)
Homelessness Services	284	3,582	-	-	3,866	(3,582)	284	(759)	(284)	(759)
Sub-total Community Services	5,609	19,784	316	-	25,709	(16,842)	8,867	(2,645)	(5,609)	613
Indirect allocation levy related deficit	-	-	-	-	-	-	-	1,023	-	1,023
Total Levy Supported	20,603	30,432	11,188	(15,373)	46,850	(30,799)	16,051	(12,521)	(20,603)	(17,073)
Waste Management	49	178	905	(440)	692	-	692	(878)	(49)	(235)
Water/Wastewater	177	313	872	(345)	1,017	-	1,016	(1,626)	(177)	(787)
Indirect allocation rate related surplus	-	-	-	-	-	-	-	(1,023)	-	(1,023)
Total Rate Supported	226	491	1,777	(785)	1,709	-	1,709	(3,528)	(226)	(2,045)
Total	\$ 20,829	\$ 30,923	\$ 12,965	\$ (16,158)	\$ 48,559	\$ (30,799)	\$ 17,760	\$ (16,049)	\$ (20,829)	\$ (19,118)

*NRPS figures reflect revised forecast as of September 30, 2020 to be presented to the NRPS board in November 2020.

** Confirmed funding matched to expense in Childrens Services is a reallocation of existing funding and not incremental funding. The MOE has advised service providers it will allow them to be flexible in how they apply their existing grants against their costs to minimize or eliminate any deficits. As a results, the division is confident it will be able to use its current grant to support COVID related items.

*** The incremental costs in seniors services is 39% labour related, 32% pandemic pay related and 29% supplies/PPE/screening related. While there has been incremental staffing needs in the long-term care homes, the hours per bed per day is 3.55 which remains under the recommended level of 4.

Subject: Insurance Program Update for 2020-2021

Report to: Corporate Services Committee

Report date: Wednesday, December 9, 2020

Recommendations

1. That this report **BE RECEIVED** for information.

Key Facts

- The purpose of this report is to provide Council with an update with respect to the insurance program negotiations and renewal terms for the November 1, 2020 to November 1, 2021 insurance policy period in accordance with Council's approval on September 17, 2020, of the recommendations in Confidential Report CSD 54-2020 .
- The 2020-RFP-78 – Insurance and Risk Management Services was cancelled and immediately thereafter Staff commenced negotiations with Niagara Region's existing Broker/Insurer (Marsh) to secure an insurance agreement extension to commence November 1, 2020 for a period of one year with an option to cancel.
- On October 30, 2020, Staff obtained the approval of the Acting CAO and was able to bind coverage for Niagara Region (which includes Niagara Regional Housing and Niagara Regional Police Services) commencing November 1, 2020.
- The premium for November 1, 2020 to November 1, 2021 is \$1,800,650 (inclusive of non-refundable 8% PST where applicable) compared to the last term's premium of \$970,074.
- Staff are undertaking a review the current insurance program and associated risks in the context of the now known changing insurance market and will report back to Council by the end of April 2021 regarding all available options to Council including potentially going back out to market in 2021 with a new procurement process and a revised insurance program.

Financial Considerations

For the 2020 and 2021 insurance premium budget, Staff forecasted a significant premium increase due to the hardening insurance market and impact of COVID-19. However, Staff did not anticipate the magnitude that the declining insurance market would have on the overall 2020-2021 premium quote of \$1,800,650.

The renewal from November 1, 2020 to November 1, 2021 will increase the proposed budget for 2021 to \$1,803,486 from \$904,100 in 2020 (an increase of \$899,386 or 99.5%). The 2021 budget includes a further estimated increase for November and December 2021. The 2021 proposed budget increase was settled on two months prior to the finalizing of the negotiated insurance premium to help facilitate the finalizing of the corporate 2021 budget process. Staff are still considering potential mitigation strategies for this budget pressure which will be brought to Budget Review Committee of the Whole for consideration as part of the 2021 operating budget submission.

The increased costs for November/December 2020 have been captured and accommodated in the Q3 consolidated financial update.

Analysis

On September 18, 2020, the 2020 RFP-78 was cancelled and immediately thereafter Staff commenced negotiations with Marsh. Numerous meetings and discussions were required by Staff with both Marsh and the Insurers in order to gain a better understanding of the current market condition and consider how Niagara Region's insurance program requirements could be achieved.

Marsh reported experiencing great difficulty finding a market to provide Niagara Region with its desired coverages for both liability and property and as result negotiations and the process to secure coverage took considerable time, with Marsh submitting its formal written proposal on October 27, 2020.

The significant notable changes in liability and property coverages include:

Re: Liability

- Medical Malpractice and Errors & Omissions Liability limits have been reduced from \$50M to \$25M for all Public Health Units, EMS, All Health Operations including Care Homes, Senior Services, Community Services including Homeless Shelters, and Police Services.
- Policy now includes Communicable Disease Exclusion for Public Health Unit, All Health Operations and Care Homes.
- Cyber Liability deductible increased from \$50,000 to \$150,000.

Since binding coverage, Staff have continued to explore available options with the Insurer to improve liability coverage.

Re: Property

- Reduced coverage from full property value of \$2.4B to a \$200M Limit of Loss (LOL) per occurrence. To put this into perspective, if there was a catastrophic weather event that hit the Niagara Region which resulted in damages to multiple locations totalling \$400M, the most the insurer would pay is \$200M for that one occurrence. However, there is no aggregate limit for the year. Therefore, if there was a fire loss on a different occasion, there would still be up to \$200M LOL available for that loss as well and so on throughout the year.
- NRH was only provided with 70% insurance limit capacity, as Marsh could not locate any other insurer willing to insure Social Housing property for the remaining 30%. This means that if NRH were to experience a total loss of one of their buildings valued at \$10M, they would only receive 70% of the loss, being \$7M.

Some of the rationale provided by Marsh for the premium increases and coverage changes include:

- When the market was soft, competition drove down pricing to levels below the risk a municipality presented. Niagara Region's premiums over the last few years were below market standard.
- In 2020, the Insurers took a corrective pricing position, which combined with the hard market and the impact of recent world events such as the Pandemic, resulted in significant premium increases for the Region.
- The reduction of limits and communicable disease exclusion with respect to Health Operations is primarily due to the impact of COVID-19 and the lack of appetite for insurers to take on the additional risk.
- For clients with high valued property schedules and CAT exposed risk (in terms of catastrophic events, Niagara Region falls within a high-risk earthquake zone), Marsh is seeing insurers applying LOL, and rate increases in excess of 50%. It is expected that these increases will continue into 2021.
- The lack of insurers' appetite to apply capacity to large property schedules (provide coverage to the extent of full property value) resulted in a \$200M LOL per occurrence. Quotes were obtained to increase this limit to a minimum of \$500,000,000; however, were viewed by Marsh as cost prohibitive.
- It was also noted that Niagara Region is facing property rate increases and difficulty obtaining capacity due to the fact that many property insurers will not write social housing risks.

Given the current market and Niagara Region's conditions as noted above, as well as the need to secure insurance before end of business on October 30, 2020, Staff recommended and sought the approval of the Acting CAO to proceed with the renewal terms as presented at that time to bind coverage with Marsh.

Staff are undertaking a comprehensive review of the existing insurance program and associated risks in the context of the changing insurance market. Staff plan to reach out to other municipalities to review their experiences and will explore options for 2021. Staff aim to report findings and options back to Council by the end of April 2021 in order to seek Council direction on a longer term strategy, including competitive procurement options, given the current renewal is only for a 1 year term.

Alternatives Reviewed

Negotiations with the current Broker/Insurer were successful for a 1 year term to allow Staff to develop a longer term strategy and as such no alternatives were considered.

Relationship to Council Strategic Priorities

Niagara Region's insurance program placement for 2020-2021 (which includes NRH and NRP) is consistent with Council's strategic priority focus on Sustainable and Engaging Government – High Quality, Efficient and Coordinated Core Services and Fiscally Sustainable.

Other Pertinent Reports

- Confidential CSD 54-2020 dated September 17, 2020 – A Matter of Legal Advice that is Subject to Solicitor-Client Privilege – Insurance Program and RFP

Prepared by:

Donna Pasto

Risk Management Program Manager
Corporate Services

Recommended by:

Todd Harrison, CPA, CMA
Commissioner/Treasurer
Corporate Services

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

This report was prepared in consultation with Donna Gibbs, Director Legal & Court Services, and Adam Niece, Program Financial Specialist.

Minute Item No. 5.1

PDS 36-2020

Greater Niagara Circle Route Committee Refinements

That Report PDS 36-2020, dated December 9, 2020, respecting Greater Niagara Circle Route Committee Refinements, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That the reporting structure for the Greater Niagara Circle Route Committee **BE TRANSFERRED** from Planning and Economic Development Committee to Public Works Committee;
2. That this report **BE CIRCULATED** to Public Works Committee;
3. That the Greater Niagara Circle Route Committee **BE REQUESTED** to make the completion of the Circle Route in north St. Catharines (Port Weller) a priority in their 2021 work plan; and
4. That the Economic Development Division **PROCEED** to create tourism enhancement elements of the Greater Niagara Circle Route and provide a report to the Planning and Economic Development Committee in consultation with the Public Works Committee.

Minute Item No. 5.2

PDS 39-2020

Town of Lincoln Waterfront Investment Program Extension Request

That Report PDS 39-2020, dated December 9, 2020, respecting Town of Lincoln Waterfront Investment Program Extension Request, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That the Town of Lincoln's request for an extension of the Lincoln Museum and Cultural Centre project which was allocated funding through the Region's 2018 Waterfront Investment Program **BE APPROVED** by Regional Council; and
2. That a copy of this report **BE CIRCULATED** to the Town of Lincoln.

Minute Item No. 6.1

ED 17-2020

COVID-19 Response and Business Continuity in Economic Development

That Correspondence Item ED 17-2020, being a memorandum from V. Kuhns, Acting Director, Economic Development, dated December 9, 2020, respecting COVID-19 Response and Business Continuity in Economic Development, **BE RECEIVED** for information.

Minute Item No. 6.2

PDS-C 28-2020

COVID-19 Response and Business Continuity in Planning and Development Services

That Correspondence Item PDS-C 28-2020, being a memorandum from D. Giles, Acting Commissioner, Planning and Development Services, dated December 9, 2020, respecting COVID-19 Response and Business Continuity in Planning and Development, **BE RECEIVED** for information.

Minute Item No. 6.3

PDS 33-2020

Ecological Land Classification Mapping Project

That Report PDS 33-2020, dated December 9, 2020, respecting Ecological Land Classification Mapping Project, **BE RECEIVED** and **BE CIRCULATED** to the Area Municipalities, the Niagara Peninsula Conservation Authority (NPCA) and the Greenbelt Foundation.

Minute Item No. 6.4

PDS 35-2020

Niagara Official Plan – Consultation Update

That Report PDS 35-2020, dated December 9, 2020, respecting Niagara Official Plan – Consultation Update, **BE RECEIVED** and **BE CIRCULATED** to the Local Area Municipalities, and the Niagara Peninsula Conservation Authority (NPCA).

Minute Item No. 6.5

PDS 38-2020

Growth Management Survey Results

That Report PDS 38-2020, dated December 9, 2020, respecting Growth Management Survey Results, **BE RECEIVED** and **BE CIRCULATED** to the Local Municipal Planning Directors.

**THE REGIONAL MUNICIPALITY OF NIAGARA
PLANNING & ECONOMIC DEVELOPMENT COMMITTEE
MINUTES**

**PEDC 10-2020
Wednesday, December 9, 2020
Council Chamber / Video Conference
Niagara Region Headquarters, Campbell West
1815 Sir Isaac Brock Way, Thorold, ON**

Committee Members Huson (Committee Chair)
Present in the Council
Chamber:

Committee Members Bradley (Regional Chair), Butters, Bylsma, Campion, Darte
Present via Video (Committee Vice-Chair), Easton, Fertich, Foster, Greenwood,
Conference: Heit, Junkin, Redekop, Rigby, Sendzik, Ugulini, Zalepa

Absent/Regrets: Bellows, Witteveen

Staff Present in the D. Giles, Acting Commissioner, Planning and Development
Council Chamber: Services, L. Glynn, Technology Support Analyst, A.-M. Norio,
Regional Clerk, G. Spezza, Director, Economic Development

Staff Present via E. Acs, Manager, Community Planning, I. Banach, Acting
Video Conference: Director, Community & Long Range Planning, P. Busnello,
Manager, Development Planning, K. Costantini, Planning
Analyst, K. Desharnais, Strategic Marketing Manager, M. Evelyn,
Legislative Coordinator, T. Harrison, Treasurer/Commissioner,
Corporate Services, D. Heyworth, Official Plan Policy Consultant,
A. Korchok, Communications Consultant, V. Kuhns, Manager,
Strategic Initiatives, P. Lambert, Director, Infrastructure Planning
& Development Engineering, K. McCauley, Acting Manager, Long
Range Planning, S. Norman, Senior Planner, A. Tikky, Planner,
M. Trennum, Deputy Regional Clerk, R. Tripp, Acting Chief
Administrative Officer

1. CALL TO ORDER

Committee Chair Huson called the meeting to order at 1:00 p.m.

2. DISCLOSURES OF PECUNIARY INTEREST

There were no disclosures of pecuniary interest.

Committee Chair Huson introduced George Spezza, Director, Economic Development, and welcomed him to Niagara Region on behalf of the Planning and Economic Development Committee.

3. **PRESENTATIONS**

3.1 **Supporting and Enhancing Buy Local Campaigns in Niagara**

Katie Desharnais, Strategic Marketing Manager, provided a presentation respecting Supporting and Enhancing Buy Local Campaigns in Niagara. Topics of the presentation included:

- Three-tiered Approach
- Amplify, Support and Develop
- Next Steps

Councillor Information Request(s):

Provide information respecting taxation and Niagara Region's efforts to assist the local area municipalities with policies to support specific property owners, such as within the hospitality industry, with the economic recovery. Councillor Sendzik.

4. **DELEGATIONS**

There were no delegations.

5. **ITEMS FOR CONSIDERATION**

5.1 **PDS 36-2020**

Greater Niagara Circle Route Committee Refinements

Moved by Councillor Fertich

Seconded by Councillor Greenwood

That Report PDS 36-2020, dated December 9, 2020, respecting Greater Niagara Circle Route Committee Refinements, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That the reporting structure for the Greater Niagara Circle Route Committee **BE TRANSFERRED** from Planning and Economic Development Committee to Public Works Committee; and
2. That this report **BE CIRCULATED** to Public Works Committee.

The following friendly ***amendment*** was accepted by the Committee Chair, and the mover and seconder of the motion:

3. ***That the Greater Niagara Circle Route Committee BE REQUESTED to make the completion of the Circle Route in north St. Catharines (Port Weller) a priority in their 2021 work plan.***

Moved by Councillor Easton
Seconded by Councillor Redekop

That the motion **BE AMENDED** to include the following clause:

4. ***That the Economic Development Division PROCEED to create tourism enhancement elements of the Greater Niagara Circle Route and provide a report to the Planning and Economic Development Committee.***

The following friendly **amendment** to the amendment was accepted by the Committee Chair, and the mover and seconder of the motion:

4. That the Economic Development Division **PROCEED** to create tourism enhancement elements of the Greater Niagara Circle Route and provide a report to the Planning and Economic Development Committee ***in consultation with the Public Works Committee.***

The Committee Chair called the vote on the amendment to the motion and declared it,

Carried

The Committee Chair called the vote on the motion, as amended. Clauses 1 and 2 were considered separately as follows:

That Report PDS 36-2020, dated December 9, 2020, respecting Greater Niagara Circle Route Committee Refinements, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That the reporting structure for the Greater Niagara Circle Route Committee **BE TRANSFERRED** from Planning and Economic Development Committee to Public Works Committee; and
2. That this report **BE CIRCULATED** to Public Works Committee.

Carried

Clauses 3 and 4 of the motion were considered separately as follows:

3. That the Greater Niagara Circle Route Committee **BE REQUESTED** to make the completion of the Circle Route in north St. Catharines (Port Weller) a priority in their 2021 work plan; and
4. That the Economic Development Division **PROCEED** to create tourism enhancement elements of the Greater Niagara Circle Route and provide a report to the Planning and Economic Development Committee in consultation with the Public Works Committee.

Carried

5.2 PDS 39-2020

Town of Lincoln Waterfront Investment Program Extension Request

Moved by Councillor Foster

Seconded by Councillor Easton

That Report PDS 39-2020, dated December 9, 2020, respecting Town of Lincoln Waterfront Investment Program Extension Request, **BE RECEIVED** and the following recommendations **BE APPROVED**:

1. That the Town of Lincoln's request for an extension of the Lincoln Museum and Cultural Centre project which was allocated funding through the Region's 2018 Waterfront Investment Program **BE APPROVED** by Regional Council; and
2. That a copy of this report **BE CIRCULATED** to the Town of Lincoln.

Carried

5.3 ED 18 -2020

This item was removed from the agenda.

6. **CONSENT ITEMS FOR INFORMATION**

6.1 ED 17-2020

COVID-19 Response and Business Continuity in Economic Development

Moved by Councillor Ugolini

Seconded by Councillor Junkin

That Correspondence Item ED 17-2020, being a memorandum from V. Kuhns, Acting Director, Economic Development, dated December 9, 2020, respecting COVID-19 Response and Business Continuity in Economic Development, **BE RECEIVED** for information.

Carried

6.2 PDS-C 28-2020

COVID-19 Response and Business Continuity in Planning and Development Services

Moved by Councillor Heit
Seconded by Councillor Junkin

That Correspondence Item PDS-C 28-2020, being a memorandum from D. Giles, Acting Commissioner, Planning and Development Services, dated December 9, 2020, respecting COVID-19 Response and Business Continuity in Planning and Development, **BE RECEIVED** for information.

Carried

6.3 PDS 33-2020

Ecological Land Classification Mapping Project

Karen Costantini, Planning Analyst, provided information respecting Ecological Land Classification Mapping Project. Topics of the presentation included:

- Overview
- Ecological Land Classification Protocol & Mapping
- Field Verification Program
- Preliminary Data
- Future Use

Moved by Councillor Easton
Seconded by Councillor Zalepa

That Report PDS 33-2020, dated December 9, 2020, respecting Ecological Land Classification Mapping Project, **BE RECEIVED** and **BE CIRCULATED** to the Area Municipalities, the Niagara Peninsula Conservation Authority (NPCA) and the Greenbelt Foundation.

Carried

6.4 PDS 35-2020

Niagara Official Plan - Consultation Update

David Heyworth, Official Plan Policy Consultant, provided information respecting Niagara Official Plan - Consultation Update. Topics of the presentation included:

- Layers of Consultation
- Consultation Findings
- Virtual Public Information Centres
- Surveys
- Planning Advisory Committee
- Stakeholder Engagement
- Indigenous Consultation
- Decision Making Bodies
- Managing Growth - Challenge & Opportunity

Moved by Councillor Bylsma

Seconded by Councillor Rigby

That Report PDS 35-2020, dated December 9, 2020, respecting Niagara Official Plan – Consultation Update, **BE RECEIVED** and **BE CIRCULATED** to the Local Area Municipalities, and the Niagara Peninsula Conservation Authority (NPCA).

Carried

6.5 PDS 38-2020

Growth Management Survey Results

Alexandria Tikky, Planner, Long-Range Planning, provided information respecting Growth Management Survey Results. Topics of the presentation included:

- Growth Management Survey Background and Format
- Respondent Demographics
- Theme 1 - Balanced level of interest between topic areas
- Theme 2 - Public alignment with Region's key objectives and priorities
- Theme 3 - Opinions shift when asked about growth at a neighbourhood level
- Next Steps for the Growth Management Program

Moved by Councillor Rigby
Seconded by Councillor Fertich

That Report PDS 38-2020, dated December 9, 2020, respecting Growth Management Survey Results, **BE RECEIVED** and **BE CIRCULATED** to the Local Municipal Planning Directors.

Carried

Councillor Information Request(s):

Provide information respecting the number of respondents to the Growth Management Survey from each local area municipality. Councillor Redekop.

Provide information respecting collaboration with the local area municipalities to increase participation and public engagement. Councillor Redekop.

7. OTHER BUSINESS

7.1 Bill 229

Committee members discussed the impact of Bill 229, *Protect, Support and Recover from COVID-19 Act*, on the Niagara Peninsula Conservation Authority (NPCA) and the effects on the Region and its local area municipalities.

Councillor Information Request(s):

Provide a report respecting Bill 229 and the impacts on planning, approvals, and policy concerning protection of land. Councillor Redekop.

7.2 Queenston Quarry

Councillor Greenwood requested information respecting proposed development at the Queenston Quarry, Town of Niagara-on-the-Lake. Doug Giles, Acting Commissioner, Planning and Development Services, advised that no development plans have been submitted to Niagara Region.

7.3 Port Colborne Aquifer

Councillor Butters requested staff provide a report at the Planning and Economic Development Committee meeting being held on February 17, 2021 respecting changes to Niagara Region's planning documents in order to protect the Port Colborne Aquifer, as identified in Schedule B3 of the City of Port Colborne's Official Plan.

8. NEXT MEETING

The next meeting will be held on Wednesday, January 13, 2021, at 1:00 p.m.

9. ADJOURNMENT

There being no further business, the meeting adjourned at 4:03 p.m.

Councillor Huson
Committee Chair

Matthew Trennum
Deputy Regional Clerk

Ann-Marie Norio
Regional Clerk

SUPPORTING AND ENHANCING BUY LOCAL CAMPAIGNS IN NIAGARA

NIAGARA
ECONOMIC DEVELOPMENT



SUPPORTING AND ENHANCING BUY LOCAL CAMPAIGNS IN NIAGARA

Local Economic Development offices and municipalities have been working throughout the pandemic to champion their business communities.

Using a three-tiered approach, Niagara Region's Economic Development team will **amplify**, **support** and **compliment** these municipal "Buy local" campaigns during holiday season.

NED will also run a complimentary, Niagara-wide campaign to advocate for local business, and connect residents with existing buy-local initiatives in their community.



SUPPORTING AND ENHANCING BUY LOCAL CAMPAIGNS IN NIAGARA

AMPLIFY

the outreach of planned and existing 'Buy local' campaigns by municipalities

SUPPORT

those municipalities who do not have a fulsome 'Buy Local' campaign by creating customized, collaborative campaigns

DEVELOP

and run a Niagara-wide multi-channel awareness campaign on the benefits of buying local



SUPPORTING AND ENHANCING BUY LOCAL CAMPAIGNS IN NIAGARA

Next Steps:

- For a full list of 'Buy Local' Campaigns by municipality visit **NiagaraCanada.com**
- Regional Council toolkit distributed – look for opportunities to participate and share with your networks
- Progress update to be shared at January PEDC

Subject: Greater Niagara Circle Route Committee Refinements

Report to: Planning and Economic Development Committee

Report date: Wednesday, December 9, 2020

Recommendations

1. That the reporting structure for the Greater Niagara Circle Route Committee **BE TRANSFERRED** from Planning and Economic Development Committee to Public Works Committee.
2. That this report **BE CIRCULATED** to Public Works Committee.

Key Facts

- The purpose of this report is to provide Planning and Economic Development Committee an update on the Greater Niagara Circle Route Committee (GNCRC).
- The GNCRC was established in the early 1990s to advise Regional Council on the completion of the Greater Niagara Circle Route and to collaborate with appropriate agencies to complete the project.
- The original mandate of the GNCRC has been achieved. The trail is now in a position where it requires operational oversight.
- Planning staff and Public Works staff ask that the GNCRC be transitioned to an operational oversight role to support the work of the Active Transportation Sub-Committee (a Public Works Advisory Committee).

Financial Considerations

This report and its recommendations have no financial impact to the corporation.

Analysis

Greater Niagara Circle Route Committee (GNCRC)

The GNCRC was established in the early 1990s to advise Regional Council on the completion of the Greater Niagara Circle Route and to collaborate with appropriate

agencies to complete the project. At the time the GNCRC was struck, Planning and Public Works reported to Regional Council through the same standing committee. This standing committee structure ultimately evolved to each department reporting to Regional Council separately. During this evolution, the GNCRC remained with Planning Services, as the development of the trail was a land-use planning exercise in collaboration with the local municipalities.

The trail was substantially completed in 2007, with several side projects added in the intervening years. As the trail has achieved significant completion, the original mandate of the Committee has been accomplished. The GNCRC Terms of Reference (TOR) remain original to when the Committee was struck, and are no longer relevant.

The GNCRC did not meet between 2016 and 2019. However, the GNCRC has now been repopulated with municipally-appointed representatives. The group met on February 5, 2020, with a new focus of supporting the work of the Active Transportation Sub-Committee (a Public Works Advisory Committee) and aims to provide operational oversight for the trail system. At this first meeting, the Committee provided input on updating the GNCRC TOR.

Providing that the transfer of reporting to Public Works Committee is approved, Public Works staff will bring forward an updated GNCRC TOR for approval via the Transportation Steering Committee.

Alternatives Reviewed

Council could choose to not to accept this recommendation, however, due to shift in mandate, the GNCRC can be better supported by Public Works.

Relationship to Council Strategic Priorities

An updated TOR for the GNCRC and reassignment of reporting will strategically enforce a commitment to healthy and vibrant communities.

Other Pertinent Reports

None.

Prepared by:

Erik Acs, MCIP, RPP
Manager Community Planning
Planning and Development Services

Recommended by:

Doug Giles, BES, MUP
Acting Commissioner
Planning and Development Services

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

This report was prepared in consultation with Judy McPherson, Transportation Services Coordinator, and reviewed by Carolyn Ryall, Director of Transportation Services.

Subject: Town of Lincoln Waterfront Investment Program Extension Request

Report to: Planning and Economic Development Committee

Report date: Wednesday, December 9, 2020

Recommendations

1. That the Town of Lincoln's request for an extension of the Lincoln Museum and Cultural Centre project which was allocated funding through the Region's 2018 Waterfront Investment Program **BE APPROVED** by Regional Council; and
2. That a copy of this report **BE CIRCULATED** to the Town of Lincoln.

Key Facts

- The purpose of this report is to provide Council with information regarding a request by the Town of Lincoln for a second extension under the 2018 Waterfront Investment Program (WIP) for the Lincoln Museum and Cultural Centre.
- In 2018, the Town of Lincoln was allocated \$250,000 by Niagara Region through WIP. The project was scheduled to be completed by December 2019 with final WIP reporting due no later than February 15, 2020.
- Per program parameters, staff have delegated authority to provide one extension per project. Following Regional staff inquiry in June 2020, the Town indicated the project was not complete and requested an extension, which was approved by Regional staff with a new completion deadline of December 18, 2020 (Appendix 1).
- The Town has now requested a second extension for WIP final reporting on this project to May 31, 2021 (Appendix 2), which must be reviewed and direction provided by Regional Council. Details of the project and this request are outlined below.

Financial Considerations

A total of \$250,000 in funding for this project was allocated in 2018, to be disbursed on approval of final reporting following project completion. Approval of the Town of Lincoln's WIP 2018 project extension request would require a 2020 encumbrances of funding to support the 2021 disbursement. If required, this will be included in the 2020 Year End Results and Transfer Report.

Analysis

In 2018, the Town of Lincoln was allocated \$250,000 in funding under the WIP for the Lincoln Museum and Cultural Centre project. This project was originally slated to be complete in December 2019, with final reporting due to the Region no later than February 15, 2020.

Regional staff contacted the Town in June 2020 requesting an update on the project, and the Town requested at that time an extension through December 18, 2020. The explanation provided was that it took longer to secure additional funding for the project, resulting in a delayed start and construction schedule. However the Town noted that despite pandemic-related shutdowns, it believed the project would be complete by December 2020. Under WIP parameters, Regional staff have delegated authority to approve one extension per project, which was immediately provided (Appendix 1).

In November 2020, the Town requested a second extension for the project based on information received from its general contractor. The rationale for this request, outlined in Appendix 2, includes supply chain issues delaying the delivery of key components and thus projected work and timelines, and limits regarding number of workers onsite due to covid-19 restrictions. The Town currently estimates that 77% of the project is complete, with 15% more expected to be completed by end of year. Total project completion is now estimated to be Q1-2 2021, with most of the remaining work anticipated to relate to trades and services as opposed to large, supply chain-related components. Given the nature of the remaining work and the impossibility of predicting potential pandemic-related policies which may affect it, the Town is asking for a new WIP final reporting extension date for this project of May 31, 2021.

Alternatives Reviewed

Given the unforeseen effects of the pandemic on this project, the amount of work accomplished to date, and the clear and realistic workplan in place to complete it, it is recommended Council approve this request by the Town of Lincoln for a project extension and related WIP reporting requirements.

The alternative, which is not to approve, is not recommended.

Relationship to Council Strategic Priorities

Capital projects funded under WIP such as the Town of Lincoln Museum and Cultural Centre align with Council Strategic Priority (1) Supporting Businesses and Economic Growth.

Other Pertinent Reports

PDS 16-2018 Waterfront Investment Program 2018 Funding Recommendations

Prepared by:

Marian Bannerman, PhD
Program Manager Grants & Incentives
Planning and Development Services

Recommended by:

Doug Giles, BES, MUP
Acting Commissioner
Planning and Development Services

Submitted by:

Ron Tripp, P. Eng
Acting Chief Administrative Officer

APPENDICES

Appendix 1 Letter to Director of Community Services, Town of Lincoln, June 17, 2020

Appendix 2 Letter from Director of Community Services Town of Lincoln, November
11, 2020



Planning and Development Services
1815 Sir Isaac Brock Way, Thorold, ON L2V 4T73
905-980-6000 Toll-free: 1-800-263-7215

June 17, 2020

Shannon McKay
Director of Community Services
Town of Lincoln
4800 South Service Road
Beamsville, Ontario
L0R 1B1

Dear Shannon,

Thank you for your recent email requesting an extension to complete the Lincoln Museum and Cultural Centre project funded in part through the 2018 Waterfront Investment Program (WIP).

As you may know, the WIP provides for one extension per project which may be approved by Regional staff. We have reviewed your request and the rationale and timelines provided, and are agreeable to granting an extension for a final reporting date for this project of December 18, 2020 with the understanding that the project will be completed and all report forms and supporting documents will be submitted by that date. Regional funding will be provided upon approval of this final reporting. As per the project agreement, failure to comply with this extension means that Regional Council may review the project and revisit the terms of its funding.

We look forward to hearing more about the project as it finishes and receiving your final reporting in December.

Respectfully,

A handwritten signature in dark ink, appearing to read "Marian Bannerman".

Marian Bannerman
Program Manager, Grants and Incentives

Cc: Sarah Ane, Associate Director, Recreation and Culture, Town of Lincoln



November 11, 2020

Ms. Marian Bannerman
Program Manager, Grants and Incentives
Planning and Development Services
Niagara Region
1815 Sir Isaac Brock Way
Thorold, ON L2V 4T7

Dear Marian,

Further to the Town of Lincoln's extended final reporting date of December 18, 2020 for the Lincoln Museum and Cultural Centre project funded in part through the 2018 Waterfront Investment Program (WIP), this letter provides an update on the status of this capital project. Outlined below are the very recent details regarding further unforeseen delays and a formal request to have the Town of Lincoln's the final reporting date extended to May 31, 2021.

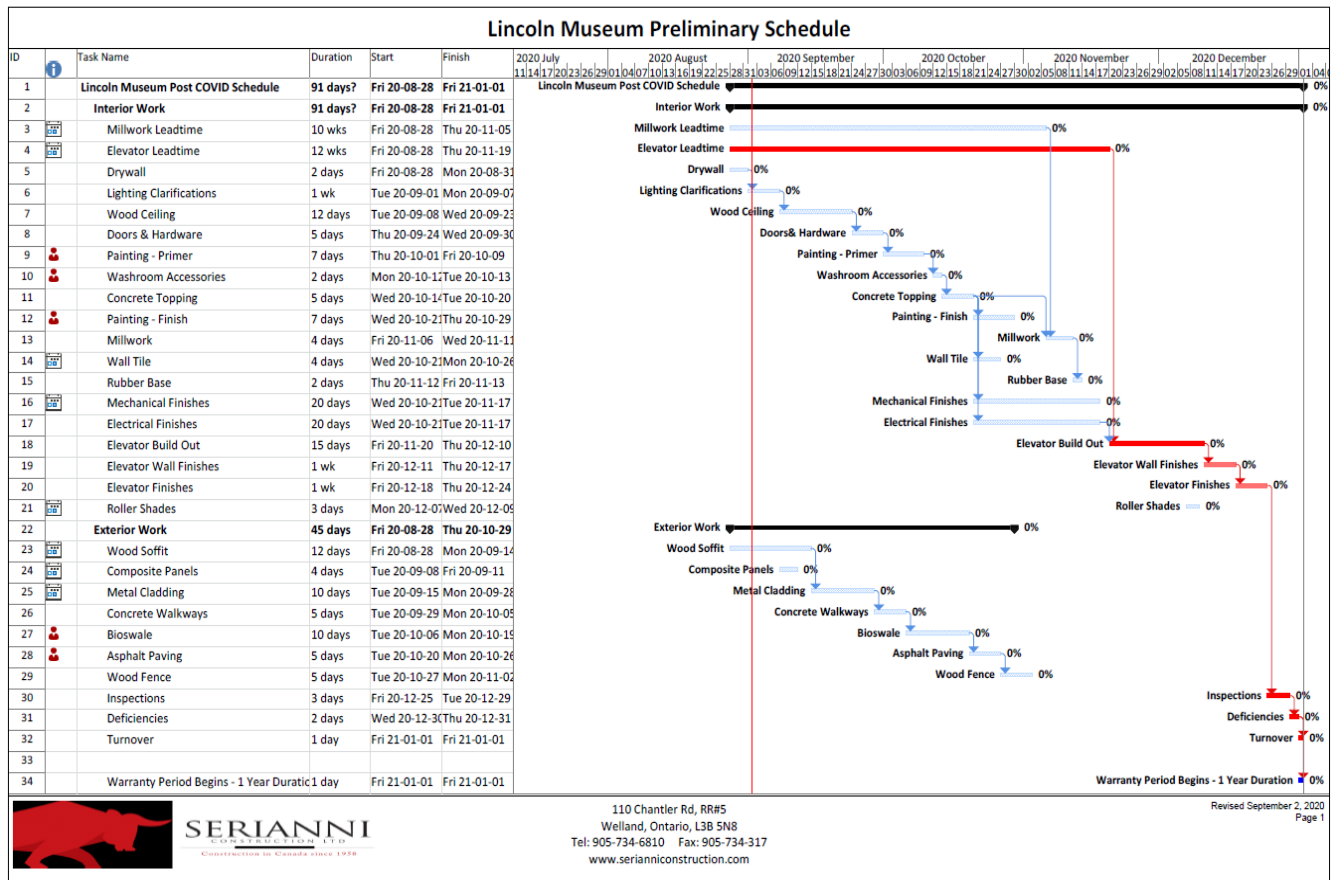
Resulting from the COVID-19 pandemic, and despite ongoing assurances from our prime consultant and general contractor throughout this summer that substantial completion would be realized well before the end of 2020, we have experienced work setbacks that have now negatively impacted the project schedule. Late yesterday, the Town received notice from its General Contractor (GC), Serianni Construction Limited, that following the successful completion of the final 'readiness check' by its industrial control systems integration firm, the new museum elevator has only now officially been put into production and requires a 12 week manufacturing lead-time. With an anticipated holiday shutdown in December, this could conceivably result in a mid to end of February delivery and install date.

Further background on this most recent and very impactful delay is rooted in a critical electrical component delay which occurred earlier this summer. The switchgear (main power system), a vital component for this project and scheduled to be delivered in June, was in mid-summer revised to be onsite by the end of August. As this date approached and passed the GC informed the Town that this component had been delayed as a result of global supply chain challenges resulting from many manufacturers not being able to scale to full capacity following the pandemic shutdowns and an ongoing shortage of raw materials. It was discovered that this critical component was being manufactured in Mexico and the United States and that despite missed targets for delivery, its arrival was still expected at any time.

Ultimately, the switchgear arrived onsite on October 13, 2020 and was installed and inspected by October 26th. The main power to the building was immediately scheduled to follow and was finally connected by NPEI on November 2, 2020. Unfortunately, Town staff only learned last week of the related chain of events resulting from the delayed switchgear arrival and subsequent main power connection by NPEI. Installation of the new elevator was planned to commence before the end of this month, per the GC's schedule below and estimated to take approximately six weeks.

Subsequently, with the recent rise in COVID cases over the past several weeks, the GC has also taken extra precautions to both carefully coordinate and limit the number of workers /different trades permitted on the jobsite thus also impacting the previous mid-fall project end schedule and the final reporting date in December.

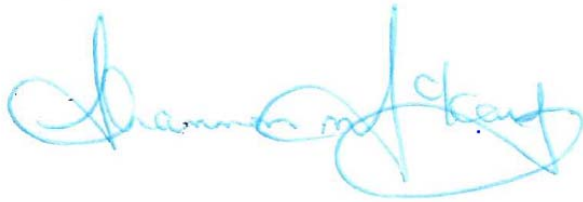
At present, the Team has confirmed that the project is 77% complete with upwards of an additional 15% of remaining project work expected to be completed before the December break/holidays. Below, the current project schedule as provided to the Town by the GC will shortly be updated to reflect the 12 plus week elevator production lead time . However, given the unforeseen delays in recent weeks, it is safe to assume that additional delays could be experienced and ultimately push this major construction project completion into the middle of Q2 2021.



Recent project progress pictures are included below for review.

Marian, please do not hesitate to advise if you have any follow-on questions or concerns about the Town of Lincoln's request and or the current status of the Lincoln Museum and Cultural Centre development project.

Sincerely,

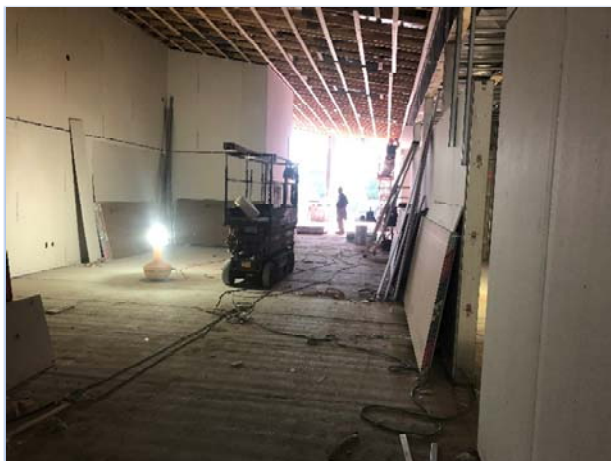


Shannon McKay, B.A., PMP
Director, Community Services, Town of Lincoln

Cc: Michael Kirkopoulos, Chief Administrative Officer, Town of Lincoln
Mayor Sandra Easton, Town of Lincoln
Regional Councillor Robert Foster, Niagara Region

Project Progress Photos

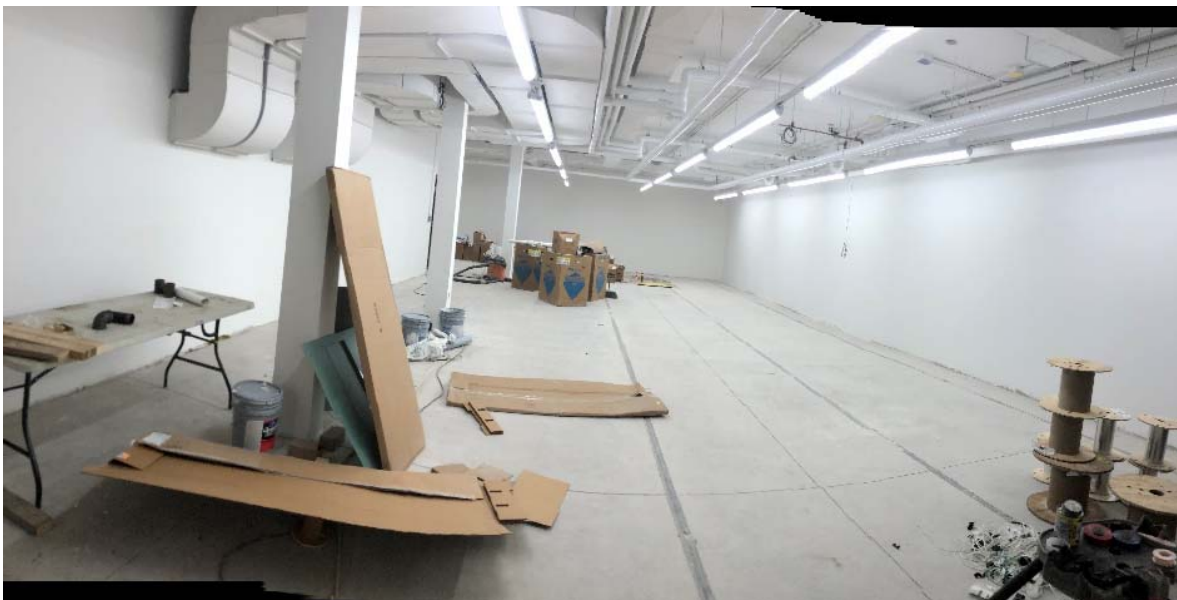
August 2020



September 2020



October 2020





MEMORANDUM

ED 17-2020

Subject: COVID-19 Response and Business Continuity in Economic Development

Date: December 9, 2020

To: Planning and Economic Development Committee

From: Valerie Kuhns, Acting Director, Economic Development

Economic Development

Current Status of Operations

This memo is the Economic Development Division's monthly update on our response to COVID-19 and business continuity. As previously reported, Economic Development's work is focused on leading planning for business recovery, through the Economic Rapid Response Team (ERRT) and the implementation of the Economic Recovery Plan. Actions in the Economic Recovery Plan are aimed at supporting our local businesses and are carried out in collaboration with the local Economic Development offices.

Regional Economic Development actively participates in the REOC and is collaborating with the Internal Organizational Recovery table as well as the Community Recovery Planning table to ensure that there is coordination and communication between the three recovery planning groups. We are providing input into the discussion about the economic indicators that will be used to monitor recovery.

Service/Operational Changes

We continue to monitor how best to respond to COVID-19 and maintain our business continuity throughout this time. There have been no operational changes in the last month, other than a realization that the team will be working from home in the longer term.

Significant Initiatives or Actions Taken

Campaign to support local business

At the time of writing this report, Economic Development is responding to the motion brought to Regional Council on November 18th and working with Communications to develop a campaign to support buying local. Feedback from the local Economic Development offices has been that we should compliment the existing buy local campaigns that are already running in their communities. A plan is being developed to support and amplify those campaigns. We are also working with the Chair's office and government relations staff on the advocacy ask in the motion.

Support to Businesses

An investment has been made in the expansion of the Small Business Enterprise Centres (SBECs) in St. Catharines and Niagara Falls to broaden their services across the entire region. They work directly with businesses to provide them with advisory services and information to assist in their recovery and help build resilience. Marketing support has also been provided to the SBECs in developing and managing the tools to host webinars including the Zoom webinar platform, Eventbrite for ticketing and the development of a calendar of events on the [Niagara Canada website](#)

The Niagara Canada website has received an overhaul on the [COVID-19 business support page](#) to capture all recovery information and sites. Sections include: COVID News; Recovery Support; Provincial and local resources; Resilient Niagara Stories; Financial support and Niagara PPE Provider directory. Website page views were 22,861 during the last 30 days, which is an increase of 2,790 over the same time last year. There were 256 returning visitors to the website and 3,971 visits in the last 30 days, up by 23.21% on last year.

Business Updates

The biweekly ERRT calls to our EDO colleagues, BIAs, Chambers and industry associations are being used as a communications channel, working with Public Health, to get information out to the business community. Most recently to solicit feedback on the Section 22 order and provide support to businesses by sourcing and sharing Section 22 information through telephone, email and website inquiries.

Open In Niagara Tool

Work is ongoing to transition the 'Open in Niagara' website to a permanent business directory to support buy local and domestic supply chain opportunities. This will include incorporating GIS information. In Phase one our existing database of 10,000+ businesses will be incorporated and it will be made easier to navigate. In Phase two a user experience will be built as well as a self-serve portal.

Resilient Company Profiles

We are developing profiles of 10+ Niagara companies that have successfully pivoted in these challenging times. To date almost all of the municipalities are represented with businesses from a range of sectors from manufacturing to agriculture to hospitality. These profiles will be featured on our website and will be shared by the EDOs.

Funding to Support Businesses

An application has been made by Niagara Region, on behalf of the ERRT and in partnership with Venture Niagara, to the Tourism Adaption and Recovery Fund. This fund is administered by Fed Dev Ontario. If approved, the fund would provide grants to tourism-dependent businesses to help them with the costs to adapt and stay in business during the shoulder and off season 2020/2021. At the time of writing this report we are waiting to hear if our application has been successful. In the meantime, the processes and documents are being developed to roll the funding out to businesses immediately. All of this is done in collaboration with our EDO colleagues.

Marketing support is being provided to Venture Niagara to promote the next round of RRRF (Regional Relief and Recovery Fund) which provides interest free loans to businesses.

Business and Economic Research and Analysis

As data becomes available for recent months, we are able to provide research and analysis updates to assist businesses and organizations in planning during these uncertain times. These reports include an Economic Update and the Impact of COVID-19 on investment and development in Niagara. These reports have also been provided, with presentations, to PEDC.

An investment is being made by Economic Development to purchase Equifax data which will provide an indication of the most financially vulnerable industry sectors, as a result of COVID-19. Once analysed, a report will be developed and will be shared with the EDOs and stakeholders.

Trade and Investment

FDi meetings are ongoing virtually, focused on the U.S. market and the U.K., working with a lead generation consultant who provides pre-qualified leads. In the U.S. 19 meetings have been completed to date, with follow up. There are 3 more meetings scheduled, with a target of 60 in 2020. The work was stalled due to COVID-19 in the spring so this campaign will run into 2021. In the U.K. 3 meetings have been completed with 6 more scheduled and a target of 15 meetings before the end of 2020.

Working with the Hamilton Niagara Partnership 15 meetings are anticipated to be held virtually in Florida. It is anticipated that this contract will be completed by the end of 2020. It was delayed for one month by the U.S. election.

The Foreign Trade Zone coordinator works to support the local export community. A webinar was developed to help businesses attend trade shows virtually. 'Building Meaningful Connections over Virtual Platforms' was held on November 5th, 65 people registered and 41 attended. The content of the webinar was directed at helping Niagara's trade community adapt to the travel restrictions and challenges due to the continued spread of COVID-19, with a specific focus on providing tools to help our trade community conduct business online and create sales through virtual platforms. This was very timely as two days before the webinar the Federal government announced a new investment into the CanExport Grant. This program offers SMEs up to \$75,000 in funding for specific types of expenses to explore new opportunities to sell their products and services outside of Canada.

Working with the region's EDO offices and our local trade commissioner, help is being provided to Niagara's PPE suppliers to join Global Affairs - Trade Commissioner Service: [Canadian COVID-19 Capabilities Directory](#). The Canadian COVID-19 Capabilities Directory shows what Canada has to offer in the fight against COVID-19 to potential buyers around the world. Two local businesses are currently preparing applications.

Operational Outlook

1 month

- Support municipal 'Buy Local' campaigns.
- Continue to provide information through website and social media to businesses.
- Resilient company profiles on website and promoted through ERRT.
- Funding from Tourism Adaption and Recovery Fund promoted and grants distributed to businesses (dependant on approval by Fed Dev Ontario).

3 months

- Implementation of Economic Recovery Plan completed.
- 'Open in Niagara' website expanded into a permanent regional business directory.
- Review work practices depending on Niagara Region recommendations and Public Health advice.

6 months

- Longer term strategic economic development planning started (depending on COVID-19).
- Continue to monitor economic indicators to better understand the impact of COVID-19 on the local economy compared to previous years and determine where resources could best be utilized to maximize ongoing economic development programming.
- Review work practices depending on Niagara Region recommendations and Public Health advice.

Respectfully submitted and signed by

Valerie Kuhns
Acting Director, Economic Development

MEMORANDUM

PDS-C 28-2020

Subject: COVID-19 Response and Business Continuity in Planning and Development Services

Date: December 9, 2020

To: Planning and Economic Development Committee

From: Doug Giles, Acting Commissioner, Planning and Development Services

Community and Long Range Planning

Current Status of Operations

In January, a presentation and report will be brought forward to Planning and Economic Development Committee (PEDC) on the Climate Change Work Program. This will include an overview and update to the work program and directions with respect to climate modeling and projections in Niagara.

Last summer, the Region's Employment Work Program was delayed at PEDC's direction to allow work by the City of St. Catharines to be advanced. That has now occurred, and the Region will be reporting to PEDC on employment, along with other matters, in early 2021.

Also in the New Year, staff are anticipating receipt of key inputs from its consultants on land needs and affordability. This will allow staff to advance our work on these subjects, for presentation to local municipal staff, local and Regional Councils, key stakeholders and the public.

Official Plan policy development is continuing. Our intention is to provide Council with a comprehensive report in spring 2021. This will be a lengthy report that set out how all components are interrelated. It may include policies on subjects that are sufficiently advanced, such as aggregates, regional structure, employment (as noted above), housing, and secondary planning. This report will also provide information relating to environmental options.

The above-described Spring Report will be comprehensive and detailed. In January, we will provide a detailed report outline of what is forthcoming in that Spring Report.

Development Planning & Approval Services

Current Status of Operations

The following temporary, short term adjustments have been made to Development Planning & Approval Services as of November 5, 2020:

- Pat Busnello – Acting Director Development Approvals
- Lola Emberson – Acting Manager Development Planning

Development Planning & Approval Services continues to adapt to ensure the delivery of core development review functions including: review and comment on all development applications from a Provincial and Regional perspective, coordinating and analyzing internal review/comments from Urban Design, Environmental Planning and Development Engineering for a “one-window” Regional response.

The following development volumes were received by the department during October:

- Planning Applications (includes zoning, subdivision, site plan etc.) - **28**
- Engineering Applications (includes servicing reviews, site plan, etc.) - **14**
- Private Septic Applications - **43**
- Pre-consultations – **45**

The total volume of formal applications (**85** - excludes pre-consultations) represents a marginal decrease of **five** applications or approximately **6%** compared to October 2019 (**90** applications). October 2020 volumes also experienced a minor decline from September 2020 volumes of **101** applications (16 fewer or approx. 16%). Minor fluctuations in application volumes from month to month is anticipated, and this current routine fluctuation is not indicative of an economic downturn or other event such as the lockdown during the early stages of the pandemic where significant declines occurred (e.g. March decline in planning applications received was approx. 37%).

The new Regional Woodland Conservation By-law was approved by Regional Council in October and will come into effect on January 31st, 2021. Responsibility for enforcing the by-law, as well as the position of Regional Forester, will be transferred back to the Region from the Niagara Peninsula Conservation Authority (NPCA). The NPCA has

been notified of the termination of the service level agreement relating to the bylaw and recruitment for the Regional Forester has been initiated.

Infrastructure Planning & Development Engineering

Current Status of Operations

Development Engineering

We are continuing to respond to development applications with engineering comments, legal agreements for road works, and processing Environmental Compliance Approvals (ECA) under the Transfer of Review program for new sanitary and storm sewers. Additionally, we are continuing with Stormwater Management (SWM) review, Transportation review/meetings, and Water & Wastewater (W&WW) review/meetings as it relates to development applications and inquiries. We are working on the SWM Guidelines Project with Wood Consulting Engineers and assessing schedule/deliverables to adapt to current situation. We are participating in the MECP sessions on the proposed changes to the Consolidated Linear Infrastructure ECA Process for the entire sanitary or stormwater management system. Once fully implemented this will result in changes and new processes for all local municipalities and the Region for the two-tiered sanitary (wastewater) system and stormwater management system in Niagara.

Infrastructure Planning

We are reviewing the proposals received for the 2021 W&WW Master Servicing Plan (MSP) Update project in consultation with W&WW team. This is an important project for the Region and all local municipalities with urban water and sanitary sewer services. It will require significant effort, analysis, and consultation with the majority of work to be completed by end of 2021. The resulting growth capital water and wastewater projects are an essential input for the Development Charges Background Study and By-law update.

Collectively, there are ongoing corporate wide-efforts to coordinate long range planning/growth with infrastructure planning projects (2021 W&WW MSP update) and the upcoming Development Charges Background Study & By-law update.

Development Industry Liaison

We are continuing with the review of the potential build out scenarios for the urban areas in collaboration with planning group. This is necessary for the 2021 W&WW MSP update to evaluate servicing implications and supporting infrastructure. We are leading the development application process for the Linhaven and Gilmore Long Term Care (LTC) Redevelopment Projects and coordinating with St. Catharines, MTO, and other review agencies to ensure that site plan application can be approved and the timelines associated with this project remain on track (Government funding is tied to this as well). Participating with development industry meetings (NHBA) to understand impacts and restrictions from COVID to residential development industry and housing stock.

Private Sewage/Septic Systems Program

The Private Sewage System group (responsible for Part 8 of the Ontario Building Code) is continuing to receive and respond to septic permit applications, inspections, development applications, special requests and complaints.

Respectfully submitted and signed by

Doug Giles, BES, MUP
Acting Commissioner
Planning and Development Services

Ecological Land Classification Mapping Project

Planning and Economic Development Committee
PDS 33-2020

December 9th, 2020

Karen Costantini – Planning Analyst



making our mark

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PDS 33-2020

Ecological Land Classification Mapping Project

**December 9, 2020 – Presentation to Planning and
Economic Development Committee**



Overview

- New Niagara Official Plan
 - Mapping of the natural systems for the new Plan will require several sources of data to be compiled; a detailed methodology; and technical criteria for features to be established
 - The Ecological Land Classification (ELC) mapping project is an update to natural area mapping for the Region and is **one** data source that will contribute to the mapping of the natural systems
 - The exact application and criteria that will be applied to the ELC data is dependent on the natural systems options frameworks that have yet to be selected through the Natural Environment Work Program



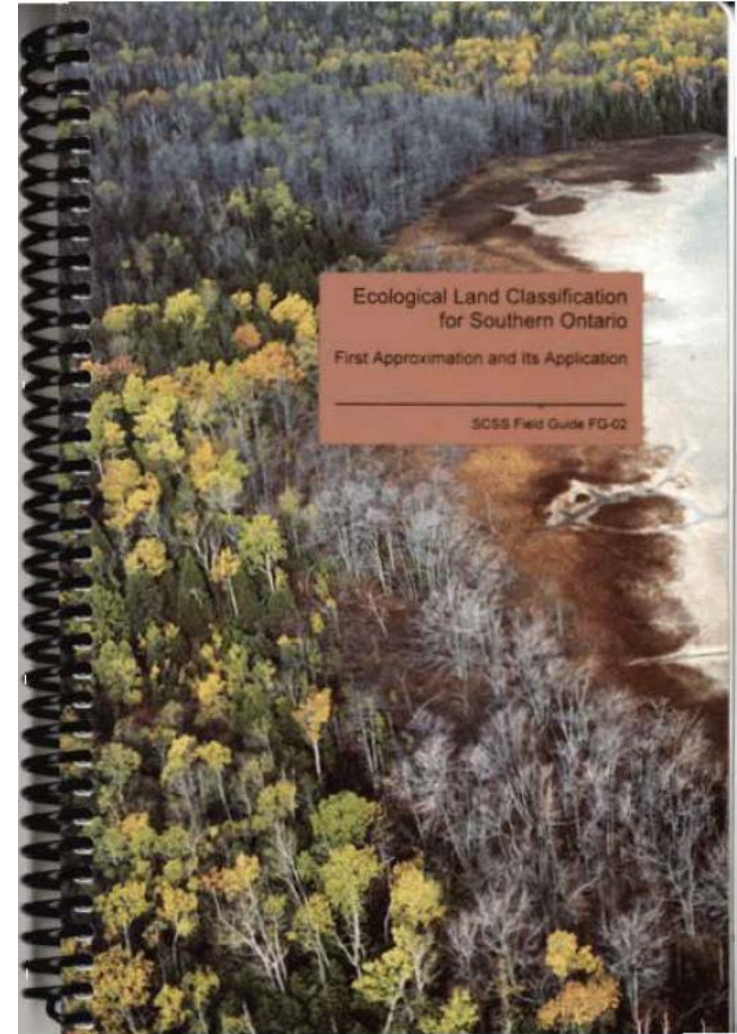
Overview

- Ecological Land Classification for Southern Ontario (MNRFF)
 - Provides a comprehensive and consistent approach to describing, inventorying, and analyzing vegetation communities
- Project Framework
 - Natural Areas Inventory Project (NPCA, 2006 – 2009)
 - Completion of Community Series (ELC) mapping for watershed jurisdiction
 - Update to the NAI data, in collaboration with the NPCA
- Greenbelt Foundation
 - Partial project funding through the Resilient Greenbelt funding stream



Ecological Land Classification Protocol

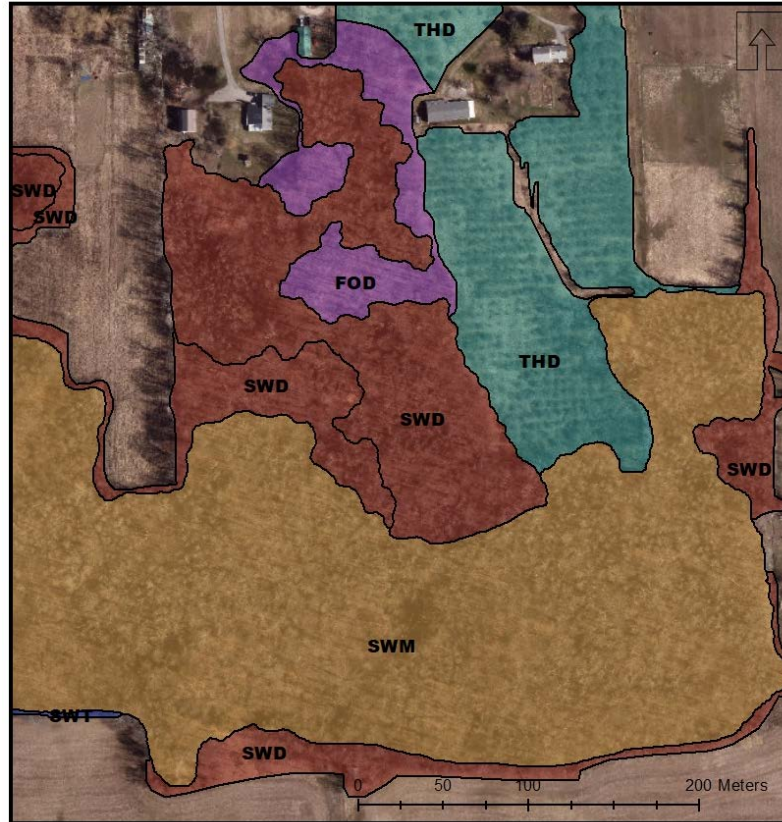
- Comprehensive and consistent province-wide framework for ecosystem description, inventory and interpretation
- Classifies areas into distinct landscape units
- Designed for use at varying scales (hierarchical framework)
- Completed by a certified ecologist or other practitioner



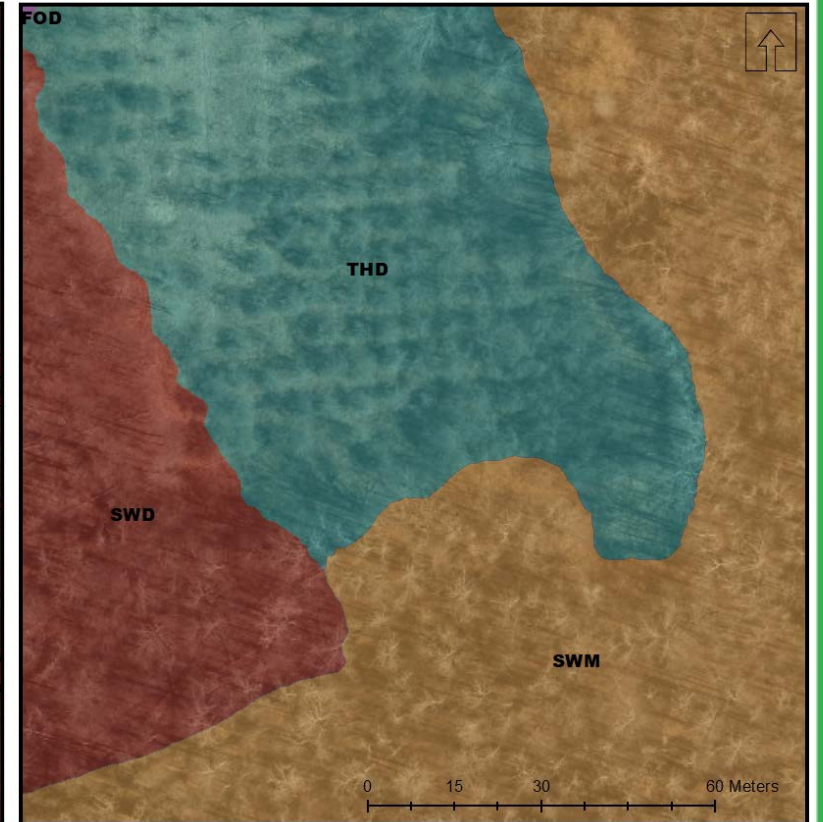
ELC Mapping



Aerial Imagery



Community Series Map



1:1,000 Scale

Field Verification Program

- 12 municipalities (August 24th to September 21st, 2020)
 - Urban and Rural areas – 1233 polygons verified
- Frameworks:
 - Collaborative with Regional, Local and NPCA Staff
 - Consultant only



Preliminary Data

- 27,166 polygons in dataset
- 50,987 ha of natural communities (27.1% of Region's land area)
- 18 community classes
- 54 community series

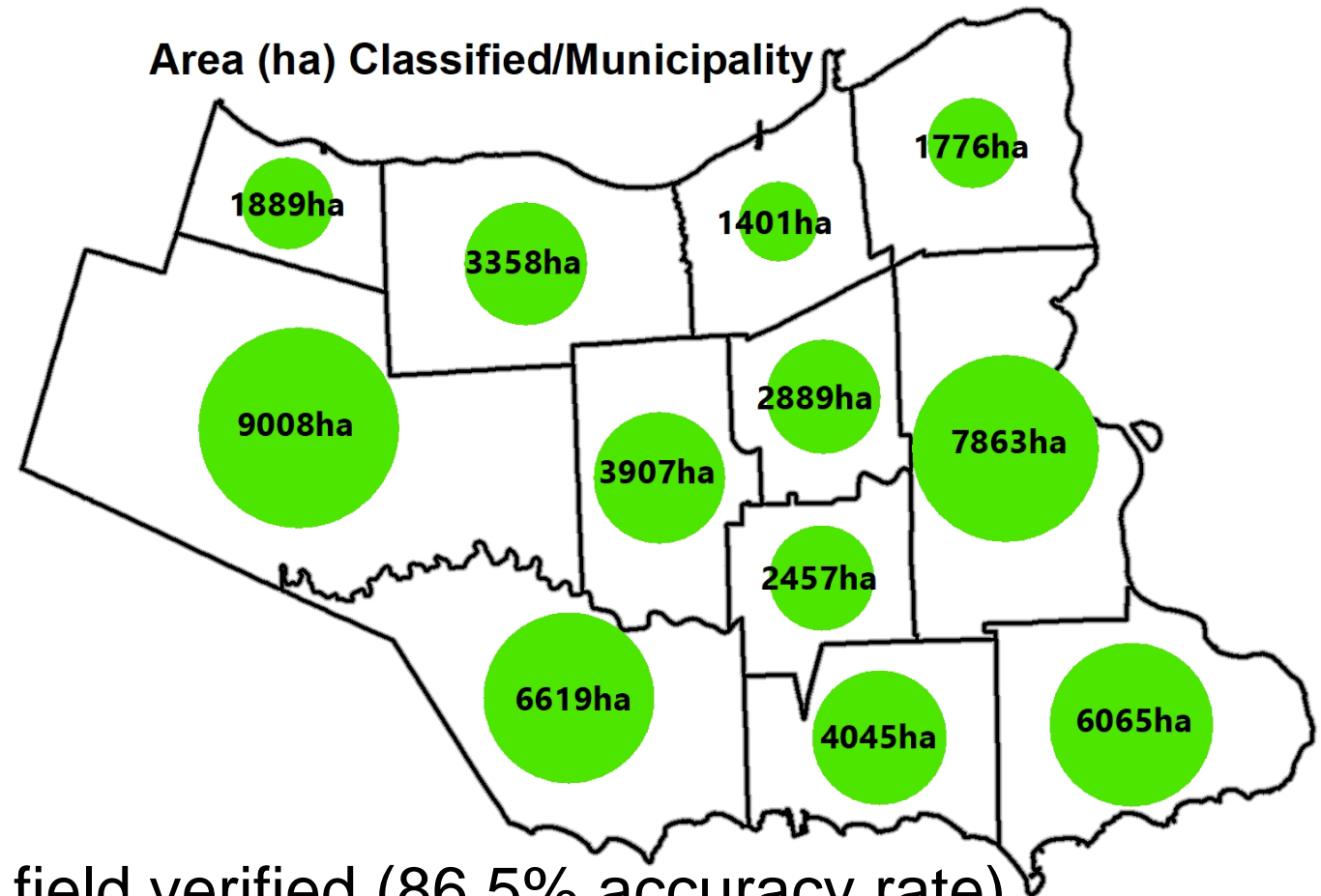
Community Class	Percent of Inventoried Area	Total Communities Identified
Agricultural	1.26%	609
Bluff	0.07%	28
Bog	0.90%	3
Cliff	0.09%	14
Forest	21.27%	5496
Hedgerow	1.68%	1625
Marsh	5.79%	3328
Meadow	8.09%	3052
Open Water	0.52%	75
Rock Barren	0.04%	20
Sand Barren and Dune	0.01%	4
Savanna	0.32%	92
Shallow Water	0.44%	115
Shoreline	0.37%	94
Swamp	49.46%	7788
Talus	0.04%	17
Thicket	6.70%	2973
Woodland	2.72%	1725



Preliminary Data

- 18.8% (35,515 ha) of the Region is 'wooded' communities
- 15.6% (29,213 ha) of the Region is wetland cover

There is overlap between the composition of each of the above



- 1233 polygons successfully field verified (86.5% accuracy rate)
 - 47 distinct community series, varying from 1 to 115 polygons of each community series



Future Use

- Mapping for the new Niagara Official Plan
 - Natural Heritage System
 - Water Resource System
- Environmental planning review
 - Development review
 - Stormwater management
 - Regional Forester
- NPCA
 - Restoration program
 - Land acquisition strategy
 - Watershed report card (2022)



Subject: Ecological Land Classification Mapping Project

Report to: Planning and Economic Development Committee

Report date: Wednesday, December 9, 2020

Recommendations

1. That Report PDS 33-2020 **BE RECEIVED** for information; and
2. That Report PDS 33-2020 **BE CIRCULATED** to the Area Municipalities, the Niagara Peninsula Conservation Authority (NPCA) and the Greenbelt Foundation.

Key Facts

- This purpose of this report is to inform Council of the process, and completion of, the Region-wide Ecological Land Classification (ELC) mapping project.
- This project was undertaken in collaboration with the Niagara Peninsula Conservation Authority (NPCA) and with funding from the Greenbelt Foundation through the *Resilient Greenbelt* funding stream.
- ELC is a provincially-accepted approach for mapping natural features. In addition, this project included a field verification exercise which involved participation from Local and Regional planning staff and staff from the NPCA.
- The ELC mapping exercise was undertaken primarily to support the environment work program for the new Niagara Official Plan. However, the data will also have supplementary uses by the Region's environmental planning team and the NPCA.
- The ELC mapping is not the natural heritage system for the Region. ELC is a data source that will form the basis for several of the features included in the natural heritage system.

Financial Considerations

The costs associated with the ecological land classification mapping project were accommodated within the Council approved project budget for the Niagara Official Plan, with additional funding from the Greenbelt Foundation under the *Resilient Greenbelt* funding stream.

Analysis

As part of the new Niagara Official Plan, maps and schedules are being updated for all sections of the Plan. These mapping updates require inputs from numerous data sources.

In Niagara, there are several sources of natural heritage mapping, including Provincial, NPCA as well as Regional datasets. Each serving a different purpose and each with a different level of accuracy. Updates to several of these individual datasets are required to move forward with the mapping of the natural heritage and water resource systems.

Accurate inventory and assessment of natural areas and features is critical to environmental planning and processes. PDS 32-2019 (November 6, 2019) recommended that an ELC mapping dataset was the preferred option for identifying natural areas and information across the Niagara Region, as this method has a range of benefits associated with natural environment planning.

Beginning in 2006, the NPCA initiated the “Natural Areas Inventory” (NAI) project, in coordination with the Region, local naturalist clubs, and area municipalities. A major element of the project was the completion of comprehensive ELC ‘community series’ level mapping of natural areas. Updates to this data set continued through 2012, however, the bulk of the mapped data was derived from 2006 aerial imagery analysis. Natural environments are dynamic and constantly changing; as a result, significant changes to the landscape including development and succession since 2006 are not reflected in the dataset.

An update to the NAI data using high-resolution aerial imagery formed the approach for this project. A consultant was retained in spring of 2020, and the project has recently been completed. The NPCA has collaborated and provided technical feedback on this project, and Regional staff intend to provide a copy of the final data to the NPCA for their use.

Ecological Land Classification Approach

The ELC system is an industry-accepted methodology, which provides a comprehensive and consistent approach to describing, inventorying, and analyzing vegetation communities. ELC mapping is required to be completed by a certified ecologist or other practitioner.

ELC mapping can be undertaken at several different scales. For this exercise, the community series level was determined to be appropriate for the mapping update. This level of ELC is the most detailed level of characterization that can be produced from aerial imagery interpretation without the requirement of site visits at each location.

Simplified, the community series interpretative process involves creating a polygon-based spatial dataset, then analyzing and imbedding the polygons with classification codes representative of the feature. Coding for the community series is assigned through analysis of substrates, topographic features, history, cover values, and plant form and classified as one of 62 distinct community series types.

Field Verification Program

Community series level ELC does not require in-field site analysis. However, this project endeavoured to go beyond the minimum requirement and include a field verification component to foster an education of the ELC methodology and ensure a higher degree of confidence in the data amongst our local and agency partners.

A field verification exercise was completed between August 24 and September 21, 2020, within each municipality, and included verification of features inside and outside of urban boundaries. Each community was observed for characteristics including species present, wetland tolerance of species present, canopy cover, presence of standing water, presence of coniferous trees and evidence of disturbance or succession. The verification program was carried out under 2 frameworks:

1. Multi-Agency Collaborative Field Exercise

12 field sessions were held in a collaborative group setting which engaged Regional, NPCA and local staff from the 12 municipalities. These sessions generated participation from local planning staff in 11 of the 12 sessions, NPCA staff at 11 of the 12 sessions, and multiple Regional staff and ELC certified consultant team members. Overall, 25 different individuals participated in 1 or more of these sessions.

Local planning staff were invited ahead of time to identify any naturalized areas in their municipality for field review. Additional sites were selected with consideration for ease of access, parking safely, and allowing space for socially distant discussion with a group of 5 to 8. Municipal site visits included a variety of community types to provide a varying overview of the possible natural features present across the landscapes.

2. Consultant Field Exercise

The project consultant completed several additional field exercises. Field verification sites were selected from a randomized subset of the data with consideration of site accessibility and from polygons within 25m of a road with a low interpretation rating, meaning, those polygons in the spatial dataset that had been tagged as having lesser confidence in the community series code assignment from aerial photo interpretation.

Results

More than 27,000 polygons were derived or updated, across the Niagara Region through the mapping exercise. Fifty-four different community series classifications were identified covering a total of 51,618ha of land. The majority composition of the naturalized areas were; Swamp (49.46%), Forest (21.27%), Meadow (8.09%), Thicket (6.7%), Marsh (5.79%) and Woodlands (2.72%). Composition of natural areas, and the percentage of overall municipal area covered by the dataset, varied by municipality. The following table identifies the total area of land (ha), and the corresponding percentage of total land area within each municipality that was classified through the data.

Municipality	Area Classified (ha)	% of Municipality
Niagara Falls	7862.64	36.69%
Port Colborne	4044.73	32.58%
St. Catharines	1400.98	14.00%
Thorold	2889.29	32.59%
Welland	2457.37	28.99%
Fort Erie	6065.36	36.34%
Grimsby	1888.98	27.41%
Lincoln	3357.84	20.28%
Niagara-on-the-Lake	1775.71	13.17%
Pelham	3906.79	30.74%
Wainfleet	6618.89	30.18%
West Lincoln	9007.85	23.14%

Region-wide, the data identified 18.8% (35,515 ha) of the Region is 'wooded' communities with canopy cover (woodland, forest, swamp, plantation, treed). Additionally, 15.6% of the Region is wetland cover. It should be noted that this includes treed wetlands, which are included under woodland cover, and as a result, the two coverage types should not be expected to equal the total natural cover for the Region. It is also of note, that some direct comparisons of changes from the original dataset to the

updated data product are not possible due to several differences in the community coding methodology and classifications used, as well as the spatial difference between the Region's land area and the NPCA regulation area.

During the field exercise, 1,233 polygons representing 47 distinct community series interpretations were verified across the Region. The final accuracy rate for the verified polygons was 86.5%. The completion of the field review reaffirms that aerial interpretation is accurate at this level, and provides context for planning and policy decisions. The accuracy rating for the field exercise was expected to be lowered by the significant amount of polygons selected for review based on a low interpretive rating from the mapping exercise. Other factors influencing the accuracy rating included under estimation of absolute cover type as a result of analyzing spring imagery, and change in series code based on the cover type (e.g. mixed woodland to coniferous woodland).

Intended Use

The ELC dataset will provide a wealth of natural areas identification information. As previously noted, the ELC mapping itself is not the natural heritage system for the Region; it is a data source that will form the basis for several of the features that need to be mapped in the new Niagara Official Plan. No policies are developed based on the ELC dataset alone. For example, this dataset will provide the spatial information required to identify woodlands in the Region, but criteria still need to be determined and applied to derive significant woodlands. The data also has the capability to be used to identify additional features such as non-significant woodlands, non-evaluated wetlands, grasslands, etc.

Regional environmental planning review functions, including stormwater management review, will benefit and make use of the updated dataset for review of development files and when making land-use planning related decisions. In addition, staff will use the mapping when developing supporting guidelines and strategies targeted at enhancing the Region's natural heritage system. The mapping will also be frequently used by the Regional Forester to support decision-making, and can be considered as a candidate for the Region's open data initiative.

The NPCA intends use the data and derived statistic information to support their restoration program to aid prioritization and project targeting to areas that support clearly defined ecological objectives for the landscape. Additionally, the data will provide input and decision support value to the NPCA's land acquisition strategy, and will be used to update the Watershed Report card, which will be published again in early 2022.

Alternatives Reviewed

N/A

Relationship to Council Strategic Priorities

This report is being brought forward in alignment with Objective 3.2 Environmental Sustainability and Stewardship:

“A holistic and flexible approach to environmental stewardship and consideration of the natural environment, such as in infrastructure, planning and development, aligned with a renewed Official Plan.”

Other Pertinent Reports

- PDS 32-2019 - Natural Environment Work Program – Phases 2 & 3: Mapping and Watershed Planning Discussion Papers and Comprehensive Background Study
- PDS 3-2020 – Ecological Land Classification Mapping Update
- PDS 26-2020 - Natural Environment Work Program – Phase 4: Identification and Evaluation of Option

Prepared by:

Karen Costantini M.A.
Planning Analyst
Planning and Development Services

Recommended by:

Doug Giles, BES, MUP
Acting Commissioner
Planning and Development Services

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

This report was prepared in consultation with Sean Norman, MCIP, RPP, Senior Planner, and reviewed by Erik Acs, MCIP, RPP, Manager, Community Planning, and Isaiah Banach, Acting Director, Community and Long Range Planning.

Niagara Official Plan- Consultation Update

Planning and Economic Development Committee
PDS 35-2020

December 9, 2020

Dave Heyworth, Official Plan Policy Consultant



making our mark

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PDS 35-2020

Niagara Official Plan Consultation Update

**December 9, 2020 - Presentation to Planning and
Economic Development Committee**



Layers of Consultation

- Public - Virtual PICs & Surveys, Planning Advisory Committee
- Virtual Stakeholder Workshops
- Local Planning Departments
- Decision Making Bodies



Consultation Findings

- Many participants are interested in several topic areas of the Niagara Official Plan recognizing the interrelationships between topic areas.
- There is some understanding that growth management, infrastructure and the natural environment can not be considered in isolation of each other. However this is essential to understanding the Niagara Official Plan, and we will need to strengthen this message moving forward.
- The role of regional versus local planning for various policy sections will need to be clarified moving forward.
- Managing growth properly is the key to good planning for all the interrelated topics of the Niagara Official Plan.
- A comprehensive consultation report will be provided in the next several months for the Natural Environment Work Program that analyses the input received through the virtual PICs along with all the other input received through the 2nd Point of Engagement in greater detail.



Virtual PICs

PICs	Attendance	Questions
Natural Heritage System Options	68	64
Water Resource System Options and Watershed Planning	55	40
Growth Management (regional structure, land needs, growth allocations, settlement area boundary review, housing)	79	41
Employment lands, Urban Design, District & Secondary Plans	35	7
Agriculture, Aggregates and Archeological Master Plan	57	15
Transportation, Servicing, and Storm Water	38	44
TOTAL	332	211



Surveys

- Employment Policy Survey - 97 Participants
- Growth Management - 217 Participants
- Current - Natural Environment Watershed Planning
- Vision & Directives Survey - November/December



Planning Advisory Committee

- 8 citizens
- Professional background –business, agriculture, environment, engineering, planning
- Provide input & review policy
- Meetings ongoing - often bi-monthly



Stakeholder Engagement

- Area Planners
- Stakeholder groups - developers, agricultural & environmental
- Agencies - Province, NEC, NPCA, NPC



Indigenous Consultation

- Meeting with local Indigenous Communities & Treaty Rights groups
- Areas of Interest - archaeology, natural environment, climate change, housing
- Sharing portal established for information sharing



Decision Making Bodies

- Local Council Presentations
- Regional Council Workshops - February 2020
- Local Council Workshops - 1st Quarter 2020



Managing Growth Challenge & Opportunity

- Recognize the heterogeneous communities in Niagara while accommodating the growth that is coming.
- Create thriving complete resilient communities.
- Assist in addressing affordable housing and age in place issues.
- Protect our significant natural heritage and water systems which identify where not to develop.



Subject: Niagara Official Plan - Consultation Update

Report to: Planning and Economic Development Committee

Report date: Wednesday, December 9, 2020

Recommendations

1. That Report PDS 35-2019 providing an update on consultation for the Niagara Official Plan since March 2020 **BE RECEIVED** for information; and
2. That Report PDS 35-2020 **BE CIRCULATED** to the Local Area Municipalities and the Niagara Peninsula Conservation Authority (NPCA).

Key Facts

- The purpose of this report is to provide Council with an update on consultation which has taken place on the Niagara Official Plan since the last update provided in March 2020.
- The consultation strategy for the Niagara Official Plan is multi-layered, and includes consultation with the public, stakeholders, local planning departments and decision-makers.
- Overall, most participants have shown an interest in several topic areas of the Official Plan and recognized the interrelationships between topic areas.
- Our engagement showed that managing growth is the key challenge and opportunity. This includes recognizing the heterogeneous communities in Niagara while accommodating the growth that is coming; create thriving complete resilient communities; assist in addressing affordable housing and aging-in-place; address our changing climate and protect our significant natural heritage and water systems.

Financial Considerations

Council approved the resources to complete the New Official Plan over a 5 year period as part of the 2017 Budget Process.

The completion of the necessary background studies and preparation of the Niagara Official Plan along with appropriate consultation will require significant staff resources.

Analysis

Public Consultation

The Planning Department had to reconsider the delivery of consultation given the COVID pandemic. However, the use of virtual consultation methods along with the ability for citizens to call staff for discussion has been successful.

Since the last consultation update, public consultation has occurred through virtual Public Information Centres (PICs) and on-line surveys.

On-line surveys are demonstrating that they reach a broader audience and gather input from a wider demographic and participation across all municipalities. Virtual PICs allow attendees to bringing forward questions and discussion on specific topics of interest resulting in more detailed discussion. Together, both of these formats are attracting more participation and complementing each other.

Virtual PICs

During the months of September/October 2020, six virtual PICs were held on key topic areas of the Official Plan. The following metrics are associated with these PICs:

PICs	Attendance	Questions
Natural Heritage System Options	68	64
Water Resource System Options and Watershed Planning	55	40
Growth Management (Regional structure, land needs, growth allocations, settlement area boundary review, housing)	79	41
Employment lands, Urban Design, District & Secondary Plans	35	7
Agriculture, Aggregates and Archeological Master Plan	57	15
Transportation, Servicing, and Storm Water	38	44

PICs	Attendance	Questions
TOTAL	332	211

Sessions lasted from approximately 90 minutes to two hours. Each session started with a staff and/or consultant presentation of 30-60 minutes followed by questions and answers. Participants could ask questions by typing and submitting questions or by calling-in. A recording of each virtual PIC, a copy of the presentation, and a table with input received in comment form and answers to questions that could not be provided during the sessions due to time constraints or need for further analysis are also posted on the Niagara Official Plan webpage.

A summary of the input received at the virtual public webinars is provided in two formats. The first is an outline of key themes raised through questions/comments for each session attached as **Appendix “1”**. The second is the detailed questions and comments (as submitted) received for each of the six sessions attached as **Appendix “2”**.

We highlight the following overall themes:

- Many participants are interested in several topic areas of the Niagara Official Plan recognizing the interrelationships between topic areas.
- There is some understanding that growth management, infrastructure and the natural environment cannot be considered in isolation of each other. This is essential to understanding the Niagara Official Plan, and we will need to strengthen this message moving forward.
- The role of regional versus local planning for various policy sections will need to be clarified moving forward.
- Managing growth properly is the key to good planning for all the interrelated topics of the Niagara Official Plan.
- A comprehensive consultation report will be provided in the next several months for the Natural Environment Work Program that analyses the input received through the virtual PICs along with all the other input received through the 2nd Point of Engagement in greater detail.

Online Surveys

Two online surveys, an Employment Policy Survey and Growth Management Survey have been conducted. Surveys were available online for approximately 1 month and were promoted through social media and stakeholder e-mailing to gather input.

Employment Policy Survey

There were 97 respondents to the Employment Policy Survey with participation largely reflective of the stakeholders consulted through the Region's Employment Strategy work. All municipalities were represented in terms of responses relative to location of residence and work.

Key themes extracted from the survey are provided in **Appendix "3"**. Many of these themes extend beyond the scope of the land use policy parameters of the Niagara Official Plan. However survey results will be shared with the Region's Economic Development and Transportation Divisions. The land use related themes are as follows and will be addressed by the employment program for the Official Plan:

- Niagara should prioritize municipal servicing and infrastructure for employment uses, including proactively providing servicing to vacant employment sites to make them more marketable.
- Employment development and redevelopment should be integrated within existing communities wherever possible and should blend with community character.
- Employment uses should be located with similar employment uses.
- Niagara's commuters have limited transportation options to get to work and would consider using an alternative means of travel, other than private vehicle, to get to work if it were reasonable and accessible.
- Niagara should encourage employers to promote transportation demand management practices and reduce surface parking spaces where possible.
- Employer needs, such as physical assets and building space, may shift as a result of the COVID-19 pandemic.
- Jobs that have transitioned to work-from-home jobs as a result of the COVID-19 pandemic may remain as such after the pandemic.

Growth Management Survey

The recent Amendment 1 to the Growth Plan resulted in the need for further feedback on key areas of the Growth Management Program from members of the public, local area municipalities, public agencies, and key stakeholders. One component of this was gathering input through the Growth Management Survey. A total of 217 participants responded to the survey and a total of 102 comments were received. Respondents were asked to rank key growth management and select preferred options between various growth management scenarios.

This item is covered in greater detail in a separate Report PDS 33-2020 (and the accompanying presentation) planned for December 9, 2020 Planning and Economic Development Committee.

Future Surveys

There will be other surveys conducted on major topic areas of the Official Plan. Regional Planning Staff have recently released a survey seeking feedback on the goals and objectives of the Niagara Watershed Plan project which is also being prepared in support of the Niagara Official Plan.

Report PDS 9-2020 was provided to Planning Committee in March 2020. This report summarized public consultation to date but also provided preliminary statements and key policy directives to acquire future public input on. Public input via a survey will be gathered on these statements in November/December 2020 so that Council can consider them as guidance in the finalization of key policy directives for the Niagara Official Plan.

Planning Advisory Committee

Planning staff gather input from an 8 member Planning Advisory Committee comprised of citizens with professional expertise in business, agriculture, environment, engineering and planning. The Committee last met virtually in September 2020 for updates and discussion on growth management, natural environment heritage and water system options as well as the then-planned PICs.

Stakeholder Engagement

Area Planners

Throughout September and early October, Regional Planning Staff met, individually, with all 12 local Planning Directors and Planning Staff to discuss growth management matters relating to land needs assessment and methodology, growth allocations, employment areas, settlement area boundary review and regional structure. These 12 one-on-one meetings also included an update and discussion on the Natural Environment Work Program including the identification and evaluation of natural heritage and water system options.

Stakeholder Groups

During the time that the virtual PICs were being undertaken, Regional staff were also undertaking the 2nd Point of Engagement for the Natural Environment Work Program which included: the PICs; virtual stakeholder workshops with the development, agricultural and environmental stakeholders; meetings with local planning staff; presentations to Provincial Planning Staff; presentation to the Planning Advisory Committee (PAC); presentation to the Agricultural Planning and Action Committee; presentation to the NPCA Board , PAC, and Staff; and Presentations to Niagara Escarpment Commission and Niagara Parks Commission staff. This results of this 2nd Point of Engagement will be presented to Council in January under a separate cover.

Regional planning staff have also discussed the growth management and natural environment work programs with the Niagara Homebuilders' group.

There was a presentation on the Niagara Official Plan and the natural heritage and water system options to Team Niagara representing the Economic Development Officers in the Region in November 2020.

Indigenous Consultation

Planning staff have twice met with Indigenous groups on the Niagara Official Plan. A sharing portal has been established to share background information on the Niagara Official Plan. Consultation with Indigenous Groups will continue on the expressed topic areas of interest.

Decision Making Bodies

In the first quarter of 2021, Regional Planning staff plan to organise online workshops with Regional Councillors and Planning Directors for each municipality to discuss growth management, natural environment and other areas of interest. This will provide an opportunity for decision-makers to have detailed discussion with staff on these matters.

To date, Planning staff have twice made presentations to local Councils on the Niagara Official Plan. In the second half of 2021, there will be a third round of presentations to local Councils on the Niagara Official Plan on Official Plan policy directions. Local municipalities are encouraged to inform their citizens to listen in on the presentations.

Official Plan Moving Forward

An Official Plan progress report is scheduled for January 2021. This report will outline how different sections of the Official Plan will be reported on going forward given the interrelationships of the sections of the Plan.

A key theme is the interrelated nature of the sections of the Regional Official Plan and managing growth. Managing growth is the challenge and opportunity to: recognize the heterogeneous communities in Niagara while accommodating the growth that is coming; create thriving complete resilient communities; assist in addressing affordable housing and aging in place; and protect our significant natural heritage and water systems.

Alternatives Reviewed

There are many approaches to consultation. The consultation strategy for the Niagara Official Plan is being done virtually because of the pandemic and is incorporating: topic specific, public sessions and public surveys; virtual workshops with stakeholders groups; Indigenous consultation; and virtual workshops with local and regional council members. Consultation has been and will continue to be a fluid process moving into the next stage of policy formulation stage.

Relationship to Council Strategic Priorities

Consultation on the Niagara Official Plan is an important process in supporting Council's priority as a Sustainable Engaging Government. The Plan will address Council's other priorities, being: Supporting Businesses and Economic Growth; Healthy and Vibrant Community; and Responsible Growth and Infrastructure Planning.

Other Pertinent Reports

PDS 1-2020 New Niagara Official Plan-Public Consultation Summary
PDS 33-2019 Growth Management Program Update for New Official Plan
PDS 9-2019 New Official Plan Consultation Timeline Framework
CWCD 421-2019 New Niagara Official Plan Updates

Prepared by:

Dave Heyworth
Official Plan Policy Consultant
Planning and Development Services

Recommended by:

Doug Giles, BES, MUP
Acting Commissioner
Planning and Development Services

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

This report was reviewed by Erik Acs, MCIP, RPP, Manager, Community Planning, and Isaiah Banach, Acting Director, Community and Long Range Planning.

Appendices

Appendix 1	Key Themes from Virtual PICs
Appendix 2	Submitted PIC Questions and Comments
Appendix 3	Employment Policy Survey Themes

Appendix 1 - Key Themes

Natural Heritage Systems Options-Key Themes

- Advocacy for the most protective options and that environmental protection be prioritized above other land-use planning objective of the Region and the new Official Plan.
- Request for clarification on the steps of the work program including why mapping at this stage of the work program only being conceptual and misconceptions regarding the identification of a preferred option. ;
- Concerns related to the prioritization of environmental protection versus developable urban land.
- The importance of addressing climate change and biodiversity loss
- Questions and comments on the goals and objectives of the Official Plan and Natural Environment Work Program as well as discussion on canopy, tree, and vegetative cover in the Region
- Questions related to who pays for environment impact studies and determines significance of features associated with development applications.
- Reinforcement for the protection of appropriate buffers and linkages
- Recommendation that tree planting and other private landowner stewardship policies be included in the new Official Plan

Water Resource System Options and Watershed Planning-Key Themes

- Concern over the implementation of policies for unmapped features and timing of when system mapping would be available.
- Requests to prevent ground water contamination by policies that regulate the types of development on highly vulnerable aquifers.
- The importance of integrating watershed planning and growth management was stressed from the perspectives of protecting water quality and natural features in the urban area and reducing sprawl.

Growth Management (Regional Structure, Land Needs, Growth Allocations, Settlement Area Boundary Review and Housing)-Key Themes

- Questions on the methodology for growth allocation
- How the environmental policy review and watershed planning will inform the growth management work.

- The relationship between targets and growth and whether growth can be halted if targets are exceeded.
- Concerns over protecting established neighbourhoods from intensification.
- Concern over urban expansions and how they are assessed through the preparation of the Niagara Official Plan
- Clarification on the definition of “affordable” housing and that planning for “age in place” includes providing housing for the older and younger age demographics.

Employment Lands, Urban Design, District and Secondary Plans-Key Themes

- Clarification on the role different employment areas serve.
- The suitability of brownfields relative to future employment or conversion to other uses.
- The role of heritage building in urban design.

Agricultural/Rural Lands, Mineral Aggregate Resources, Archaeology-Key Themes

- Questions on site specific issues on expected or submitted aggregate applications in Niagara Falls, Fonthill and Port Colborne.
- Questions around the administration of the Archaeological Management Plan.
- Clarification as to how development can take place on some agricultural lands and not on others.
- Clarification on the region’s approach to identifying prime agricultural areas.

Infrastructure-Water and Wastewater, Storm Water, Transportation-Key Themes

- The relationship between development charges and provision of infrastructure.
- Question regarding the use of low impact development standards for storm water management.
- Questions on transit route planning and the provision of housing along transit routes.
- Site specific questions pertaining to existing or planned treatment plants.
- Incorporating cycling in planning for streets and at a broader community level.

Appendix 2 - Submitted Webinar Questions and Comments

Wednesday, September 23, 2020

Natural Environment - Natural Heritage System
Submitted Questions
When you consider your recommendation, I would ask you to consider: Do you in your work and life, simply do what is the minimum so that you do as little as possible OR do you do what is right to do (3C) and work to have the best possible scenario, problem solving, and outcome, now and for the future?
why are we talking about conceptual? is there a reason that the proposed mapping is not completed and not conceptual????
only conceptual?
Enhancement areas "MAYBE" used but these are not saved or mandated in 3B and can be ignored. Is that correct?
Without the linkages in place, you will have heat sinks and heat islands which will quickly make the natural areas dehydrate or swamp. Are you aware of what destruction has occurred in Oakville and other towns/cities when linkages within the natural water courses and natural vegetation areas was not considered or maintained?
How can you not map the required federal and provincial requirements with what you have now? Without that mapping of the current situation, there can be complete destruction and then is it 'oh sorry' we made a mistake. You need to map what is there currently for any habitat including fish.
In the introduction of your technical report you note that this work is essential for the preservation of the Region's natural heritage and water resources. What I was not able to find is a stated goal/objective for the natural environment component of the new OP. What is the stated goal?
I was also not able to find any performance criteria for the various options. So how will you evaluate if the policies are resulting in the desired outcomes for recommended options and shouldn't these performance criteria be included at this stage of evaluating options?
How does this planning relate to the current development in many communities throughout the region?
Covid 19 has shown us how important natural areas are to our health and well-being. These natural areas need to be where people live. Which option, 3b or 3c, do you feel would best ensure that these natural areas are protected.
In the North South background paper there was some discussion about moving from the 30 per cent forest cover goal to 23 per cent. What was suggested was York Region. Since the goal is to accomplish more forest cover this seems to be defensible. However, I am going to suggest some additional safeguards. One is that plantations, should be considered part of forest cover. Another is that there be periodic reviews perhaps annually to determine if success is actually being made in Niagara in increasing forest cover.
Why not map fish habitat?
Why isn't fish habitat being mapped?
Environment Canada says that a minimum of 30% forest cover is required for human and environmental health, currently Niagara has only 17.5% coverage. How do we end up with each of the options? Please choose 3C, the other options are inadequate.
The background paper is opposed to specific policies for Short Hills Provincial Park. However, this could provide a means to link and expand the various natural areas outside the park. Could such policies be put into the plan to enhance other significant natural areas such as the Wainfleet Bog and Humberstone Marsh?

How would buffer sizes be determined? They often seem to be arbitrarily set
What priority will Linkages have within the Settlement Areas where there is an underlying designation (ie. residential) and proposed development, to ensure that there is no detrimental effect to the integrity of the complete NHS? Will the Region set the minimum buffer width that local municipalities must include or consider in their OP's for site specific applications?
Last night Mr. Norman mentioned that 3C was restrictive. Could you explain why and to whom was it restrictive.
How will you address the scope and scale of a proposal and studies. It seems that the "studies" could be differentiated. For example, a garage for 1 car is very different than a greenhouse.
Who determines what features in a woodlot are considered SIGNIFICANT and what else can be done to ensure that wooded land and wetlands don't change their designaiton based on a developers desires.
Further to Sean's first response, in consideration of balance across the Region from various perspective (Environmental, Social, Economic, etc.) have you considered how the options for 3A/B/C, will freeze lands more lands than are currently available for development and speed up the need for urban boundary expansions into the rural areas in several of the Region's municipalities?
Could polices be reviewed to require peer reviews of development applications that impact the Natural Heritage System? Right now having such reviews is at the discretion of the regional planning commissioner.
Where fish spawning areas are eliminated/disturbed by development, what possible measures may the developer be required to do.
how would these options impact the streams running through Niagara on the Lake e.g. One,Two and Three Mile Creek and also the historic Paradise grove Grove
When you say that climate change is being considered throughout the overall plan (mentioned with one of the very first slides that includes a pie chart) are you saying that the region's current research and understanding on climate change (climate change discussion paper 2019) is a primary guiding principal? If so, why hasnt this been made clear on this slide in regards to all aspects of the plan?
Concerning enhancement areas in the map you showed as an example, enhancement areas largely occurred around the edges of woodlands. Wlould this not suggest that the buffers were not large enough to protect these natural areas. Therefore, why go for the minimum requirments for buffer? Make buffers manditory as suggested in 3C. Go for option 3C which are most protective of the natural areas.
If a developer is altering the tree canopy, is that same developer responsible for tree planting and restoration in the said subdivision?
Your consultant stated that this is the development of concepts. If that is true, why have you included preliminary preferred options in the Technical report that was presented to the PEDC/Council? It appears that you are narrowing the choices before you receive feedback/input from the consultation process.
The minimum buffer approach in agricultural areas could take agricultural land out of production. How will these competing interests be addressed?
Considering NHS and WRS as continuous systems, linkages are essential to analysis, protection and enhancement of features and must include settlement areas. I support 3C.
Have other municipalities chosen an equivalent to 3C? Should Niagara not select the best option?
Have you confirmed that the Provincial Natural Heritage System mapping is correct? Will these be done?
Does this planning also take into consideration current pollution whether industrial, residential, agricultural - how to exacerbate / improve?
If climate change is the over arching concern shouldn't a 30% canopy cover be a primary consideration?

Regarding the forest cover issues. Since agriculture plants also provide some of the environmental benefits of forest cover, how is Niagara's agriculture considered in assessing the required forest cover? Clearly there is substantial benefit to both air quality and wildlife species of having so much agriculture in the region, whether it is fruit trees or even vineyards.

Have the municipalities in the Region shown support toward any one of the Options and do they have any concern about losing money from development charges as this roles out and how that will impact tax payers?

Will the site specific studies be paid for by the developer? If so that introduces an extreme bias as reported in the Auditor Generals report on the NPCA. Do any of these options provide 100% protection for significant woodlands/wetlands/wildlife habitat/flooding mitigation?

How will cumulative effects be considered as proposals are assessed over time?

Is the goal of the NHS and WRS to provide the best protection for natural and water resources or to provide flexibility for developers?

In response to your comment tha Niagara should be exempt from striving for a 30% canopy because the cause is farming; Given that agriculture is important and it would take a fair bit of time that we really don't have to adjust how that is done to be more environmentally responsible, then doesn't it then make sense to limit all that housing deveolpment that is currently encroaching not only on green spaces but also on farm lands? The fact that farming is responsible for our low level canopy should not be used as the excuse, but should be seen as a challenge to be over come.

In the Technical report, under the evaluation criteria Ensure protection of the natural environment system, you state that Option 3C best ensures the protection of a region-wide N.H.S, including within settlement areas. If there is an option that ensures the best protection and provides a resilient and I would add healthy and sustainable natural environment why shouldn't we pursue that option (i.e Option 3c)?

In section 5.0 (page 53) of the technical report you identify preliminary preferred options based on the criteria noted on the prior pages. I assume the coloured circles are your recommendation for each specific evaluation criteria. Option 3C has 3 green circles and option 3B only has 2 and $\frac{3}{4}$, so can you help us understand the rationale for recommending Option 3B as a preliminary preferred option?

There is constant reference to promoting development in Urban Areas. However, we know that Urban areas are continuous areas, which include sensitive areas. Why is there an implication that the sensitive areas are open for development simply because they are zoned Urban?

Where can we find the provincial NHS mapping?

Reagarding Discussion Question #2: Why are we provided with two non-option options (1 and 2), two bare minimum options (3a and 3b) and only one substantial option (3C)? Why are there not more options that do more than the bare minimum?

In the cover letter supporting the Technical Report, it states, "The preliminary preferred options are the recommendations of the Consultant team and are supported by the professional opinion of Regional Planning Staff. The preliminary preferred options still require the input of the public, stakeholders, and Indigenous groups." My question is – you have already recommended preliminary options, so what type of information/input might cause you to reevaluate your recommended preliminary options?

This is so that you have my verbal question in writing - thanks.

Going beyond minimum standards

Major question - How much tree planting will be involved?

Sub question to that - Will there be Carolinian Forest included in that?

Tree planting is an excellent way of helping climate change such as,

- a carbon sink - whether a small area or a large area,
- the mental health that greenery provides residents (regardless of who or where the resident is) - and particularly within settlement areas (trees reduce heat sinks, trees help drainage, etc),
- improves wildlife as well as bird, wildlife, & fish habitats,
- improves shorelines (whether rivers, lakes, etc) as well as wetlands
- improves maintenance within agricultural lands,

to name a couple.

Essentially, is there a tree planting program?

Submitted Comments

Your maps are not clear. growth areas are a line across the map, but not an enclosed area identified. It is not clear what the growth plan area is.

You say your goal is to set DIRECTION. Your technical report says "Option 3C best represents a FORWARD thinking SYSTEMS APPROACH ..." Why would you choose anything BUT the BEST, forward-directed Option (C)?

Sometimes an area used for recreation and/or active transport may not include key natural heritage features and so not acquire planning protection. I would suggest that such areas should be added to the list

Given that the provincial standards are inadequate and constantly are being loosened in a time when the concerns and need for environmental action are increasing, how could any option other than 3c be a serious consideration? I see with my own eyes in Thorold the massive development taking place. For example, there is a proposal to develop 77.9 hectare parcel of land on the northside of Chippawa Parkway. I see development taking place on Beverdams road which is in the middle of wetlands. When do we get to hear the take of the indigenous community. Our canopy is only 17.5%. We need to do better and that must take priority over development especially in green field spaces.

I believe there is an oversight in not recognizing the Province's Growth plan is significantly flawed. It's a one-size-fits-all approach that fails to recognize regional geography, and limitations. Niagara Region is a perfect example that crystallizes the Province's Growth plan's deficiencies. Geographically, we are an island, surrounded on three sides by Water, which constricts, and conflicts with our ability to grow responsibly, as it pertains to rapid real estate growth, and population growth. This puts enormous pressure on local Environment features, and is currently being realized in Niagara.

How do you mitigate Municipalities with independent agendas? Who have no climate plan, and who are willing to work to overrule PPS and best practices?

(apparently this format restricts the length of questions/comments, so I will continue after the cut-off)

I appreciate the amount of time and effort that has gone into this. But why are these the only options presented? From the perspective of Environmental Conservation during a Climate Crisis, and with all due respect, none of these options are optimal or acceptable. I humbly request that staff go back to the drawing board and present a plan that more effectively addresses the urgency, and imminent impact of climate change. I cannot stress enough, that first and foremost, this needs to be visualized through the lens of climate change with applicable sense of urgency. This must be the top priority to preserve what we all love about Niagara. We cannot blunder our way through this, as recent Developer Violations at Thundering Waters clearly demonstrate. The options currently being presented and recommended by staff are not the best options for the Environment. And the most protective options offered, are at best a weak compromise, if our Natural Heritage is to be properly protected for future generations.

Not just regarding fish habitat there is a lot of problem with lands which could be corrected through Significant Wildlife Habitat designations. Mapping of these lands right now is largely limited to deer wintering areas. It seems that a lot of work has to be done.

regarding forest cover the NPCA did a study which should a large area in agriculturally zoned lands which is actually reverting to forests naturally. I don't know what the actual percentage of the landscape this is. From looking at these maps it seems quite substantial. If this area was known the goal of 30 per cent might seem more realistic. These lands will likely become mature forests eventually if the agricultural designations are maintained and the land is not urbanized.

the city of Toronto has a very good approach and it posted on the website. Hamilton is working on a Biodiversity plan. can this approach be utilized!!

Bill 68 requires municipalities to demonstrate how they will maintain, protect and enhance the tree canopy and natural vegetation in the municipality. The option that best meets this (3C) should be strongly considered by the Region.

Please ensure that all questions and answers, and those that cannot be answered within the time allotted, are answered and posted on the Region's website with the PIC background documents for full transparency.

Thank you!

Regarding Peer review the current system on relying on provincial agencies has recently been weakened by the reduction in the commenting role of the Ministry of Natural Resources and Forestry. (MNRF) Also two letters by MNRF which were critical of environmental work by developer proponents in the case of Thundering Waters were never released to council or the public. I also received them with the help of the now disbanded Local Planning Review Support Center. This pattern would seem to show that a stronger provision in the regional plan needs to be added regarding peer review.

Regarding claims that protection of natural areas would create pressures to expand urban boundaries most of these lands are already protected to some degree and excluded from development potential. The exclusion of lands as enhancement areas would likely be limited in scale. The urban boundaries are quite large, especially because of the expansion in Fort Erie just south of Niagara Falls (Douglas Town) which came out of a judicial battle and has yet it seems to be recognized in urban boundary capacity.

Paradise Grove is a good example of a savannah habitat. These need to be recognized and protected in the official plan review. Right now protected ECA lands are all forests.

How do I get on this committee (committees)? You seem to not have a member-of-the-public (or members). Despite the importance of experts, the public probably needs to be involved here - not just at public meetings like today.

My email is janetashleypollock@gmail.com

Great discussion. Thank you.

Thank you - a good & informative meeting.

Thursday, September 24, 2020

Natural Environment - Water Resource System

Submitted Questions

is modeling growth upwards in a livable style like Singapore has done being considered?

I'm a newcomer to Niagara. I'd like to know why we have development on top of highly sensitive aquifers and what impact that has.

when are you be able to provide the full mapping on not only the watershed mapping and the natural heritage system ?How can one comment on this without the true facts?

also have you looked at what the correlation is between the growth numbers that have been put forth by the province and the impacts of those numbers to these proposals?

I am not sure why you are seeking input from the general public at this evidently very preliminary stage of the proceedings. After sitting through almost three of these presentations, I conclude that either I am not intelligent or that these sessions are not useful to the average lay person. I would need several introductory tutorial in order to begin to understand what you all have been saying. I feel you are talking mostly to yourselves though there may be other listeners who do understand you. I think that the presentations are extremely conceptual (as you acknowledge), highly abstract, consisting mostly of "motherhood" statements, while admitting that nothing definitive is being proposed. I get no idea of what is being proposed on the ground, area by area so that I can tell you what I feel about it. Basically, will you tell me you will stop the further destruction of Niagara's natural resources? Simplistic question???

Question: I guess I am not allowed to ask verbally on Zoom? Why is there no recognition of the need to PROTECT OUR AQUIFER in the South Coast of Niagara??? The need to protect human drinking water is paramount. Sorry Ron Schenckenberger, there is NO concern of developers to protect our AQUIFERS.

how to deal with past construction for example culverts etc. that have negatively affected the flow rate. This is definitely been the case at the 12 mile creek located in reach 8 the east tributary from Tremont Dr to Highway 406. This has caused accelerated erosion on the embankments near existing large apartment buildings putting over 300 or more tenants at risk. What will be done about this?

Why would we exclude settlement areas? - Aren't those artificial boundaries for watershed planning as some of the features and indeed the impacts to the watershed extends into settlement areas.

Did I hear you correctly that WRS Option 2A will map floodplains outside of the settlement areas, but not with them?

As development continues, is it not important to require all subsequent development proposals to undergo cumulative impact assessments?

In terms of identifying and informing healthy aquatic and terrestrial ecosystems would various Marsh Amphibian/Bird Monitoring surveys; Breeding Bird Surveys which have been conducted for decades be of use?

What solutions are being put forward at the 12 mile creek that have been negatively affected of the watershed in the area and erosion of the embankments. Specifically Reach 8 of the east tributary from Tremont Dr and Highway 406 have been negatively affected by accelerated flow rates. This has been caused by culvert construction for example that have caused accelerated erosion that has put some apartment buildings at risk (over 300-400 tenants). The City and the Region is aware of these problems for last twenty (20) years.

How polluted are we?

My sense is that this is being done to increase the population in the Niagara Region. This is due to people not being able to afford to live in the GTA. This means increase pollution and traffic on our highways. This pollution etc. impacts our water. This completion of this planning is a long way off - and developers are moving as fast as they can to develop areas that may be sensitive to our water. Will the province's desire to increase population in the Niagara region overtake the common sense that should result from this work?

The NPCA Watershed report card shows surface water quality with a "D" rating. Furthermore, this has been rated "D" since at least 2012 - which WRS option 2A or 2B will provide the greatest improvement in water quality?

What is going to be done to deal with new commercial and residential developments that are being proposed that will have negative long term effect on the water tributaries? There are many examples of garbage and pollution created by these developments but there has been no controls put in place to ensure our Niagara watercourse are maintained. What operational risk controls will be put in place to ensure there is no overdevelopment near the Niagara watercourses and flood plains. Also, will there be substantial penalties and enforcement put in place?

There was a substantial inventorying of natural areas, validated by field studies, called Nature for Niagara's Future - has this information been incorporated into your work?

There are streams that go through car wreckage yards in Niagara Falls and Fort Erie. Should not these streams be diverted from these areas to avoid future contamination?

It is excellent that the Region is taking a progressive stance with respect to meeting the policies outlined in the PPS 2017 for the Growth Plan and Greenbelt Plan. Thank you for acknowledging the NPCA and the RAP program as a valuable partner. Karst formations were mentioned as an area of potential future study, as a hazard area will the NPCA be involved with this study? Will a copy of the slide presentations be available after the meeting?

Last evening you mentioned that Fish Habitat would not be mapped, but there would be some sort of policy protection. How can policies be implemented to protect something that isn't mapped?

There are a lot of Karst areas in Smithville within the area being proposed for expansion. Are these areas being excluded from potential development, since Karst can be pathways for contamination.

Considering the Niagara Region's past performance and failing grade. Why wouldn't the best choice be to protect our Natural Heritage and Water Resources be paramount?

What do you see as the major long-term differences - impact-wise - between Options 2A and 2B?

Submitted Comments

Can't hear - please get closer to mike!

Comment - not question:

Ontario government has a watershed flow assessment tool - <https://www.ontario.ca/page/watershed-flow-assessment-tool>

as does Brock University

as does Ministry Northern Development and Mines, Ontario Geological Survey

Apologies, Karen, should have said, Brock University Earth Sciences

<p>Sidestepping drinking water, wastewater management, etc & their infrastructure ...</p> <p>How good are our water resources in Niagara region?</p> <p>Will the following be considered?</p> <ul style="list-style-type: none"> - as in recreation - fishing, swimming, shorelines/beaches, etc - as in flood control, water table - as in utilization by agriculture, industry, the Welland Canal, and urban developers - as in utilization by the indigenous population (hunting, fishing rights) - as in "how many exceptions?" - particularly ones that aren't efficient or safe or climate-friendly and so on. <p>It seems we haven't had a good report card score for a long time - we're pretty polluted.</p> <p>Really like the Goals & Objectives.</p>
<p>Reference material suggests that 2B is the better choice for water resources system for region-wide features because it includes settlement areas.</p> <p>It is essential to choose the best Option 2B which includes linkages in the settlement areas, appropriate for a continuous hydraulic/hydrologic WRS</p> <p>2B provides better protection for small linkages and features in and out of settlement areas as well as buffers.</p>
<p>I am concerned about the orange coloured areas marked for watershed studies based on future urban expansions. This is the first time I have learned of any urban expansions being considered through this plan review. On a need basis there is no reason for any urban expansions since this is supposed to be calculated on a regional basis. An attempt a few years ago to have an urban expansion in the Smithville area was rejected by the province since the rationale of a separate western need area was rejected by the province as a violation of both the Growth Plan and the PPS.</p>
<p>We NEED Niagara Region to protect our drinking water. Without CLEAN drinking water there is no reason for jobs...</p>
<p>The one area that I see an urban expansion concern is the Douglastown area of Fort Erie. This is because this area was essentially imposed by the province through the courts. A watershed plan re urban growth would be a helpful form of damage control.</p>
<p>Please suggest possible responsible uses for exhausted aggregate quarries where quarrying has been done into an aquifer.</p>
<p>Not sure how to speak in this call?</p>
<p>I was also shocked to see urban expansion areas proposed for north west Niagara Falls. Urban needs could be served within the urban boundaries in the Chippawa area. This is one of the reasons that the region is going ahead with the new sewage treatment plant here, so that infrastructure capacity problems in south Niagara Falls do not stop growth on lands which are appropriately zoned.</p>
<p>There was no discussion of strategies to clean up ground water contamination. This is a serious problem. Such situations on lands such as the former General Motors site are a big barrier to needed intensification. Seeing clean up costs as part of a strategy to curb ground water pollution is an important way to get action on this problem</p>
<p>appreciated you bringing forth my questions , however i never recieved an answer or commitment of when the mapping would be available.</p> <p>and to blame the provincial government is certainly a kop out!!!</p>
<p>I witnessed illegal dumping in Niagara Falls. This is known to the city council but nothing seems to be done about it. Could stopping such actions be part of a strategy to protect ground water.</p>
<p>I think that because contamination / pollution seems to be quite a concern, this portion of planning should address this issue. Please don't ignore your public.</p>

Wednesday, October 7, 2020

Growth Management
Submitted Questions
How does the Region decide how much growth is allocated to any given municipality?
The planning is focusing on established communities. regions such as Wainfleet has no "established communities and based on your definitions will be excluded from the planning. West Lincoln also has minimal growth planned. Are these communities going to have support to maintain their infrastructure needs to allow the projected growth in the designated areas?
Are these current webinars available for future viewing?
will the reports to council in winter 2020/ 2021 confirm the amount of land needed for growth AND identify the locations where urban expansion is recommended?
thank you for an informative presentation, truly appreciate the detailed. Given how the focus is on creating complete communities, what is the region's plan on creating community benefit agreements with developers to ensure the communities where development happens receive the localized benefits they need specifically to their neighbourhood. Does the region have an official community benefit agreement policy as a strategy to include inclusive growth?
With regards to the housing growth needs versus employment land growth requirements, has it been taken into consideration that many residents coming to Niagara are retirees?
How is Specialty agriculture defined?
with 3 different mapping proposals , what would be the change in settlement areas and numbers between all three mapping proposals and whe will we see full and concise mapping instead of what has been proposed.
I am curious about how the environmental policy review will inform the urban land needs study specifically? Can you provide more information on how the impacts of the proposed policy framework and policies will be quantified?
As Planners determine the vacant land inventoryj/parcels within their own municipalities, and that information is provided to the Region to assist in developing allocation targets and density (# of persons per household/etc) of those parcels, what role does the Council of the municipal have in this process and can a Council request reconsideration of the allocation given to it? As the allocations to municipalities are "minimum targets", does a municipality have any ability to slow or stop development if targets are achieved earlier than 2051? As required in Amendment 1 of the Growth Plan, how are market forces now a requirement in determining land needs methodology and allocations within municipalities?
At the Natural Heritage session there were a number of identified areas where urban boundary expansion are taking place. One was Smithville, which I noted could result in negative environmental impacts because of the presence of Karst formations. There were at least two other urban boundary expansions which were identified. Two of these were in western Niagara Falls. Could all the areas where these expansions are being considered be mapped be clearly identified tonight. Could it be clearly indicated how people can be involved in what I believe from the previous meeting the watershed planning excercies which are guiding these excercies.
secondary question is: what is the region's community engagement strategy in hearing resident voices from equity seeking communities: BIPOC, persons without homes, etc.
when is the urban boundary line will be finalized?

Following up on the question by John Bacher, does the Region not have the authority to defer ALL urban expansion considerations to a date after the finalization on the Official Plan? I believe it should have this authority and as such NOT permit any expansions before that date.
How will the Niagara Region expect to reach the goals outlined by the province - and how well will the Niagara Region meet the goals
that is population goals supported by bi-partisan
Even though the province is predicting our growth related to an aging population.....is there any thought, activity, strategy to adjust this prediction to have a more "complete community" that include the younger demographic.
Talk about using the current infrastructure efficiently: the main water supply pipe is on Vansickle road, and the Niagara Health St.Catharines Centre had built for many years. Is any growth plan around the West end of St.Catharines around the Hospital?
Niagara-on-the-Lake is a very special place and as such has in the past been given a target of 15% intensification over about 26 years . However over the last five+ years we have been told that this is a minimum number of units and therefore we have seen staff recommendations and Council approvals of lots close to sensitive natural areas and in the Old Town Established residential areas quite regularly. My question is how do we protect our built and natural areas from these types of development as required under the heritage act and through provincial and regional and local environmental policies?.Gracia Janes
contamination of brownfields is a major barrier to good planning. Could strategies be developed to address these problems including financial assistance from senior levels of government? In the past there was no serious effort to estimate brownfield capacity. While the 30 year planning effort normally encourages sprawl, if it is assumed that some time in this period brownfields will be cleaned up it would encourage better planning.
How will you / do you define 'affordable' with regards to housing. It is a relative term. , so how do you plan to define and
re-define as you move through the years, and across the various municipalities.
With respect to my question.... Well I presented these concerns to the regions over a DECADE ago!!!! A lot of property owners have. What is the hold up with respect to getting some traction on this?
What are we DOING to keep these younger people here. Housing?? what about jobs strategy ??
Sorry i cant voice talk in. But, I would like to know how the Region of Niagara will allow building that is necessary to meet the provincial goals. We have to build
Can Mr.Giles explain the difference between HOUSING AFFORDABILITY and AFFORDABLE HOUSING one is subsidized and one isnt?
how will the region work with developers and builders to achieve housing affordability and remove roadblocks and delays that add to the cost of housing. More affordability =less affordable housing!!!
Submitted Comments

When the Niagara Region in the past was determining if any urban boundary expansion in the past, it determined this on a region wide basis. It seems that now already it has been determined that certain municipalities based on their own needs will need expansion. This seems to be a negation of region based planning. It seems to preclude encouraging filling in urban boundaries in municipalities like Fort Erie and Port Colborne before any urban boundary expansion takes place in Niagara.

There is an area known as Douglas Town in Fort Erie, which I believe has a lot of land for potential urban expansion. This is because a court over ruled municipal efforts to restrict growth here. Since land owners appear to have a right already to develop here, it would appear that watershed studies are urgently needed to restrain it in an orderly way. This area could also be a good alternative to urban expansions which would permit new site alterations on farmland and natural habitats.

We feel the lower level tiers of municipal govt are being resisting development that is needed to meet affordable housing needs

Jobs is what matters!!

there are aggressive needs, the province has dictated this

we have to meet the needs as dictated

only by box

this is a great need to meet the needs of the community

The Ontario Human Rights Commission has targeted NIMBY communities that refuse to allow 'undesirable' residents. This needs to change and we need to be inclusive

Thank you everyone. Excellent webinar.

Thursday, October 8, 2020

Employment Lands, Urban Design, District and Secondary Plans

Submitted Questions

It appears that heritage planning at regional level is moribund. Could concern with design, be a way to revitalize it?

The employment land map that showed three areas (Core plus two others). Could you explain how this was analyzed; are these all employment areas? Or will some that were described as Innovation/Knowledge have more flexibility in uses (especially mixed use)?

With regards to employment land requirements, are the previously utilized (but now vacant and abandoned) buildings/lands being considered for future use rather than remain in their current state and develop new areas?

is it preferred different types of employment (e.g. technology based companies vs tradition) be kept separate and grouped together or have a mix of employment types in an area?

Submitted Comments

One way that urban design could be used is to protect historic estate lots in Niagara on the Lake. Apart from heritage benefits these protect tree cover and the One Mile Creek. Regional guidelines could protect these areas in Niagara on the Lake, and perhaps similar areas in other parts of region where they exist.

I am from St. Catharines which still is governed by an obsolete 1965 transportation study. It would appear that design approach would be a way to make transportation less automotive centered by reducing street widths for example.

Thank you - short session tonight.

Tuesday, October 20, 2020

Rural and Agriculture, Mineral Aggregate Resources, Archaeology	
Submitted Questions	
How does the upcoming brown road proposal by walker in south end Niagara Falls fit with regional official plan. And will rehabilitation of winding down Taylor quarry be a likely requirement of approval of new quarry?	
Regarding the Fonthill Kame, can you please outline how the new Official Plan will recognize and embed the Area of Natural and Scientific Interest (ANSI) for the Fonthill Kame?	
What long term protection will the vulnerable aquifer thst stretches under Wainfleet, Port Colborne and Fort Erie from minineral aggregate operations	
How will the Agricultural Policies impact lot creation?	
Question in regards to AMP program. Which indigenous parties have being consulted in development of this plan as well are developers part of your consultation to gain their insight and recommendations.	
In the presentation was it mentioned that the NR was using an agricultural consultant to help develop the official plan? If so, what firm or person is the consultant?	
The new MNRF amendments have taken away the authority of local municipalities to restrict the depth of quarrying/pit excavation. However, the Municipalities still have the responsibility to protect the environment, including the groundwater/aquifers. Will the NOP recognize the difference between operations above, and below the groundwater table, i.e. recognizing that there are "dry pits" and "wet pits" and that they require different policies.	
with respect to the archaeological mapping will there be a list of what types and age of artifact that will require designation	
What role would the Region play in the process if archaeological features are discovered during construction? And will the archeological map be open to fine-tuning as time goes on?	
How will the proposed AMP impact normal farm practices	
I am so confused. Please explain the process of equitable application of the protection of prime agricultural area. We have prime tender fruit land at the bottom of the escarpment in Grimsby demolished for condensed housing, while useless clay land is being protected on top of the escarpment. We then see hamlets being allowed in some of the useless clay land area while other landowners, within the same area and with the same soil quality, being prohibited from land use change. This results in some taxpayer/landowners being disadvantaged financially without any clear equitable rationale.	
Would you please give the E mail address for the panelists.	
Has the Region considered completing a LEAR study, like other municipalities in the GGH have, instead of relying on the Provinces LEAR?	
Does the Region consider Cannabis production to be an agricultural use? Will it allow zoning by-laws that conflict with the Farm and Food Production Protection Act?	

Submitted Comments
Comment - really like that agriculture has been doing and will be doing diversity.

Wednesday, October 21, 2020

Infrastructure, Water and Wastewater, Stormwater, Transportation
Submitted Questions
If I understand the NOP goal (enviornmental protections) why doesn't the Region map aquafers in our rural areas - well systems are risk for groundwater contamination or removing protective covers in quarries in our rural communities
Will the aquifer used by rural residents in Wainfleet, Port Colborne and Fort Erie be identified as a drinking water source in the ammended ROP?
Mr.Lambert, the new waste water treatment plant proposal costing comes in at 345 million dollars can you let me know how the costs would be recovered for this ? I.E benifit to exsisting and new growth I.E DC charges knowing that we are eliminating many pumping stations
Will the new Official Plan address the large increase in demand on water, effluent management and solid waste management created by the growth of the cannabis industry in the Region?
As far as quality of water being supplied to our homes, is that something that is handled by the individual municipalities, or is that something that falls under the Region?
Is there any water /wastewater servicing proposed for Wainfleet and is the capacity there for the build out of Rolling Meadows development in South Thorold?
thank you. Transit - does the plan support expansion of Regional transit routes? If so, what is the timing for expansion?
when the new waterwater treatment plant will start to function?
Why are there so many barriers to getting vegetative swales instead of conventional curbs and gutters? There is also a problem such in the old Town of Niagara on the Lake of these swales being converted to concrete curbs despite community opposition.
How could more progress be achieved in getting more roof gardens to reduce storm water runoff in Niagara. Some municipalities, notably Toronto has by-laws to encourage this. Could this be started in Niagara?
Can you share what the current impact our waste "sewage" water has on our lakes?
Can you explain how the development of the new OP will take into account the need to reduce carbon emissions in order to mitigate climate change?
How does the Regional plan promote housing options that allow for better public transit / active transportation?
Will Wainfleet be required to contribute to the cost of urban wastewater plans? There is no benefit to us!
Transit - does the plan support expansion of Regional transit routes? If so, what is the timing for expansion?
Does your mapping include the businesses that are licenced to take water, the amount allowed and if discharged, to where is it discharged and in what condition?
Parking lots are big generators of storm water. Could an effort be made to have some of this volume go into swales and other vegetative areas. Right now vegetative areas around parking lots do not receive water flow from them.
Are there plans to amalgamate the existing local transit operations with the current regional system and to establish a single transit service, similar to what has occurred in Durham and Waterloo for example?
Provincial policy restricts expansion of the water / sanitary network to certain situations - How often are these situations invoked to justify expansion? (e.g. Adjacent to settlement areas)

a biodiversity planning such as the City of Toronto can create needed habitats for storm water management in a natural way. riverine and buffers and stream edge and marshes, wetlands would help meet needed native habitats, will this be fully built in to the strategy????
Are there any current requirements for residential developers to include cycle and walking paths in their plans to make communities more sustainable?
How is the odor from waste water treatment plants monitored. Is there new technology to reduce the odor in the future?
Once the Official Plan has been finalized, is the language for directing each municipality 'shall', 'should', or a mix of both? (similar to what the region saw from the province)
Could the new sewage treatment plant in Niagara Falls have a forested buffer to reduce potential odour problems?
In Portland swales have been found to be complimentary to bicycle lanes. Could such an approach be developed in Niagara?
Has there been any talk from a regional level about removing/reducing parking minimums, or enforcing parking maximums, region wide? Is the region encouraging this?
how does the TMP correlate with the other parts of the OP considering we have no clear and concise mapping with regards to natural heritage areas and watershed mapping
Are local transit systems reassessing their schedules so a more reliable system is established to coincide with the increased schedules and investment of Regional Transit?
What is the process when a property in St Catharines has a change in the zoning and the property owner was not advised of this prior to the change? The property zoning had a negative effect on the value of the property and assessed value did not decrease. What should the property owner do to have this addressed and who should be contacted?
Is the Port Dalhousie water treatment plant going to be updated to handle the future increase in population due to the condominium growth in Port Dalhousie?
Is the cycling plan same as walking / hiking? Particularly (hopefully) if the routes are interconnected throughout the region.
What is the position of the group in regards to affordable rental development versus condominium development?
Is there a mechanism for community or organizations to make specific recommendations to the future OP?
Is the region considering any depaving initiatives as a means of improving biodiversity, permeability, and even food security (through urban farming)?
Will the group allocate funds for site specific damages to properties caused by the water shed and man made solutions that had a negative effect on a property? Or at least perform research
Do you actually have a committee made up of public members that you consult with - talk out with?
How often do you hold these forums?
Is there a defined list of waste water projects for the region based on priority
Is this the first time I heard of a specific Growth Management session?
Submitted Comments
We are pleased that there are no plans to expand water/waste water system in Wainfleet . Have spent considerable money to keep our septic systems up to date and do not support having to pay for additional waste water infrastructure that is not needed
All of the documents that are being sent out to individuals should be posted for others to review

Hurray more forums!!! I appreciate all your work on this plan and allowing the community to have a voice.

Appendix 3 - Key Themes from Employment Policy Survey

Key Themes from Employment Policy Survey

- “Jobs”, “Economic Diversity”, and “Skilled Labour Workforce” are the most commonly prioritized employment themes, with “Jobs” being consistently ranked as the highest priority amongst all themes.
- Niagara is a good place for skilled labour jobs, but its employers do not offer competitive wages compared to employers in the GTHA.
- Niagara must do more to attract employers that require skilled labour jobs and offer competitive working wages.
- Niagara is a good area to locate a new business and has amenities and infrastructure that is attractive to employers.
- Niagara should harness its existing economic strengths, while diversifying its economy by attracting new employers and economic sectors that it is typically not known for.
- Niagara must proactively plan for short- and long-term employment needs, including strategically protecting lands outside of urban areas for future employment opportunities.
- If given the choice, people would rather work in Niagara than in the GTHA.
- People who live in Niagara did not move here for its unique employment or economy, as job opportunities in Niagara can be found elsewhere in the GTHA.
- Niagara should prioritize municipal servicing and infrastructure for employment uses, including proactively providing servicing to vacant employment sites to make them more marketable.
- Employment development and redevelopment should be integrated within existing communities wherever possible and should blend with community character.
- Employment uses should be located with similar employment uses.
- Niagara’s commuters have limited transportation options to get to work and would consider using an alternative means of travel, other than private vehicle, to get to work, if it were reasonable and accessible.
- Niagara should encourage employers to promote transportation demand management practices and reduce surface parking spaces where possible.
- Employer needs, such as physical assets and building space, may shift as a result of the COVID-19 pandemic.
- Jobs that have transitioned to work-from-home jobs as a result of the COVID-19 pandemic may remain as such after the pandemic.



GROWTH MANAGEMENT SURVEY RESULTS

Report No. PDS 38-2020 | Wednesday, December 9, 2020 / Planning and Economic Development Committee
Alexandria Tikky, Planner, Long-Range Planning Division, Niagara Region

Growth Management Survey Background



The **Growth Management Survey** was initiated to receive feedback on key growth management objectives and priorities.



The survey was posted on **September 14, 2020**. It was advertised on the Region's Twitter and Facebook pages and at the Growth Management public webinar.



The survey was live for one month and closed on October 14, 2020. It received a total of **217 responses** and **102 comments**.

Growth Management Survey Format

Three-Step Process

01

Respondents asked to rank key growth management priorities in order of importance

02

Respondents asked to rank statements associated with their selected areas of interest.

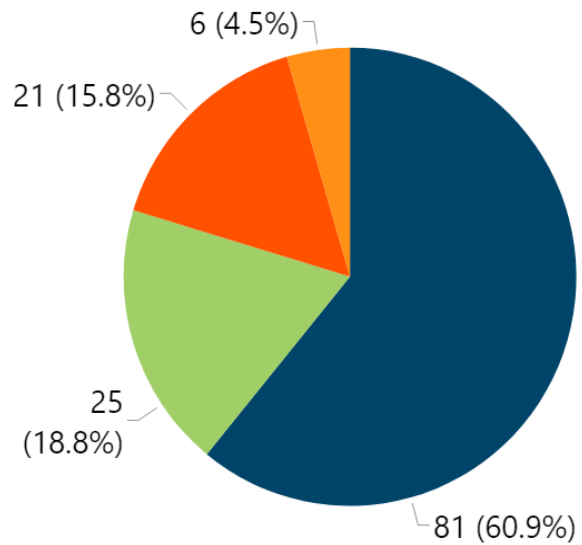
03

Respondents asked to select preferred options between growth management scenarios.

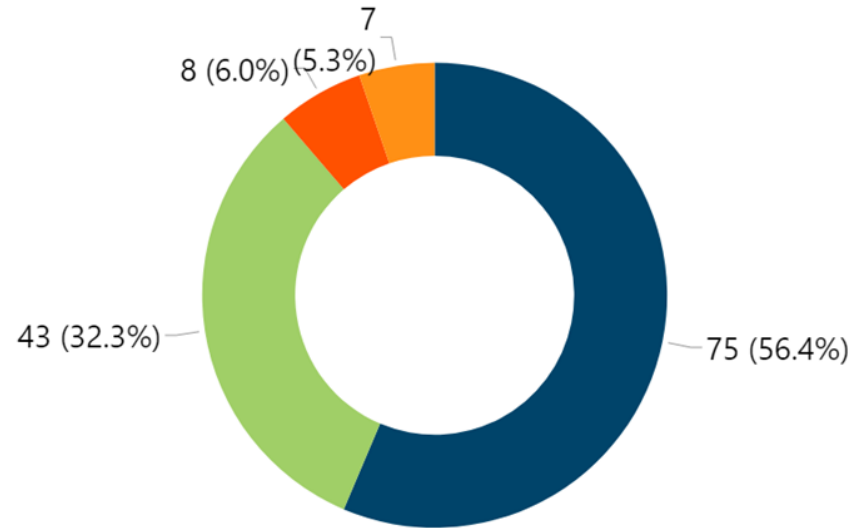
Respondent Demographics

Total Respondents: 133

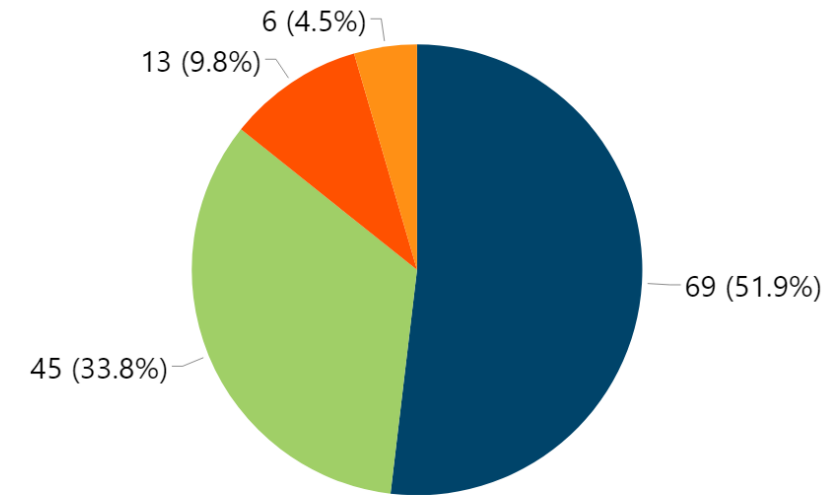
How long have you lived in Niagara?



How old are you?



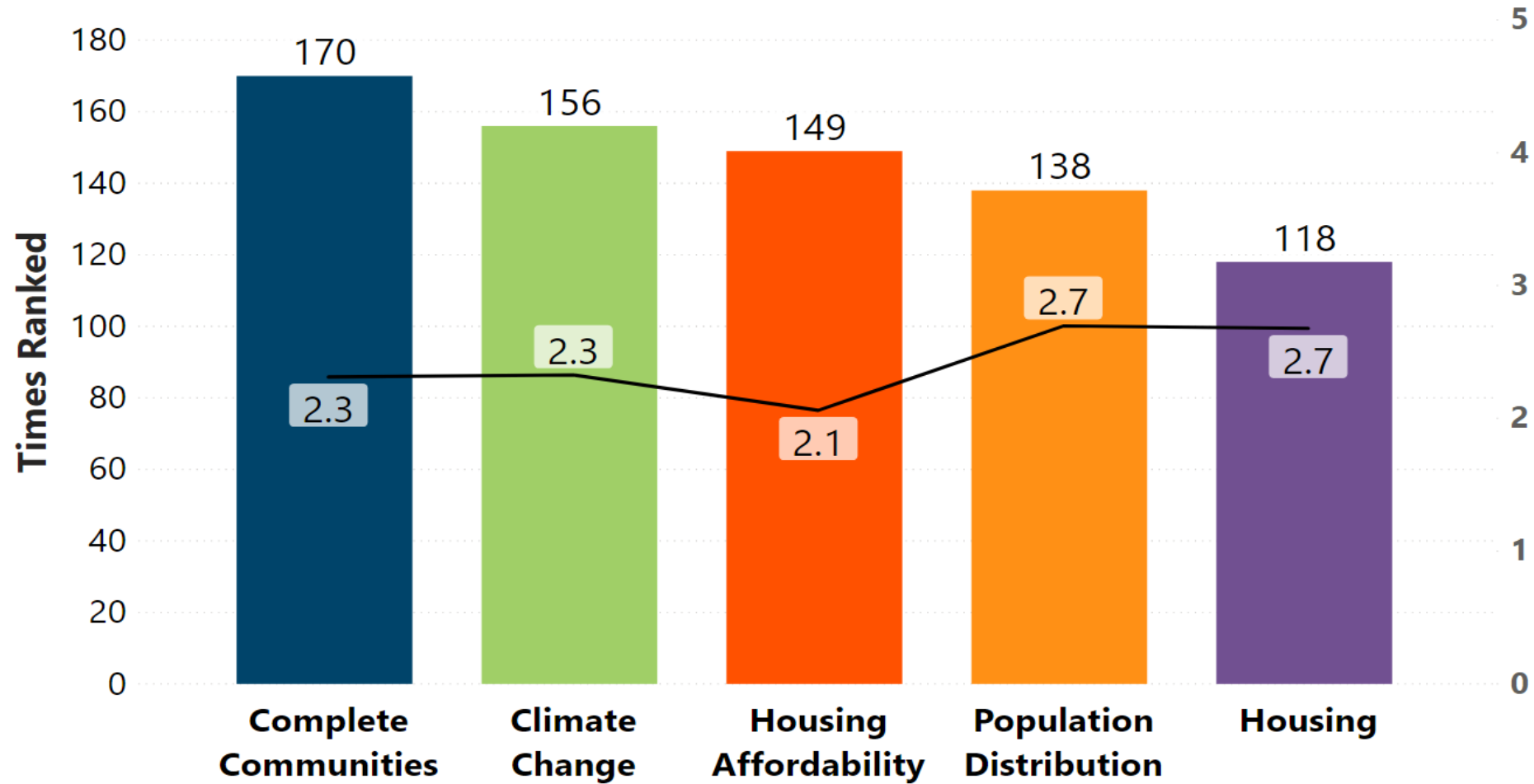
How many people live in your household?



Theme 1

Balanced level of interest between topic areas.

Growth Management Topic Priorities Ranking Results



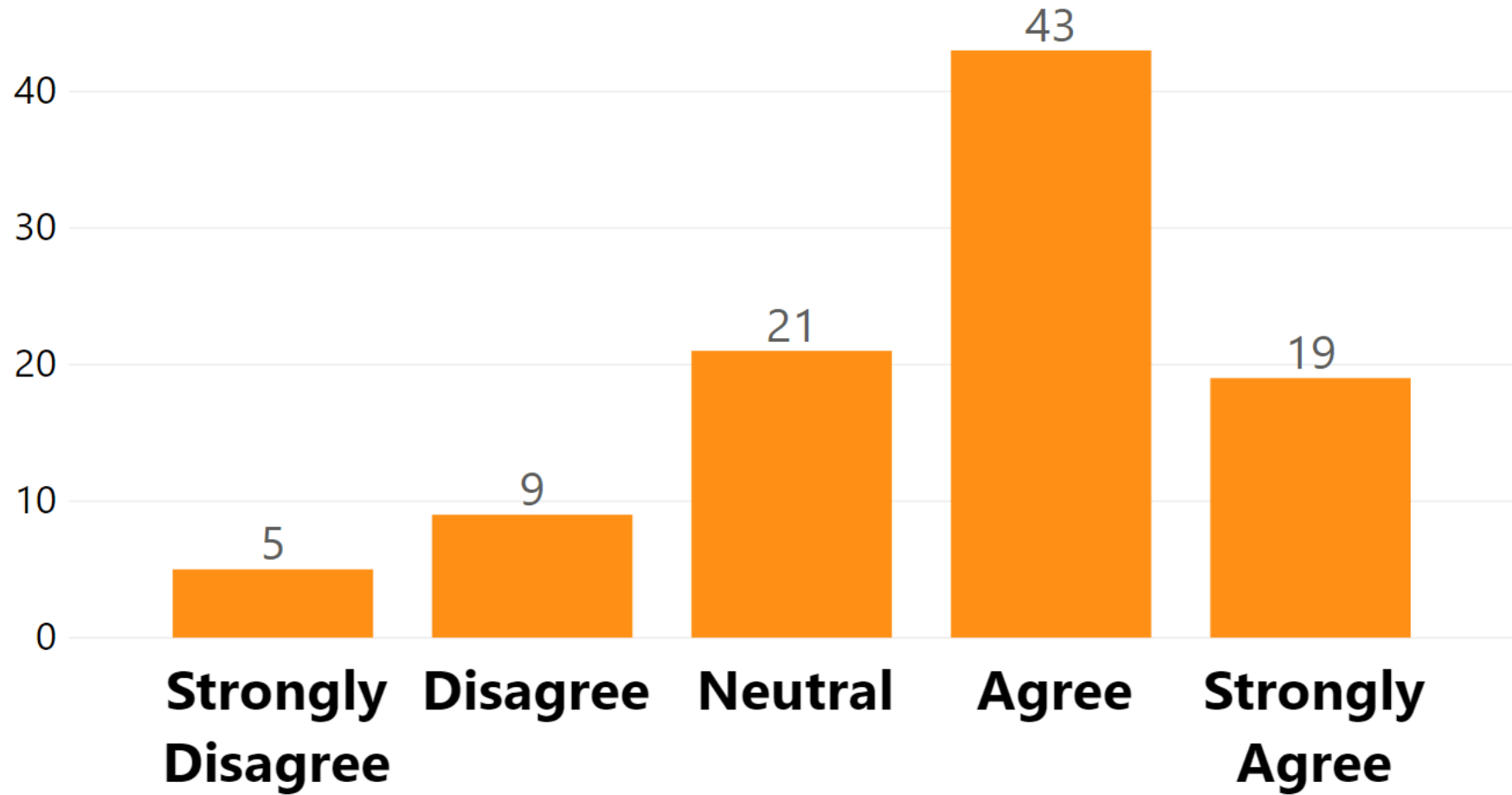
NOTE

A rank of "1" indicates highest priority. A rank of "5" indicates lowest priority of those ranked.

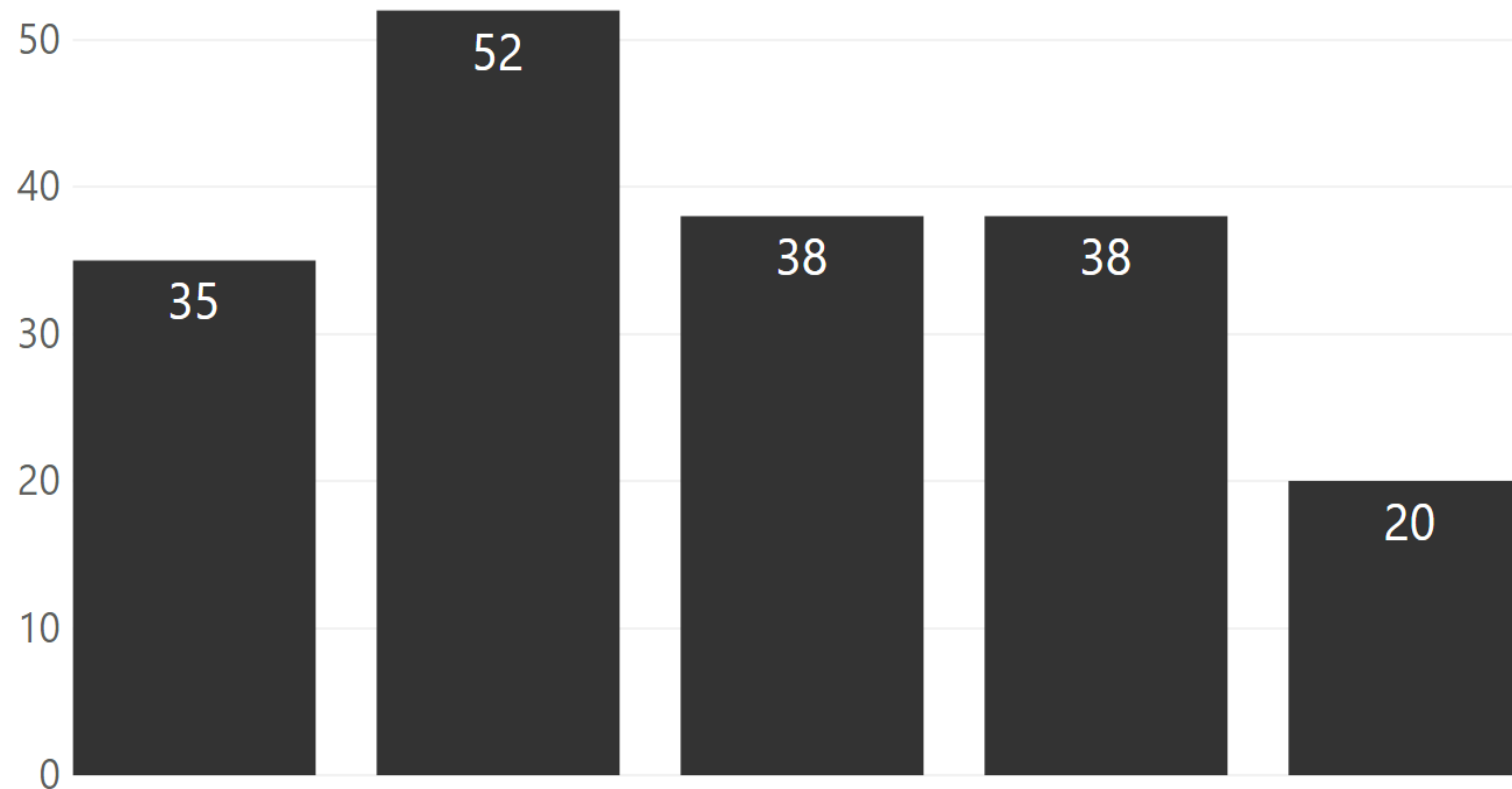
Theme 2

Public alignment with Region's key objectives and priorities.

Specific areas within municipalities should be identified to accommodate a majority of future population growth.



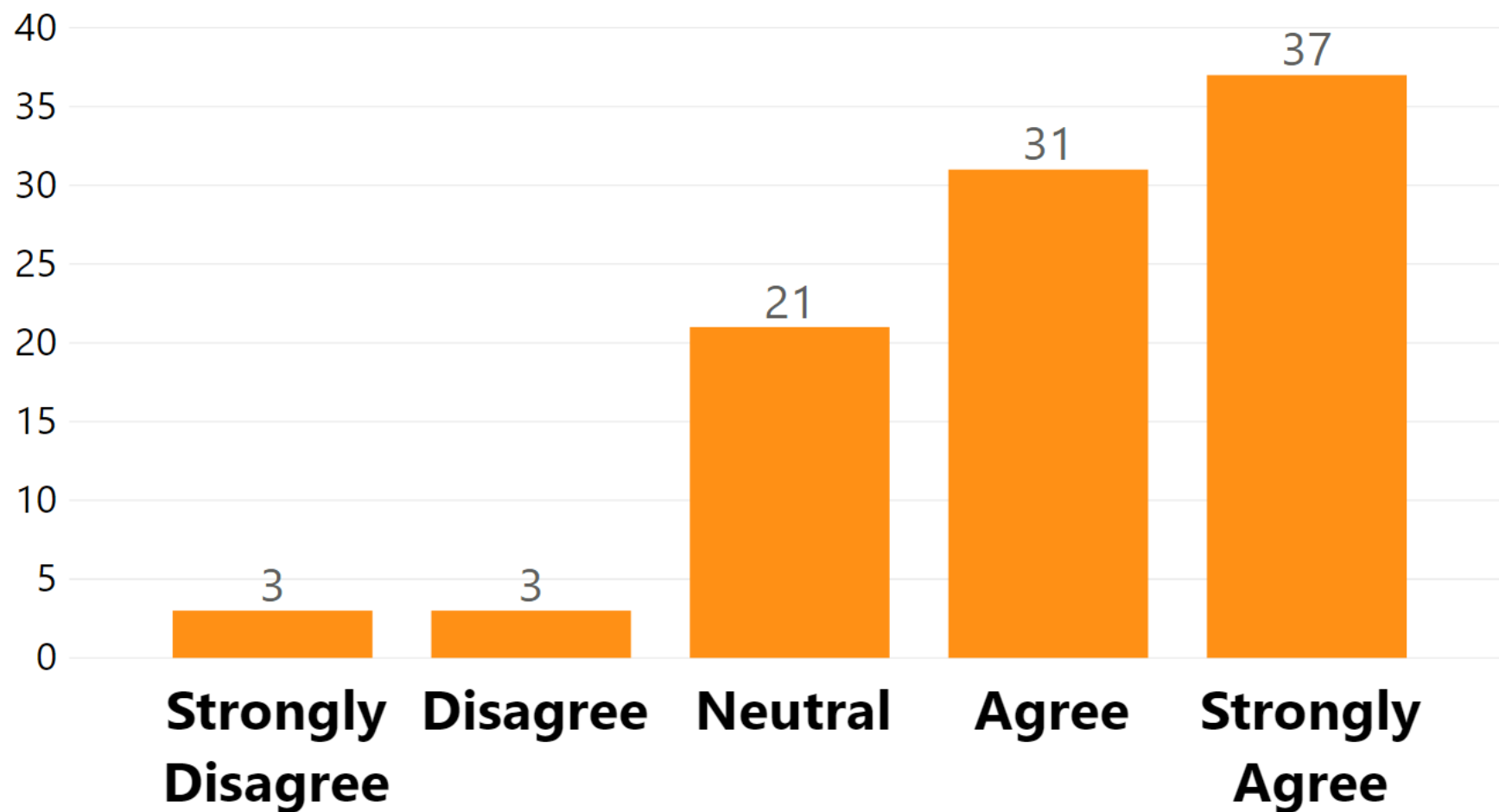
Where should population growth be directed in Niagara?



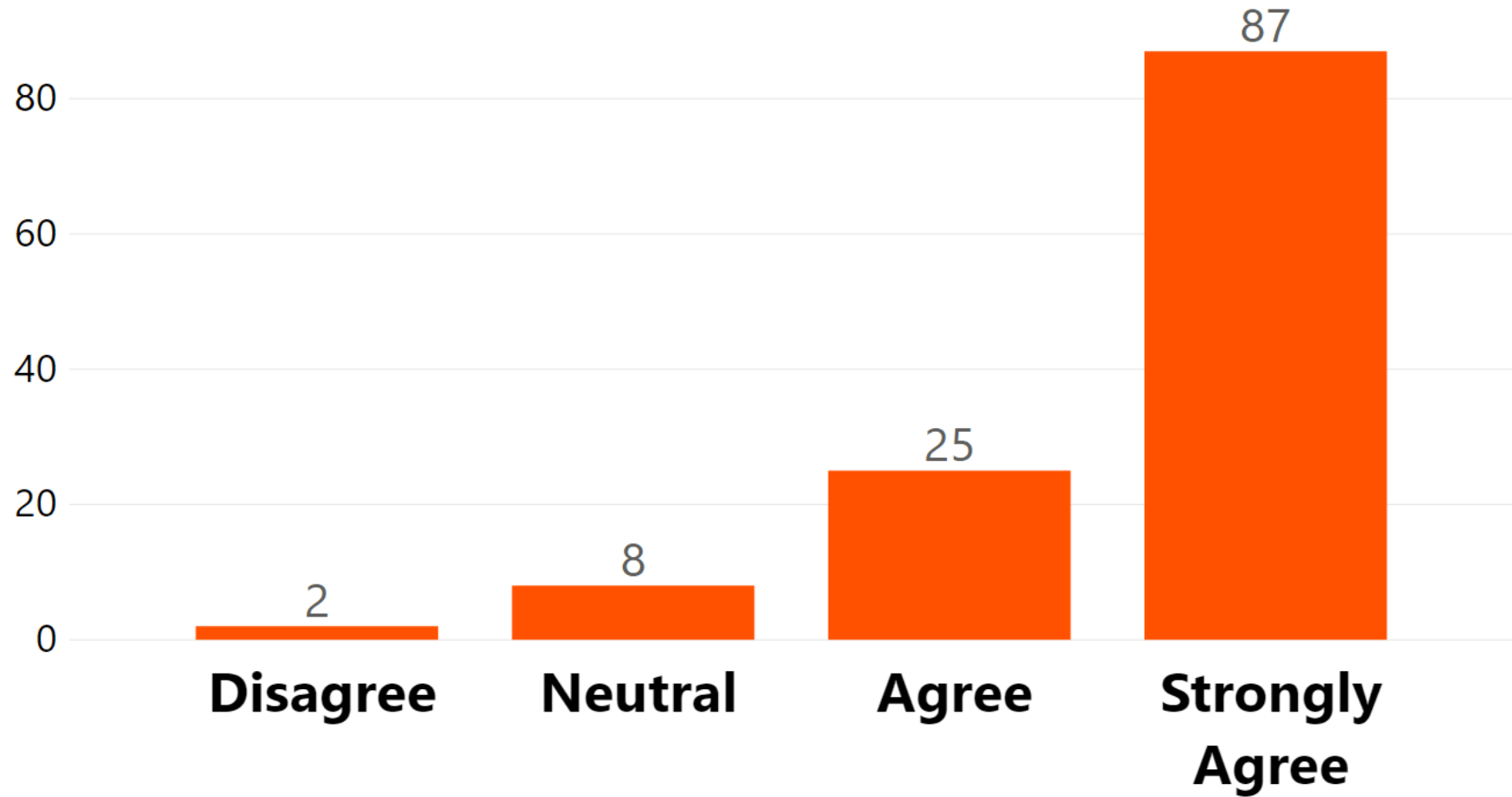
Strategic Growth:
Focus growth in core areas, such as major redevelopment, GO Stations, Downtowns.

Even Growth:
Balance densities throughout existing residential and commercial areas.

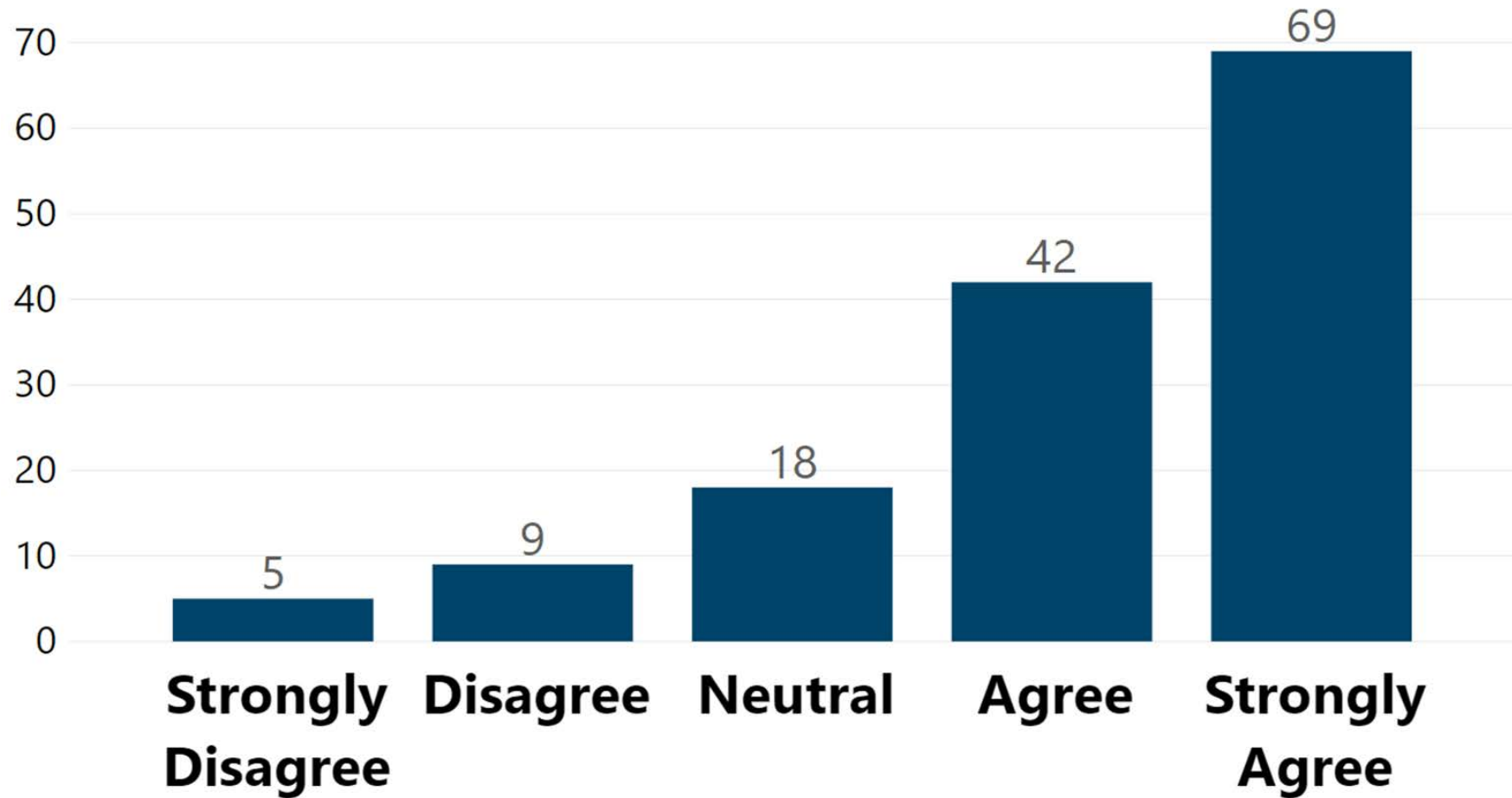
Detailed planning studies, such as secondary plans, should be undertaken to direct growth in the context of local priorities.



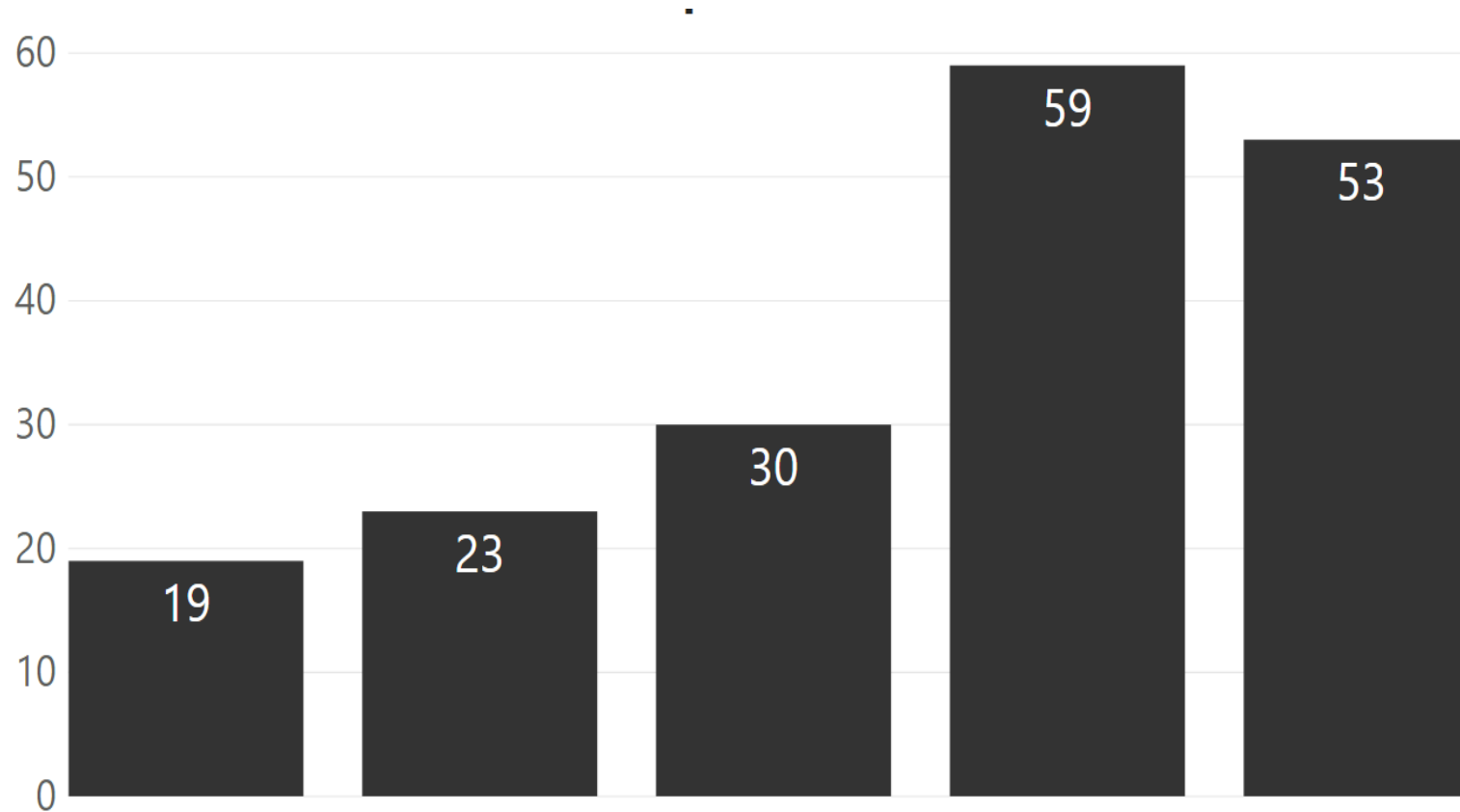
More affordable housing options are needed within my municipality.



Providing a diverse mix of housing, including affordable housing, is an important component in achieving a complete community.



Should neighbourhoods contain a variety of housing forms and options?



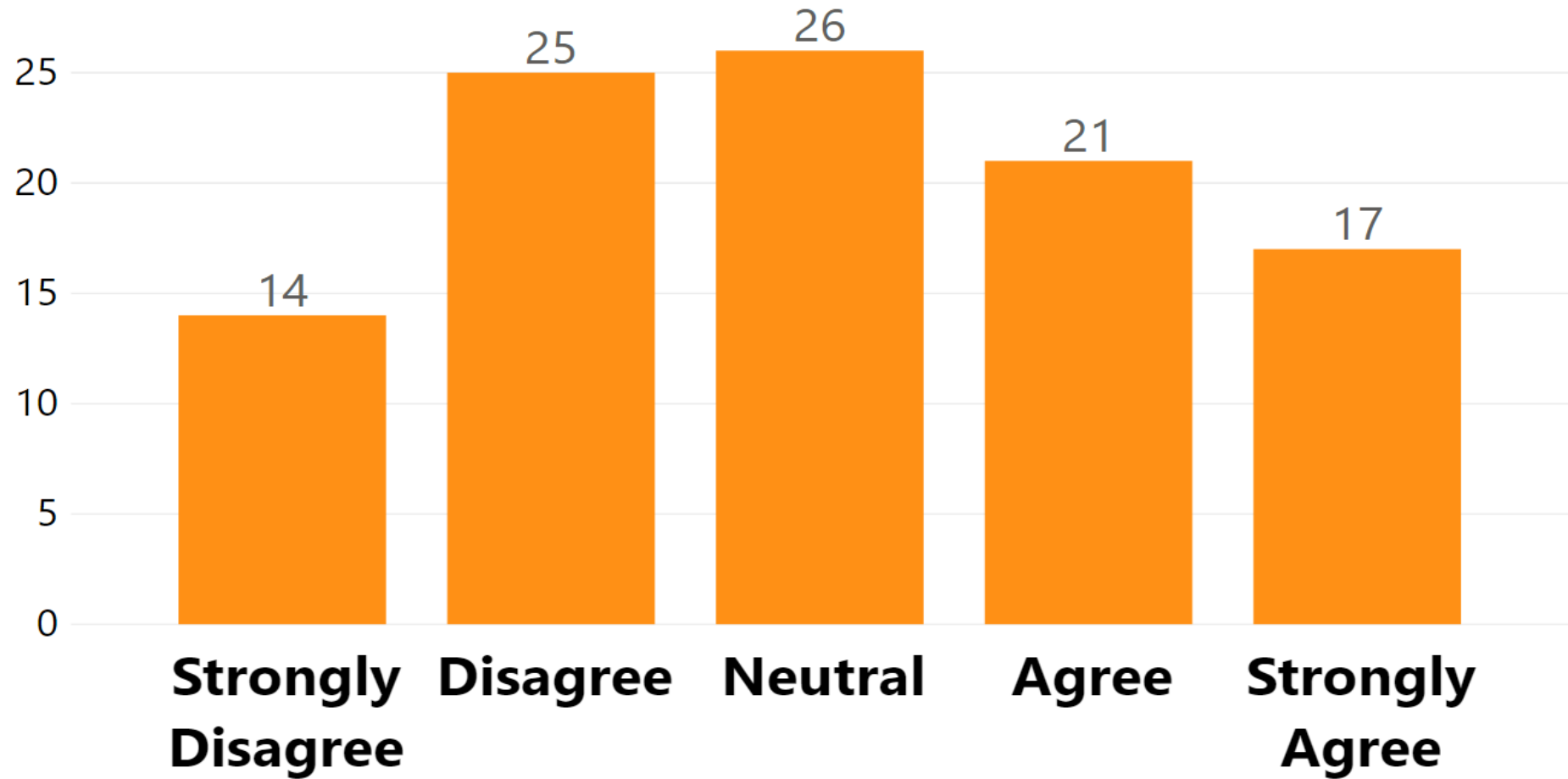
Maintain Housing Character:
Maintain form of existing communities; provides less housing options for residents.

Increase Options:
Develop a variety of dwelling types; provides more housing options for residents

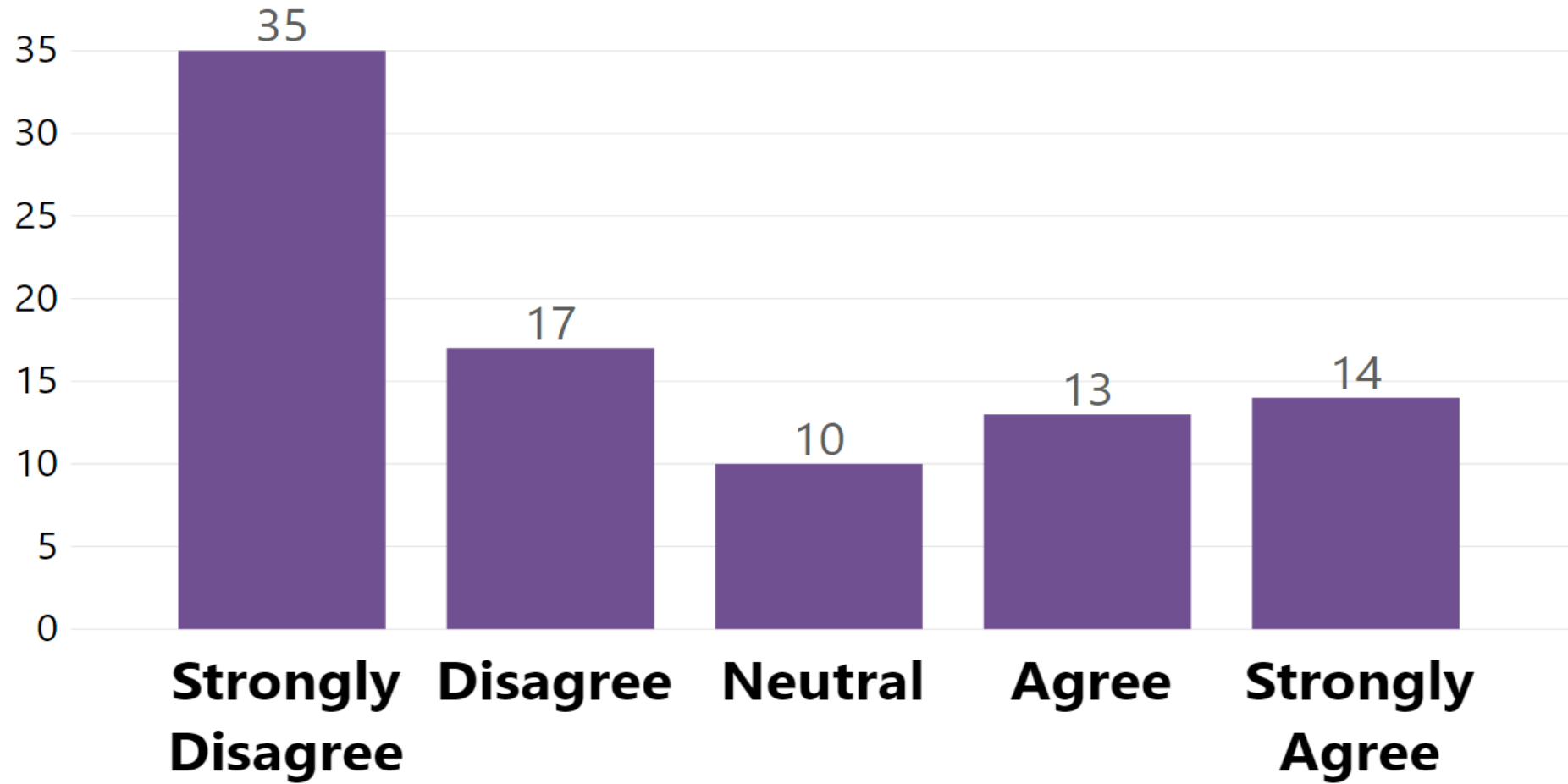
Theme 3

Opinions shift when asked about growth at a neighbourhood level.

Population growth has a positive impact on the community.



My neighbourhood would benefit from the introduction of well-designed, denser forms of housing.



Next Steps for the Growth Management Program



The survey results align with the existing growth management work program.



Staff will collaborate with Area Planners to ensure the new Official Plan and related strategies address concerns with growth on the local level.



Survey responses and comments received will be considered in the development of detailed policies for the new Official Plan.

Subject: Growth Management Survey Results

Report to: Planning and Economic Development Committee

Report date: Wednesday, December 9, 2020

Recommendations

1. That Report PDS 38-2020 **BE RECEIVED** for information; and
2. That a copy of Report PDS 38-2020 **BE CIRCULATED** to Local Municipal Planning Directors.

Key Facts

- The purpose of this report is to inform Council of the results of the Growth Management survey.
- The survey was initiated to gather public input on the Region's growth management work program, including population distribution, housing, housing affordability, climate change and complete communities.
- The survey was live from mid-September to mid-October and received 217 responses and 102 comments.
- Survey results suggest the public is generally aligned with the Region's key growth management objectives and priorities.
- The feedback received on the Growth Management survey will inform the development of detailed policies for the new Official Plan.

Financial Considerations

The costs associated with hosting MetroQuest surveys are accommodated within the Council approved project budget for the new Official Plan.

Analysis

On September 14, 2020, Regional staff initiated a public survey to gather input on the Region's growth management work program. This Growth Management survey formed part of an extensive consultation strategy for the new Official Plan, as described in Report No. PDS 35-2020 (being advanced at this same December 9, 2020 PEDC meeting).

The survey was created using MetroQuest, an online public engagement tool geared towards urban and transportation planning. Using MetroQuest's unique features, the survey requested participant feedback through a three-step process:

1. Respondents were asked to rank key topic areas, including population distribution, housing options, housing affordability, climate change, and complete communities, in order of importance.
2. Respondents were asked to respond in agreement or disagreement with associated statements for their selected areas of interest.
3. Respondents were asked to select preferred options between various growth management scenarios.

Written comments could be provided at each step of the survey.

The survey was posted on the Region's website, and advertised on both the Region's Twitter and Facebook pages and during the Growth Management public webinar on October 7, 2020.

The survey was live for one month and closed on October 14, 2020 after receiving a total of 217 responses and 102 comments. The survey results are outlined in **Appendix 1** and comments received are outlined in **Appendix 2**.

The survey results demonstrate the following:

- Respondents showed a balanced level of interest between the topic areas of the growth management program.
- Responses aligned with the Region's proposed key growth management objectives and priorities, indicating that the Region should:
 - Direct new growth and development to strategic growth areas;

- Provide or facilitate the development of affordable housing options;
 - Utilize sustainability measures to mitigate the effects of climate change;
 - Utilize secondary plans and other detailed planning studies as an important tool for managing growth in local communities; and
 - Pursue the creation of complete communities, which include a mix of land uses, a range of housing types and densities, access to transportation options and open spaces, and consideration for placemaking and urban design.
- Responses were less supportive of growth when responding to survey questions posed at the household or neighbourhood level, rather than posed as broad objectives.

With input from the survey results, Regional staff will proceed with the development of detailed policies for the new Official Plan in line with the existing direction of the growth management work program.

Staff will continue to collaborate with Area Planners to ensure that Official Plan policies and related strategies can support municipalities in addressing concerns for growth within their local communities.

Relationship to Council Strategic Priorities

Consultation on the growth management work program and the new Niagara Official Plan is important to address Council's priority as a Sustainable Engaging Government.

The growth management work program will also address Council's other priorities, including: Supporting Businesses and Economic Growth; Healthy and Vibrant Community; and Responsible Growth and Infrastructure Planning.

Other Pertinent Reports

PDS 35-2020 Niagara Official Plan-Report on Virtual Public Webinars

Prepared by:

Alexandria Tikky
Planner
Planning and Development Services

Recommended by:

Doug Giles, MES, BUP
Acting Commissioner
Planning and Development Services

Submitted by:

Ron Tripp, P.Eng.
Acting Chief Administrative Officer

This report was prepared in consultation with David Heyworth, Official Plan Consultant and reviewed by Isaiah Banach, Acting Director of Community and Long Range Planning.

Appendices

Appendix 1 Growth Management Survey Results

Appendix 2 Comments Received on the Growth Management Survey

Growth Management Survey Results

Total Respondents: 217

Survey Hosts:



Survey Duration

Start Date: September 14, 2020

End Date: October 14, 2020

Prepared by:

Planning and Development Services
Community and Long Range Planning

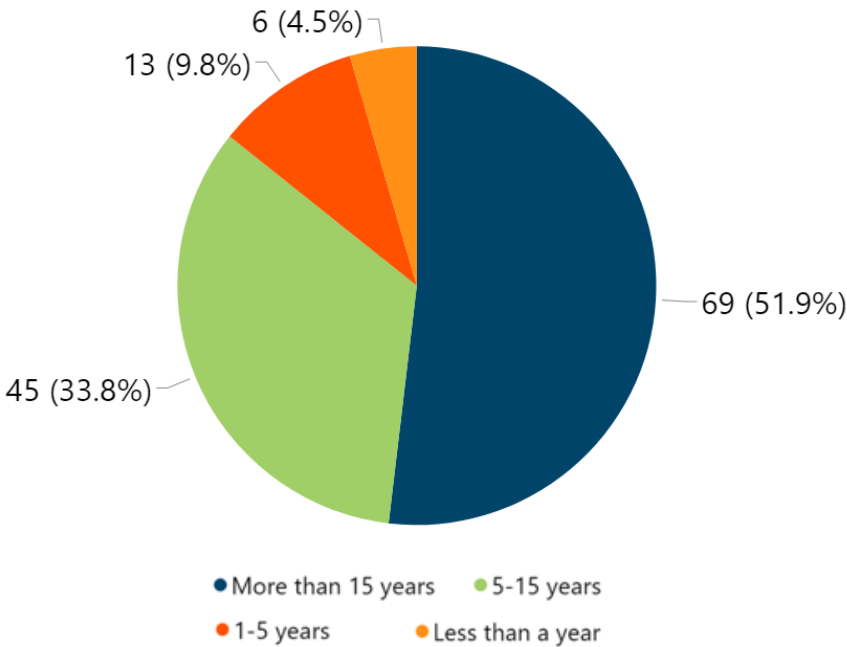
Respondent Demographics

Total Respondents: 133

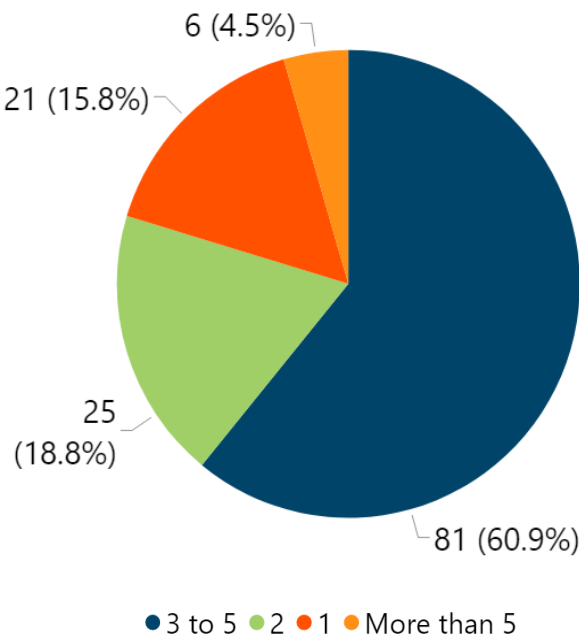
Important Notes:

- This was a voluntary and anonymous survey.
- Respondents could choose to answer all or some of the survey questions.

How long have you lived in Niagara?



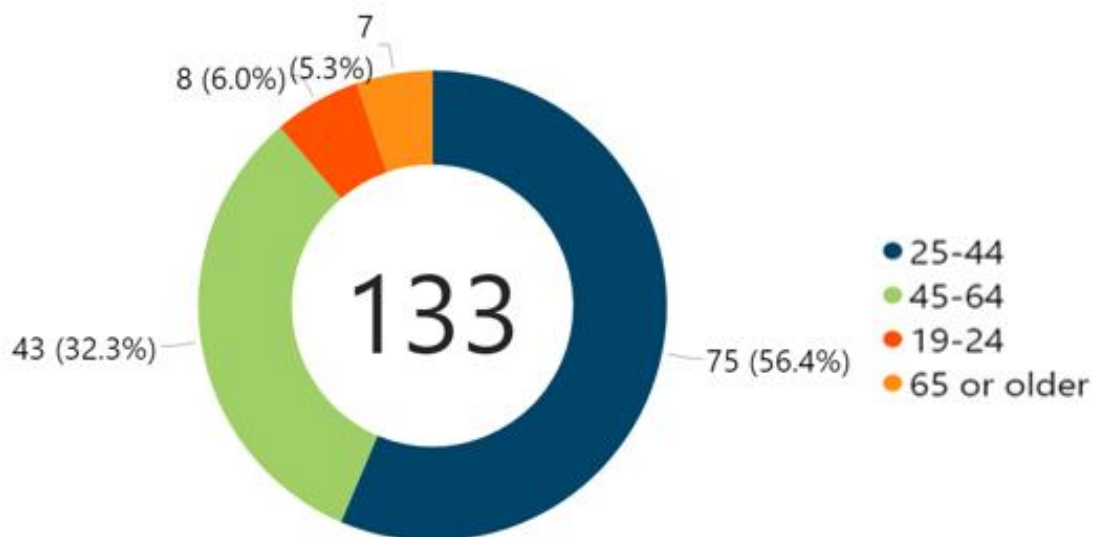
How many people live in your household?



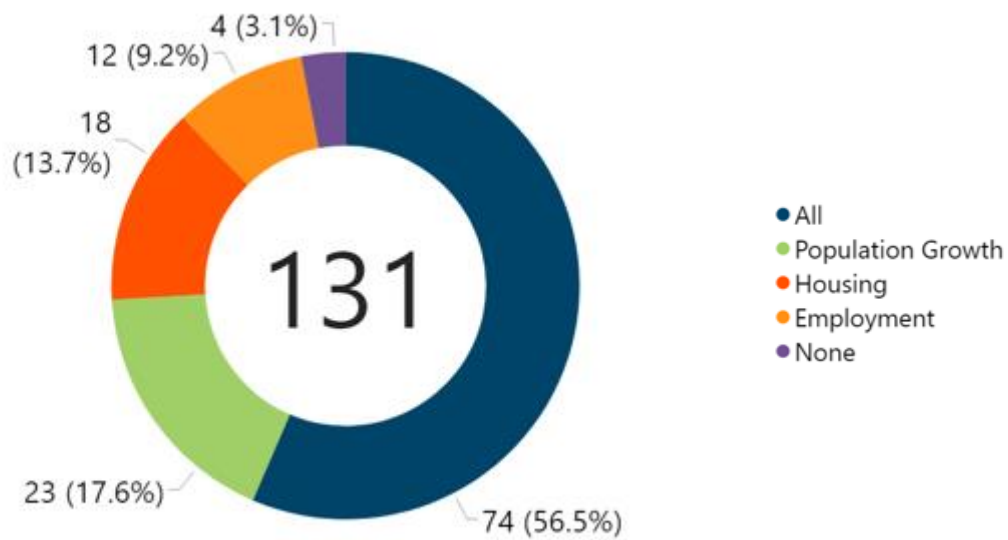
Respondent Demographics

Total Respondents:

How old are you?



Which issues are you most interested in?

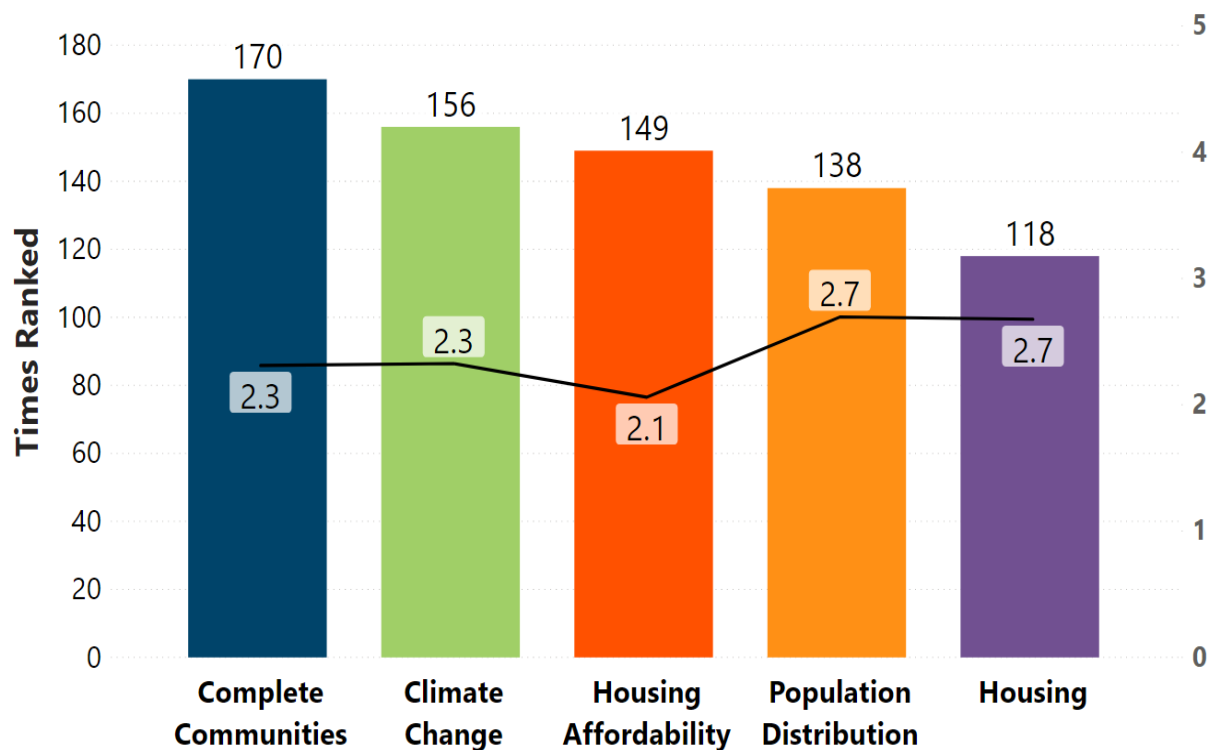


Growth Management Topics Priority Ranking

Important notes:

- 5 growth management topics were provided for respondents to rank by perceived priority.
- Respondents could rank up to a maximum of 3 growth management topics.
- A rank of “1” indicates highest priority. A rank of “5” indicates lowest priority of those ranked.

Please rank three of the following growth management topics by order of importance.



Growth Management Statement Rankings

Important notes:

- After selecting and ranking topic priorities, respondents were asked to rank statements associated with their indicated areas of interest.
- A “1 Star” ranking indicates the respondent strongly disagreed with the statement, while a “5 Star” ranking indicates the respondent strongly agreed.

3 Agreement Rating

Housing Complete Communities Housing Affordability

SCENARIO RATING

1) 2) 3) 4)

Providing affordable housing, is an important part of creating a complete community.

More about this

Agreement Rating
What to do

Let us know how strongly you agree with each of the following statements in your indicated areas of interest.
(**1 Star** indicates you strongly disagree with the statement, **5 Stars** indicates you strongly agree. Leave a comment to tell us what you think!)

1 2 3 4 5
Evaluate 5 items or more by rating each 1-5 stars

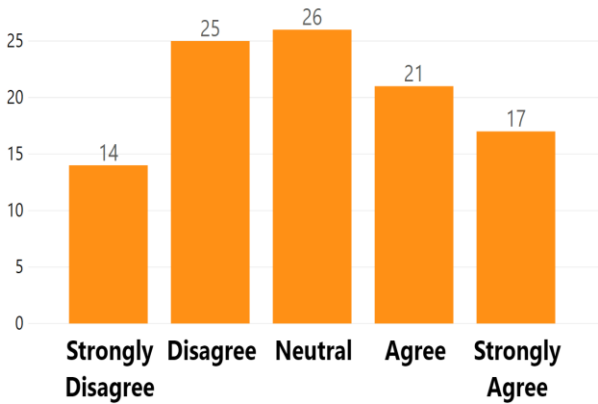
Optional Comment

Done More

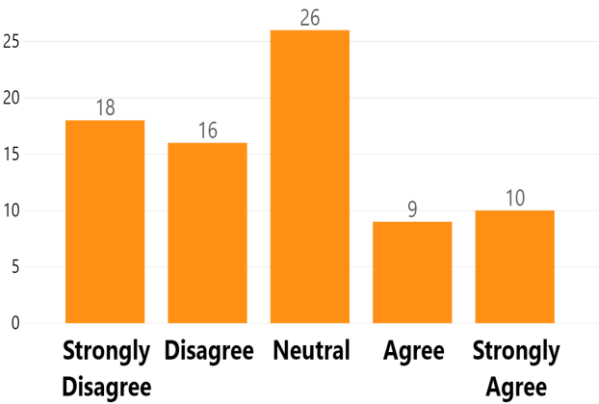
Previous Optional Comment Next

“Population Distribution” Priority Responses

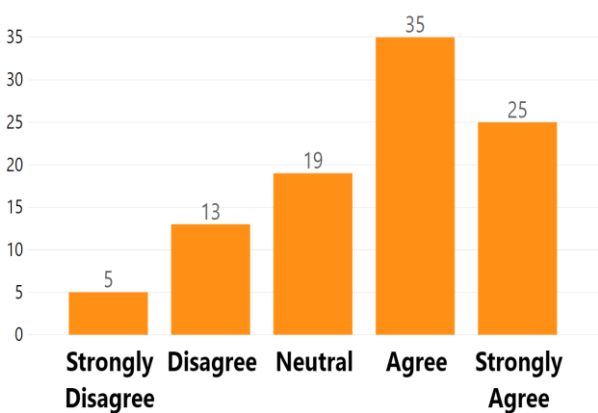
Population growth has a positive impact on the community.



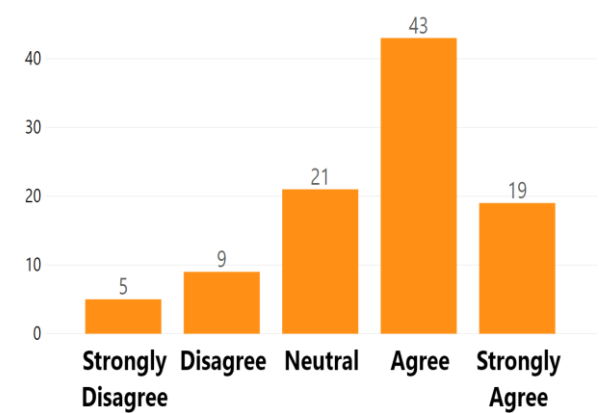
The Region should plan for municipalities to receive the same number of new housing units to accommodate its future population.



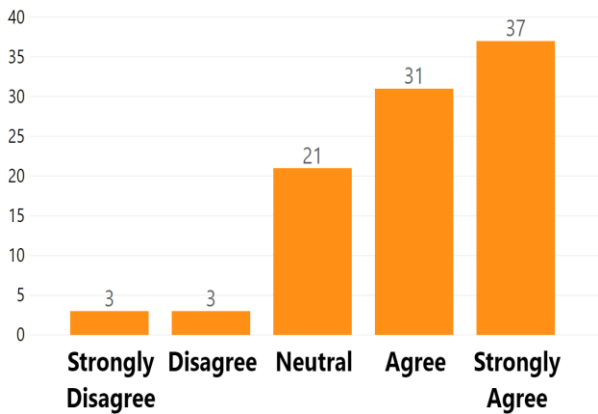
Population growth should be directed to areas that make better use of existing services and infrastructure.



Specific areas within municipalities should be identified to accommodate a majority of future population growth.

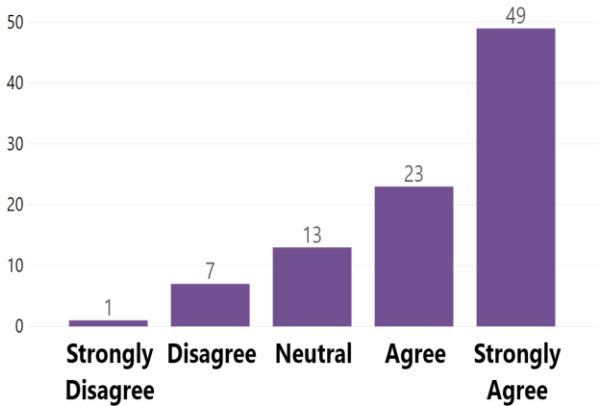


Detailed planning studies, such as secondary plans, should be undertaken to direct growth in the context of local priorities.

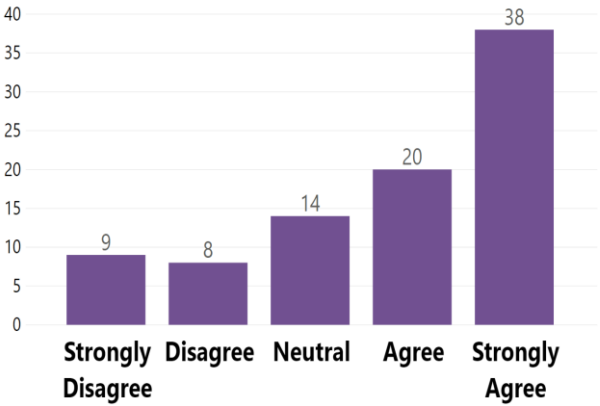


“Housing” Priority Responses

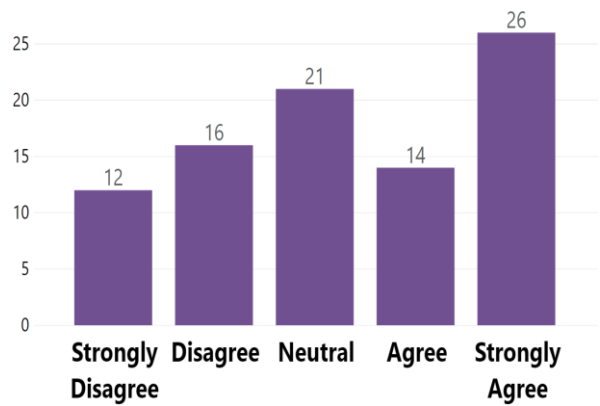
Neighbourhoods should contain housing for people at all stages of life and economic levels.



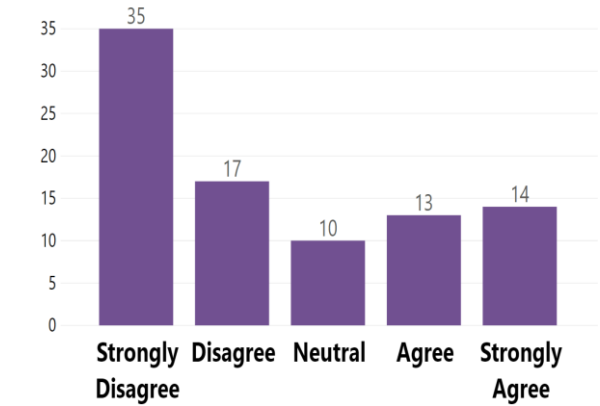
Neighbourhoods should contain a mix of housing types, including single-family detached dwellings, townhouses and apartments.



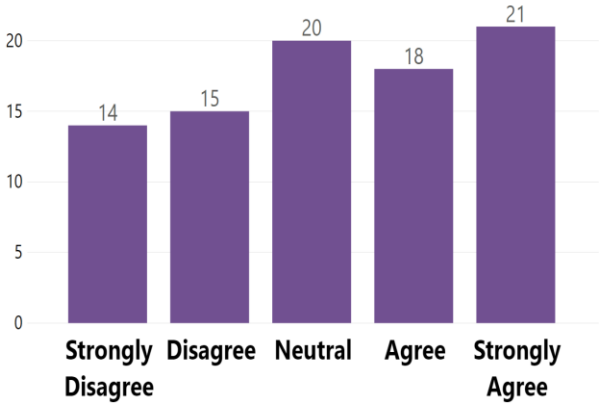
More dense forms of housing, such as multi-unit dwellings and apartments, is needed to house Niagara's future population.



My neighbourhood would benefit from the introduction of well-designed, denser forms of housing.

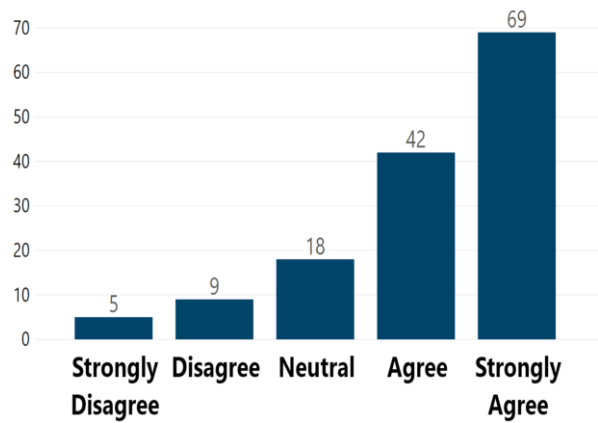


Adding new units to a basement, garage, or separate structure on an existing property is a good way to provide more housing options for the community.

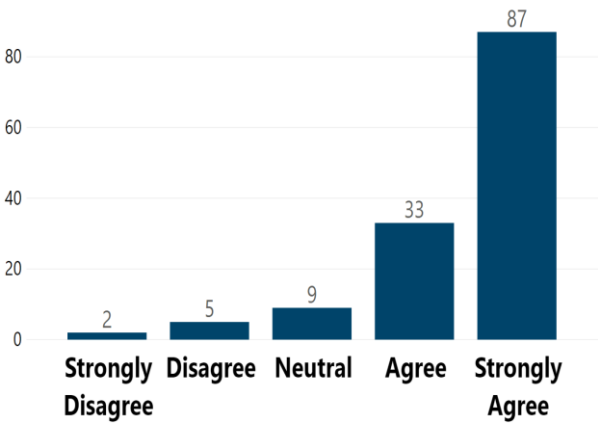


“Complete Communities” Priority Responses

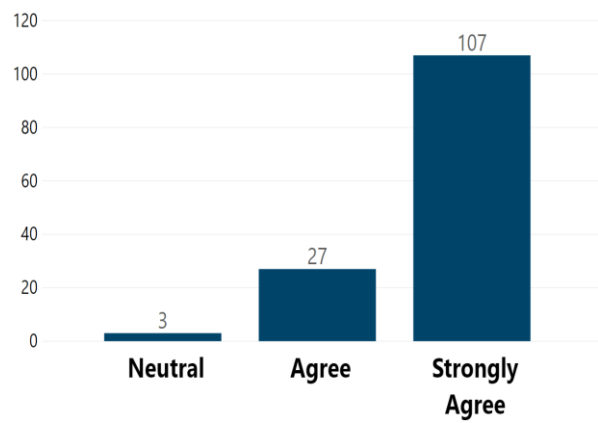
Providing a diverse mix of housing, including affordable housing, is an important component in achieving a complete community.



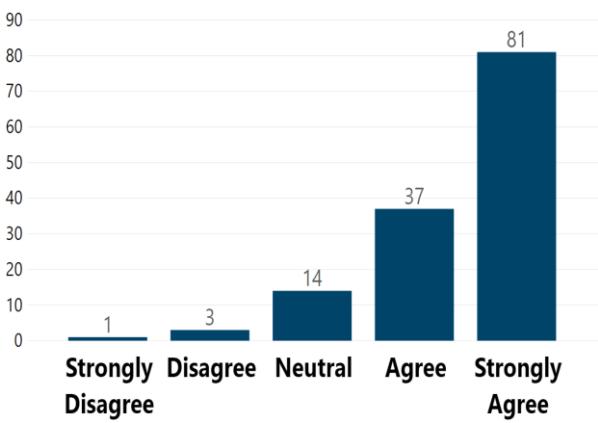
Providing a range of transportation options to reduce our reliance on cars is an important component in achieving a complete community.



Providing open space and recreational space is an important component in achieving a complete community.

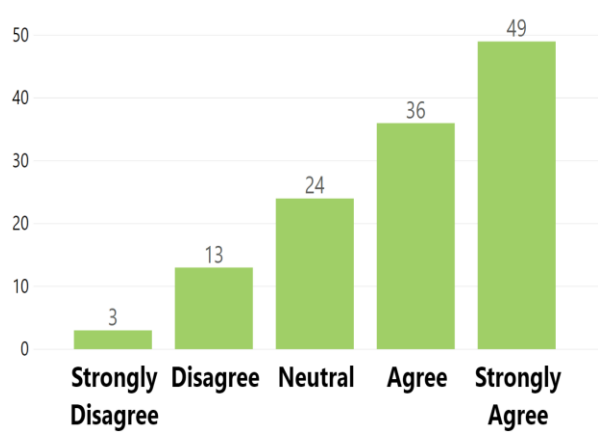


Having access to a variety of retail uses and public services and facilities is an important component in achieving a complete community.

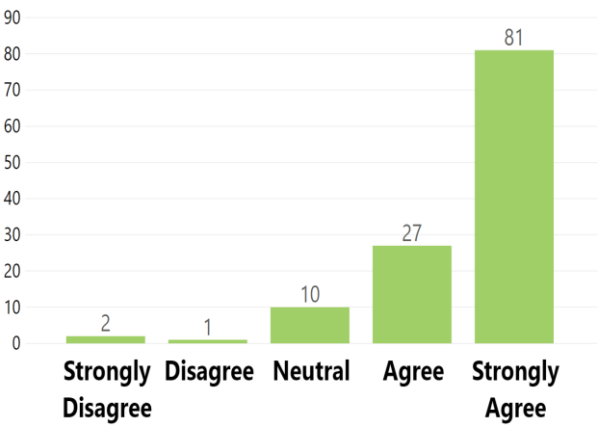


“Climate Change” Priority Responses

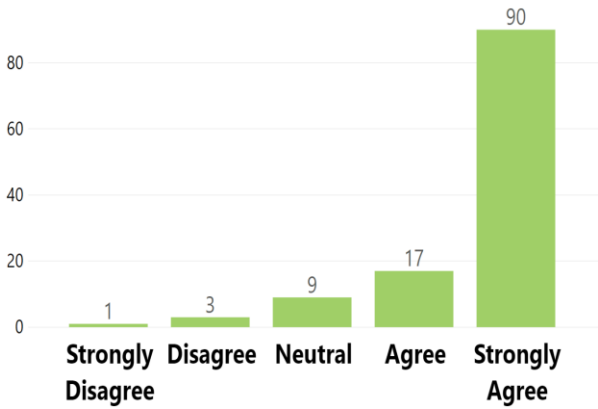
Population growth should be directed to built up areas to reduce the expansion of municipal infrastructure outside of urban areas.



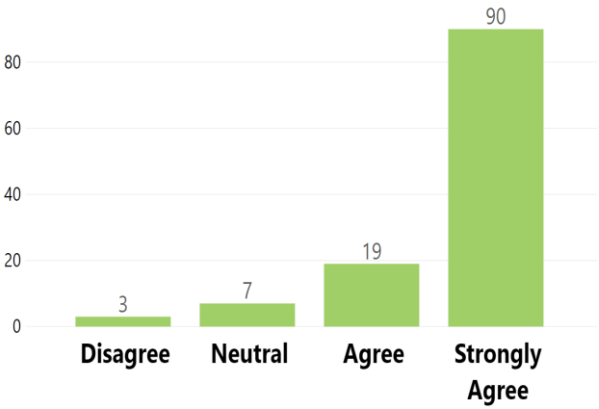
Communities should be planned with a mix of land uses and transportation options to reduce greenhouse gas emissions.



Development should support the use of renewable energy systems in the community, such as geothermal, district heating, and solar power technology.

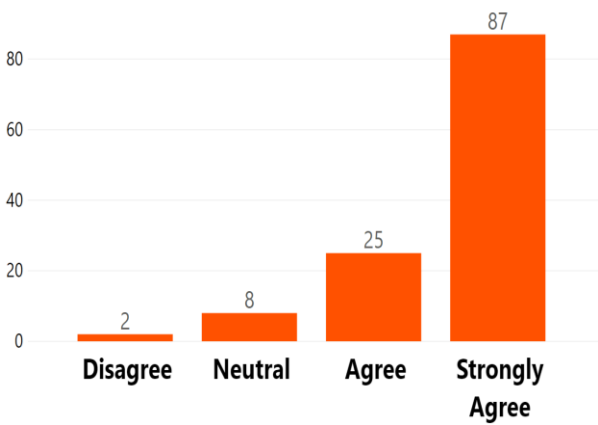


Development should utilize green infrastructure such as green roofs, permeable surfaces, natural channels, and increased tree cover, to reduce flooding.

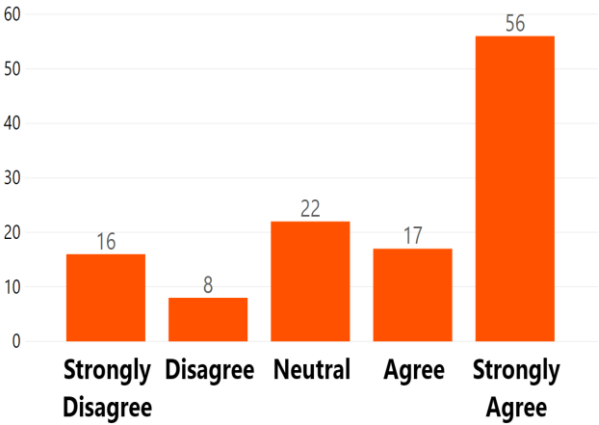


“Housing Affordability” Priority Responses

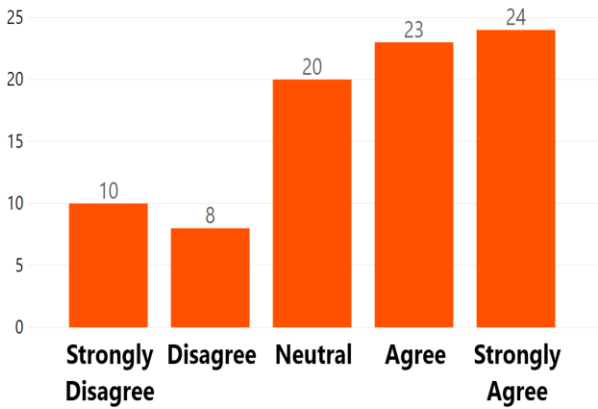
More affordable housing options are needed within my municipality.



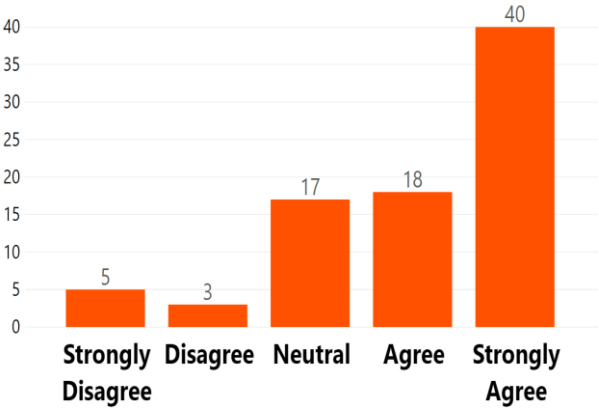
More rental housing options, such as multi-unit dwellings and apartments, are needed within my community.



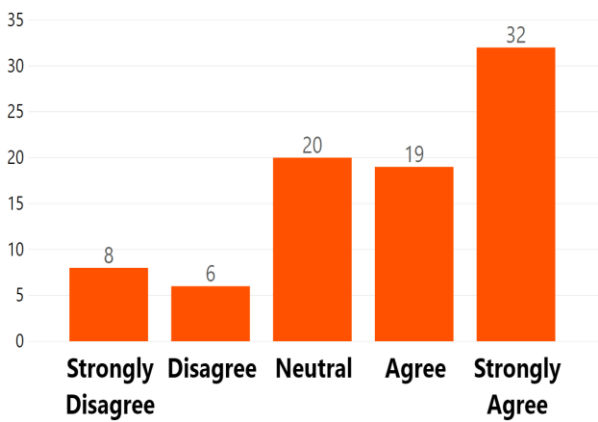
More dense forms of housing is required to enable seniors to live within my community.



A portion of all medium and high-density developments in my community should be dedicated to affordable housing.



Tax dollars should be used to develop or support the development of affordable housing.



Trade-Off Scenario Rankings

Important notes:

- The questions on the Trade-Off Scenario screen describe two opposing opinions on growth management planning.
- Respondents were asked to select the opinion they most agreed with. Selecting the arrow closest to the given scenario indicates strong agreement with that position.

4 Preferences

TRADEOFFS

Growth Density Distribution Housing Complete Communities

How should future growth be managed in the Niagara Region?
Choose the option that best shows which tradeoff you prefer

Develop at the edge of cities; higher servicing costs per home; more urban sprawl

Redevelop built up areas; lower servicing costs per home; less urban sprawl

Preferences
What to do

Indicate where you stand on each of the Tradeoff scenarios. Each image represents an opposing opinion in growth management planning.

Item 1 vs Item 2
Choose the option that best shows which tradeoff you prefer

« < Neutral > » Show your position on each tradeoff.

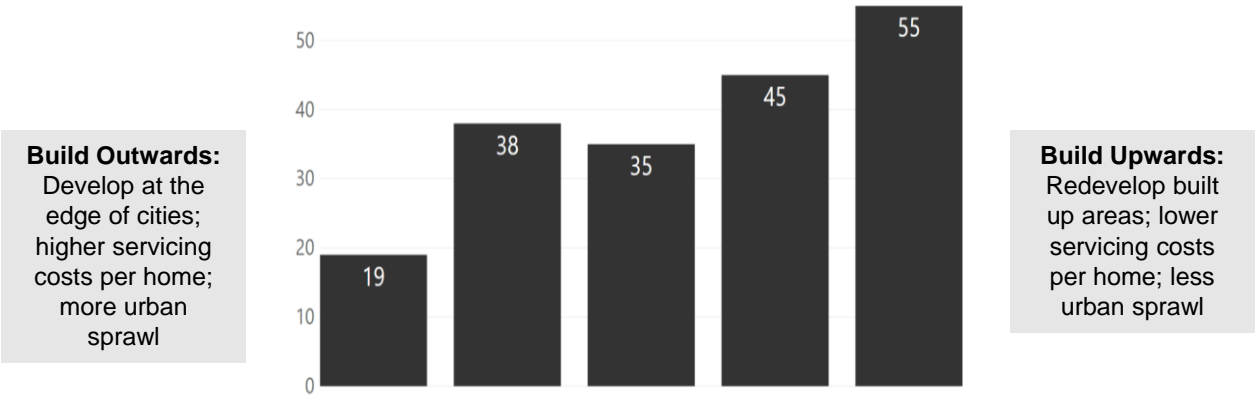
Done More

Build Outwards Build Upwards

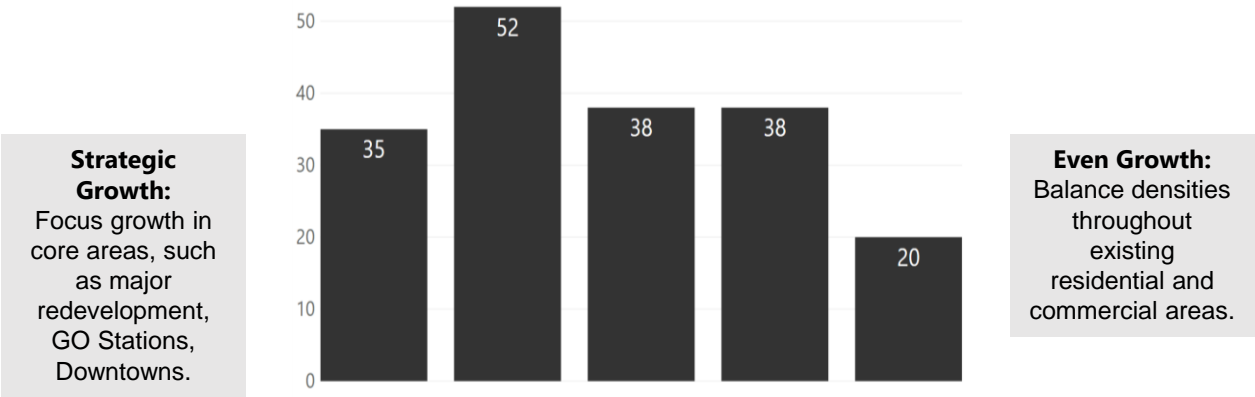
Previous Optional Comment Next Tradeoff

Growth Management Trade-Off Scenarios

How should future growth be accommodated in Niagara Region?



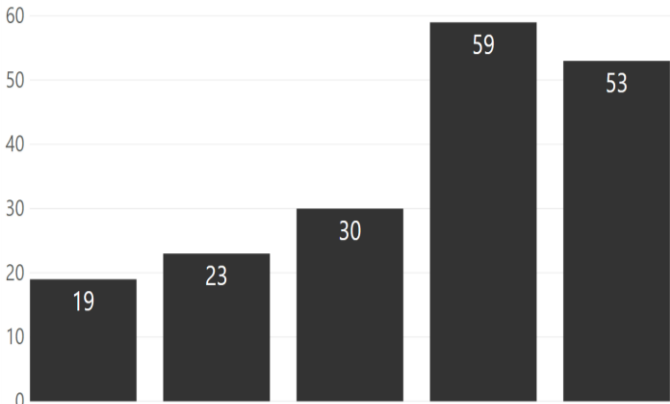
Where should population growth be directed in Niagara?



Growth Management Trade-Off Scenarios

Should neighborhoods contain a variety of housing forms and options?

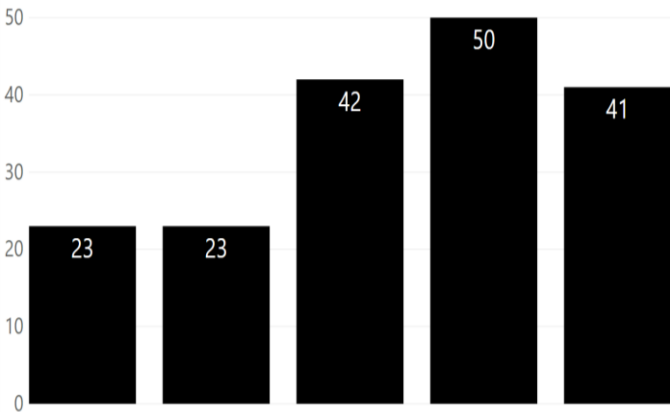
Maintain Housing Character:
Maintain form of existing communities; provides less housing options for residents



Increase Options:
Develop a variety of dwelling types; provides more housing options for residents

Should public funding be used to make our communities more attractive?

Development Implemented Public Realm:
Duty placed on private developments to invest in the public realm



Municipally Implemented Public Realm:
Duty placed on the Region and cities/towns to invest in the public realm

Growth Management Survey Comments Received

Survey Screen: Priority Rankings	
Question	Comments
Suggest another priority.	Access to outdoor amenity space i.e. parkland, trails, etc.
	Animal Habitat Protection
	Better paying jobs
	Convenience and Accessibility
	Preserve our heritage and Greenbelt
Rank Population Distribution.	Niagara has the best farmland in the world. It must be protected at all costs in order to help with Canadian food security. Population growth should be southern tier, on more marginal lands and must be accompanied by job growth, not merely commuter growth.
	Population in Grimsby is now too dense. Traffic congestion is a daily problem. With restricted arteries running through Grimsby surely the population cannot be increased.
	Too much of the woodland areas are being destroyed in the Niagara region. Soon for those of us that hunt there will be next to nowhere left.
Rank Housing Affordability.	Affordable housing is a need.
	Affordable housing that include 2 and 3 bedroom units should be provided. New development should not restrict "affordable" units to those that are less than 50m ² in size.
	Put a cap on the max amount big companies can charge for rent. Prices are astronomical right now based on a minimum wage salary. Even a 2 income at minimum wage is hard to afford these places.
	Take a look at California, housing is becoming unattainable by the average person and people are leaving in large numbers to places like Texas. We should be looking at how many policies and taxes have messed up California and how few policies and taxes are benefiting Texas as an example of what to do and what not to do.
Rank Housing.	No more town home subdivisions. No single car driveways. These all lead to parking on the street causing congestion and an unsafe community.
	The condo to be built in Main St is incomprehensible. Traffic is already congested. Too much traffic downtown deters people from going there.

Rank Complete Communities.	Complete communities will attract more people.
Rank Climate Change.	I don't know why this is such a strong point in politics these days... it's important that we take care of the environment around us, but everything has its up sides and down sides. Let the free market decide how we do things and let the individual home purchaser decide if they want to have green energy on their property, or a passive home.
	We should protect our parks, bench green space and waterfront. High density buildings such as the ones planned for Grimsby make sense in larger communities. I do not want to lose our waterfront, but do expect those areas to be developed. There needs to be a balance between housing, commercial, entertainment, green space and roads. The highway Toronto bound is backed up from Fruitland Road through Mississauga. What is the plan to expand the highway and Burlington Skyway? No one is interested in 4 hour commutes to and from.
	You can't have high density without affecting the environment. Increase carbon emissions, increase highway travel affecting bird migration, etc.
	You need infrastructure to support the growing population. Expand roads to accommodate cyclists and fix the crumbling main roads.

Survey Screen: Ranking Statements	
Question	Comments
Population growth has a positive impact on the community.	I love the diversity that growth will bring. But I am not going to sacrifice 10 years of traffic, congestion, bad roads, higher taxes, and so on. I moved to Grimsby in 1986 and we were just about. Today we are nearly doubled, but the area feels congested. How will adding more high density homes in a restricted area help? Developing the escarpment should not be an option. Mountain access is already slow and depending upon the season, dangerous.
	If additional taxes revenue used to fund an equivalent increase in infrastructure sure, happy to see the tax base increased. Must manage properly to ensure optimal use of funds.
	In the past perhaps, now, no! We are too full here, build somewhere else!
	It's too busy and congested. I moved away from the city to get away from dense populations.
	More people means more money to increase the quality of the town. Beamsville needs a facelift.
	Population growth can be positive if done correctly. What town council just approved in Grimsby at the Main and Elm development is an example of incorrectly. The traffic is already horrible on a good day. It's only going to get worse and there is no room to expand the street.
	This is true, as long as you aren't sticking large buildings anywhere you can fly them in order to house people. It has to be well thought out and run by the community for actual input (not just a formality, and ensuring there is adequate time for the community to respond). The community's feedback needs to be actually taken into account and not ignored or pushed aside to get projects completed quickly
	Too much takes away from small town feel and can negatively affect those already in these towns.
	We have too many people here. It is congested. Farm land is being removed to incorporate mass housing communities and subdivisions. We do not need more people here.
	While it can be good for the local economy, if done poorly without proper planning, using low end construction companies to save money we can do a lot of damage to our infrastructure

The Region should plan for municipalities to receive the same number of new housing units to accommodate its future population.	Optimization of existing housing and conversion of existing properties (condo or lofts from empty manufacturing or other facilities) should also be considered.
	The distribution of new expansion should be calculated by the town population divided by the regional population, and we all share the same identical percentage of growth. Not the same population growth
	This needs to be well thought out on a case by case basis, not just a numbers game!
Population growth should be directed to areas that make better use of existing services and infrastructure.	Where excess capacity exists.
Specific areas within municipalities should be identified to accommodate a majority of future population growth.	As long as public green spaces are included.
	Infill sprawl where possible.
	Niagara can't support more population growth. People are already unhappy and sick. Take care of what you have already first.
	Small communities should not be forced to grow. Cities should grow.
Detailed planning studies, such as secondary plans, should be undertaken to direct growth in the context of local priorities.	Community should have choice.
	Save the taxpayer some money and move some of this to proposed developments.
More rental housing options, such as multi-unit dwellings and apartments, are needed within my community.	It is better to make single family homes more affordable so people don't have to rent.
	The problem with rental housing is that the prices keep going up, to the point where it's arguably more expensive to rent than to own. If more rental housing options are made available, there'd need to be some form of pricing regulation to keep units affordable. Landlords in general seem to be buying up too much real estate and driving up prices of ownable homes as well. This is not sustainable. We need affordable rental housing AND affordable home ownership options.
	This area is crowded enough, please stop building apartments, where do you expect everyone to shop and park, its chaos here as it is with city people flocking here and rising the cost of living and rent! It's awful.
	Yes, please put more. However, none of the apartments that are going up in Grimsby by the lake are actually affordable rentals, especially for families.

More dense forms of housing is required to enable seniors to live within my community.	Just seniors? Density should be an option for all ages
	Yes, but can they be architecturally innovative. Have developers here ever been to another place? Beautiful dense affordable living is achievable. Not all buildings have to be brown and square.
A portion of all medium and high-density developments in my community should be dedicated to affordable housing.	They should all be affordable. There shouldn't be a stigma attached to a building as being "poor".
Tax dollars should be used to develop or support the development of affordable housing.	Taxes should not be raised to achieve this. Efficiencies should be found, and funds redirected for this initiative.
	The budget process should eliminate large tax increases and still allocate funds for affordable housing
	There should also be a tax on foreign and local owned empty rooms so we do not end up like with thousands of unaffordable empty units that could be used to house people.
	Yes, because tax dollars allow both municipalities and region to ensure "good planning". However, housing/retail/office developers should also "invest" in developing and supporting affordable housing. And, yes, the general public should be empowered to ensure that their tax dollars are working well.
Neighbourhoods should contain a mix of housing types, including single-family detached dwellings, townhouses and apartments.	Why would someone who currently owns a 3,400sq.ft. home want to be directly across the street from a semi or townhouse? You're negatively affecting them. Build net new neighborhoods with a good mix; that doesn't cause parking nightmares and clogged streets like Magnolia Drive in Grimsby as an example.
More dense forms of housing, such as multi-unit dwellings and apartments, are needed to house Niagara's future population.	Not in Grimsby.
	Only where appropriate!
	Rental apartments, yes. Neutral story or stacked townhomes NO.
My neighbourhood would benefit from the introduction of well-designed, denser forms of housing.	Creates too much chaos and congestion. A few rental apartments are needed but no condos, stacked townhomes etc. Niagara communities should be about land, large yards and staying away from the pollution of dense communities
	Nope!
	Well-designed is the key here.

Adding new units to a basement, garage, or separate structure on an existing property is a good way to provide more housing options for the community.	This is a great way to house people without building giant atrocities in low-level, old communities.
Providing a diverse mix of housing, including affordable housing, is an important component in achieving a complete community.	ALL housing should be affordable. No one deserves to be homeless. Low income/ affordable housing is often wen in a bad light and often can attract students and partyers. We need good housing and respectful neighbours on all sides of the economic spectrum.
	As long as it is zoned appropriately! A large building slapped in the middle of 10-year-old bungalows is ALWAYS a crappy idea!
	Historically, when Niagara has built low income housing, they've been grouped together creating low income areas in the community which wind up creating higher crime rates in specific areas and living in those areas by association you become labelled. I believe in blended complete communities not divided by rich and poor.
	Please stop allowing developers to say townhouses are affordable housing they are not for the average person anymore and way too expensive they are just a way for developers to get richer without actually using the space to help those who need rentals and community housing.
	We need more health care providers and a trauma centre in Niagara
Providing a range of transportation options to reduce our reliance on cars is an important component in achieving a complete community.	Investing in all kinds of alternate transportation is critical and these options should be robust such as dedicated safe bike lanes NETWORK, not just paint on the road. Because we want people to feel comfortable and use them.
	Make cats more affordable. If one prefers the mass transit route, make them cleaner and less crowded. Make them more efficient, faster, and direct.
	Number one priority. Less cars, close streets for biking and cycling. Learn from COVID
	Safety for pedestrians and cyclists priority..tougher speed limits
	Strongly agree! With older infrastructure on many of Niagara's roads, implementing very safe and organized bike lanes on busy corridors will reduce traffic and improve overall quality of life.

Providing open space and recreational space is an important component in achieving a complete community.	Beamsville needs more parks, park space, trails and paths, as well as park structures, splash pads and community spaces.
	Open spaces becomes green spaces that can increase tree cover, reduce water run-off, etc.
	Please make businesses put more tree coverage, the new storage place in Grimsby planted none from what I can see and the hideous new Pizza Hut so far hasn't planted any trees.
Having access to a variety of retail uses and public services and facilities is an important component in achieving a complete community.	Big box stores suck the life out of communities so just sticking a restaurant and a Costco in a treeless parking lot (sorry one dying bush) should not be considered a mixed use area for the community.
	Encouraging safe, car-free access to these retail locations is a must for community growth.
	Having access using bicycle or walking would be great as it will alleviate burden on roads.
	If it is done with good appearance in mind. Ontario Street in Beamsville needs an overhaul. It is quite ugly and there needs to be an injection of new buildings and facelifts to improve the quality and appearance.
	No big box stores. More mom and pop shops so we can support local.
Population growth should be directed to built up areas to reduce the expansion of municipal infrastructure outside of urban areas.	I'm all for development so long as it's not just selling off space to the highest bidder. Quality plans should be put in place and if an area is developed, there also needs to be a plan for quality community green spaces.
	It would be nice to space some of the growth out as St. Catharines is becoming very busy.
Communities should be planned with a mix of land uses and transportation options to reduce greenhouse gas emissions.	I moved to Grimsby in with the promise of a GO station being completed. I STILL have to commute to Toronto passing over the Skyway bridge, and a shovel hasn't even broken ground yet.
	With our booming population, we must have a reliable transit system, as well as walkable and bikeable corridors
	Yes! The recent NRT On Demand is an excellent example of this.

Development should utilize green infrastructure such as green roofs, permeable surfaces, natural channels, and increased tree cover, to reduce flooding.	I think Green infrastructure is extremely valuable as it reduces capital project cost such as storm sewers and also provides educational value to communities
	To a certain extend. Some green roof/ buildings take more energy to water, which out-weights the benefits of one.

Survey Screen: Trade-Off Scenarios	
Question	Comment
How should future growth be accommodated in Niagara Region? (Build Upward or Build Outward)	Agree (vs strongly agree) for 2 reasons: 1) because planning should always have flexibility and 2) because some undeveloped areas can be developed - but not at the expense of a natural-type (which helps towards mitigating climate change) nor at the expense of good, agricultural land. We also need self-sufficiency in growing our own food (i.e. local vs long-distance). Long-distance is often not so good at mitigating climate change
	Build upwards as long as shadow studies are completed. Building upwards has energy benefits for cost savings on heating and cooling when green energy is a key driving factor
	I'm a bit confused. I think it needs to be a mix of both building up and spreading it out
	Stop building!
Where should population growth be directed in Niagara? (Strategic Growth or Even Growth)	Agree (vs strongly agree). Again, a region/municipal plan needs to be flexible. I prefer a mix of all housing types "jumbled" together, but there also should be "work" and "play" mixed in it. The more-often-than not separating "live-work-play" has led to "dead zones" in many cities. Balanced mixture leads to healthier communities. And, yes, should include agricultural "work" areas as well.
	Don't make areas swarmed with people. Even them out more
Should neighborhoods contain a variety of housing forms and options? (Maintain Housing Character or Increase Options)	Character with different options, think outside the brown brick option
Should public funding be used make our communities more attractive? (Developer Implemented Public Realm or Municipally Implemented Public Realm)	Developers only seem to do the bare minimum in creating quality spaces. There needs to be much more emphasis on creating quality public spaces that also attract tourism, shopping, public money. Downtown Beamsville could use a big injection of investment to beautify, improve the look and quality.
	Funding should be shared - public, of course, is taxpayer dollars. However, developers should be engaged in this as well.
	Private development will not care what duty is placed upon them. They will do what they want.

Subject: Diversity, Equity and Inclusion Advisory Committee

Report to: Regional Council

Report date: Thursday, December 17, 2020

Recommendations

1. That Regional Council **ENDORSE** the establishment of a Diversity, Equity and Inclusion (DEI) Advisory Committee to:
 - 1.1 Provide direction, support and advice on the creation and maintenance of an inclusive and barrier-free workplace, including matters such as training, hiring and promotion, policy review, and improving access to Regional services; and
 - 1.2 Serve as a steering committee for external community engagement in order to identify the community priorities and action plan.
2. That staff **BE DIRECTED** to prepare a report respecting a draft Terms of Reference, including membership requirements for a Diversity, Equity and Inclusion (DEI) Advisory Committee for consideration at the Corporate Services Committee being held on January 13, 2021

Key Facts

- Regional Council passed a motion to join the Coalition of Inclusive Municipalities (CIM) on September 19, 2019, and signed a joint declaration to join the Coalition along with the 12 Local Area Municipalities on September 18, 2020.
- At the Corporate Services Committee meeting held on October 14, 2020, staff were requested to provide a report respecting the creation of a structure of working groups and/or advisory committees to ensure that the communities in Niagara have a part in directing the work related to addressing issues faced by equity-seeking groups.
- There are 82 municipalities across Canada that have joined the CIM including Niagara. Other municipalities surveyed have at least one advisory committee related to diversity, equity and inclusion, or are in the process of establishing one.

Financial Considerations

Costs associated with the creation and maintenance of the Committee include administrative resources and staff time. A draft Terms of Reference will propose options to provide honorariums and cover other costs for committee members, such as child or

other respite care, in order to remove any barriers to participation. All of these potential costs have been contemplated and can be accommodated within the Council approved budget for the work associated with joining the Coalition of Inclusive Municipalities.

Analysis

Background

On September 19, 2019, Niagara Regional Council joined the Coalition of Inclusive Municipalities and in doing so, must work actively towards the 10 common commitments to build respectful, inclusive and diverse societies (see Appendix 1). A major part of honouring these commitments is creating a structure to support DEI work specifically by connecting community members to Council through the creation of an advisory committee.

This is especially important as diversity in Niagara continues to increase – particularly regarding Indigenous communities, visible minorities, linguistic diversity, and individuals with disabilities. Despite an increase in diversity in Niagara, it has not always translated to an increase in inclusivity. Discrimination and barriers related to entry, access, and appropriate support remain for a variety of marginalized groups, such as Indigenous and LGBTQ2S+ communities. The Region has a central role to play in working towards building diverse, equitable and inclusive communities by holding itself and all its citizens, organizations and businesses accountable to champion diversity, equity and inclusion (see Appendix 2 for more details on diversity in Niagara). In order for advisory committees to be successful, it is important that diverse and marginalized groups with lived experience are represented.

Research on DEI committees and resources across municipalities similar to Niagara, such as Waterloo, Hamilton, and London, revealed that all six surveyed had at least one Committee relating to Diversity and Inclusion (see Appendix 3 Table 1). Membership composition within these advisory committees ranges from 7-15 members. The majority of these committees report to Council through a Standing Committee. In all these municipalities, there is at least 1 staff resource that supports the work of committees relating to diversity, equity and inclusion.

In addition to these municipalities, existing advisory committee structures, activities and resources of municipalities and townships within Niagara were considered. Member composition within Niagara advisory committees related to diversity, equity and inclusion ranges from 8-20 members. Other than St. Catharines, which reports to

Council through the Social Sustainability Committee, Niagara advisory committees all report directly to Council (see Appendix 3 Table 2).

Within Niagara Region, multiple committees within specific Departments support focused mandates. These include the Niagara Regional Housing Tenant Advisory Committee, the Housing and Homelessness Action Plan Lived Experience Advisory Committee, the Public Health Lived Experience Advisory Network and Youth Advisory Committee, and the Mental Health Client Advisory Committee.

Recommended Advisory Committee Structure

Staff are recommending that the proposed DEI Advisory Committee report to the Corporate Services Standing Committee, and be composed of at least 15 members including Regional Councillors, community members, staff, and at least one member each from the Accessibility Advisory Committee and the Women's Advisory Committee. An intersectional approach¹ should be taken in order to ensure representation by community members with lived experience, or service in agencies related to one or more of the following areas:

- Ethnocultural and linguistic diversity
- New immigrants
- Indigenous communities
- LGBTQ+ individuals
- Individuals with disabilities
- Seniors/older adults
- Individuals living with low income/homeless
- Post-secondary students/youth
- Faith-based diversity
- People with mental health disabilities

The DEI Advisory Committee will focus on internal and external issues. Internal issues to the Region include ensuring an inclusive and barrier-free workplace, including areas such as training, hiring and promotion, policy review, physical spaces, and improving access to Regional services for the community. The Committee would provide direction, support, or advice on this internal work, which would be implemented through specific

¹ Cresnschaw, K. (1991). Mapping the Margins: Intersectionality, Identity Politics, and Violence Against Women of Color. *Stanford Law Review* 43(6):1241

internal departments and the newly formed Niagara Region Diversity, Equity and Inclusion Working Group, composed of 15 staff members from across the Region.

The DEI Advisory Committee would also serve as the initial Steering Committee for external community engagement in order to identify the community priorities and develop an Action Plan. This could involve providing direction or recommendations for skilled facilitators to engage with a wide variety of community organizations and members, and provide recommendations on how to engage with community members through creative means and technology.

As the development of the Diversity, Equity, and Inclusion Action Plan continues, Council should remain open to creating more committees in the future where appropriate.

Alternatives Reviewed

Appendix 3 includes an analysis of similar committees created within Niagara's local area municipalities, as well as in other similar Ontario municipalities. Staff considered multiple options, including the implementation of multiple committees, and the simultaneous creation of a single diversity, equity and inclusion committee with a variety of sub committees or working groups focused on particular populations. The proposed option provides the greatest flexibility and potential while remaining manageable and realistic for Niagara's current situation.

Relationship to Council Strategic Priorities

The creation of the DEI Advisory Committee supports Regional Council's Strategic Priorities by **Supporting Business and Economic Growth**, as research indicates that culturally diverse regions are more innovative and economically prosperous, and by promoting a **Healthy and Vibrant Community** by ensuring that actions taken in and through the Region are relevant and appropriate for the increasingly diverse populations in Niagara. The DEI Advisory Committee will also help foster a more **Sustainable and Engaging Government** by enhancing Council's ability to provide innovative, and inclusive customer focused services through reaching and maximizing the assets of Niagara's diverse community members.

Other Pertinent Reports

- [CAO 14-2019](#) - Actions & Resources to Join the Coalition of Inclusive Municipalities
- [COM 14-2019](#) - Canadian Coalition of Municipalities Against Racism and Discrimination (CCMARD)
- [CAO 08-2019](#) - Community Safety and Well-Being Plan
- [CWCD 70-2017](#) - Global Attractiveness Committee Report

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This report was prepared in consultation with Jayzer Flores, Diversity, Equity and Inclusion Student, Matthew Trennum, Deputy Regional Clerk, and reviewed by Jodie Middleton, Organizational Development & Talent Acquisition Manager, Andrew Korchok, Communications Consultant, Mike Ogunlaja, Project Manager, Pam Abeysekara, Policy Advisor, and Ruth Hall, Ontario Works Case Manager.

Appendices

Appendix 1: Coalition of Inclusive Municipalities 10 Common Commitments

Appendix 2: Diversity in Niagara

Appendix 3: Diversity, Equity and Inclusion Committees in other Municipalities

Appendix 1: Coalition of Inclusive Municipalities 10 Common Commitments

The municipality as a guardian of the public interest

1. Increase vigilance against systemic and individual racism and discrimination.
2. Monitor racism and discrimination in the community more broadly as well as municipal actions taken to address racism and discrimination.
3. Inform and support individuals who experience racism and discrimination.
4. Support policing services in their efforts to be exemplary institutions in combating racism and discrimination.

The municipality as an organization in the fulfillment of human rights

5. Provide equal opportunities as a municipal employer, service provider, and contractor.
6. Support measures to promote equity in the labour market.
7. Support measures to challenge racism and discrimination and promote diversity and equal opportunity in housing.

The municipality as a community sharing responsibility for respecting and promoting human rights and diversity

8. Involve citizens by giving them a voice in anti-racism initiatives and decision-making.
9. Support measures to challenge racism and discrimination and promote diversity and equal opportunity in the education sector, and in other forms of learning
10. Promote respect, understanding and appreciation of cultural diversity and the inclusion of Aboriginal and racialized communities into the cultural fabric of the municipality.

Appendix 2: Diversity in Niagara

Diversity within the population of Niagara is increasing. According to the 2016 census, 8.9% of people in Niagara are a visible minority (38,810 individuals), up from 7.0% in 2011. The majority of visible minorities in Niagara are Black, South-Asian, and Chinese. In addition, in 2016 there were 18,625 people (4.3%) in Niagara with North American Indigenous origins (First Nations, Inuit, or Métis). In 2011, there were 14,720 people (3.8%) with North American Indigenous origins.

In Niagara, the 2016 census shows evidence of linguistic diversity - 13.8% of the population have a non-official language as the first language they learned at home, with the top three languages spoken being Italian, German, and Spanish. French was the first language spoken for 2.7% of the population in Niagara.

Additionally, research from The 2017 Canadian Survey on Disability (CSD) estimates that 1 in 5 Canadians (6.2 million) over the age of 15 has one or more disabilities that limit their daily functions which means that accessibility and removing barriers related to access to services requires greater attention.¹ In the St. Catharines-Niagara Census Metropolitan Area, there are 90,500 persons with disabilities (28.9%) compared to 24.1% of the population of Ontario.²

Various forms of discrimination and barriers remain for many marginalized groups. LGBTQ2S+ individuals continue to be one of the most marginalized groups worldwide with persisting barriers related to health outcomes, employment, housing, and support services³. There is some evidence that overt discrimination might be on the rise in Niagara. There were 21 hate crimes reported to police in Niagara in 2017, which was an increase from 11 in the previous year⁴. At the national level, hate crimes are most often

¹ Statistics Canada (2018). Canadian Survey on Disability, 2017. Retrieved from <https://www150.statcan.gc.ca/n1/daily-quotidien/181128/dq181128a-eng.htm>. Accessed on 2019-06-24

² Statistics Canada. (2019) Type of disability for persons with disabilities aged 15 years and over, by age group and sex, Canada, provinces and territories. Retrieved from <https://www150.statcan.gc.ca/t1/tbl1/en/tv.action?pid=1310037601>. Accessed on 2019-06-24.

³ CCUNESCO (2019). LGBTQ+ Inclusiveness: Toolkit for Inclusive Municipalities in Canada and Beyond Retrieved from: <https://en.ccunesco.ca/-/media/Files/Unesco/Resources/2019/06/CIMToolkitLGBTQ2PlusInclusiveness.pdf>. Accessed on 2020-10-01

⁴ Statistics Canada (2018). Table 35-10-0191-01 Police-reported hate crime, number of incidents and rate per 100,000 population, Census Metropolitan Areas. Retrieved from <https://www150.statcan.gc.ca/t1/tbl1/en/tv.action?pid=3510019101>. Accessed on 2019-07-24.

motivated by race or ethnicity (45%), religion (35%) and sexual orientation (11%).⁵ Research suggests that racism, discrimination and other forms of exclusion do not occur any less - rather, it is more likely they are occurring in new ways that are harder to identify.⁶ In this way, both overt and covert forms of discrimination persist and should be addressed.

⁵ Statistics Canada (2018). Table 35-10-0066-01 Police-reported hate crime, by type of motivation, Canada (selected police services). Retrieved from:
<https://www150.statcan.gc.ca/t1/tbl1/en/tv.action?pid=3510006601> Accessed on 2019-06-24.

⁶ Sue D.W., Bucceri J., Lin A. I., Nadal K.N. & Torino G. C. (2009). "Racial Microaggressions and the Asian American Experience." *Asian American Journal of Psychology* S(1):88-101

Appendix 3: Diversity, Equity and Inclusion Committees in other Municipalities

The Coalition of Inclusive Municipalities: A Guide for New and Established Members¹ advises that committees supporting this work represent the diversity of the community, with priority given to the experiences and knowledge of marginalized groups with lived experience. The Guide advises to consider other municipalities with similar characteristics (e.g. population size, demographics, resources) when making decisions. Table 1 reviews some municipalities similar to Niagara, their DEI related committees, reporting structures, and the staff resources they have to support the committees.

Table 1: DEI Committees and Resources in Similar Municipalities

Municipality	Committee(s)	Reporting Structure	Staff Resources
Region of Peel	Diversity, Equity, and Anti-Racism Committee Seven members	Reports directly to Council	Office of Culture and Inclusion – seven staff
City of Hamilton	Hamilton Committee Against Racism Nine members LGBTQ+ Advisory Committee 12 members Hamilton Aboriginal Advisory Committee 11 members Advisory Committee for Immigrants and Refugees Maximum 20 members Hamilton Status of Women Committee 12 members	Reports to Council through the Audit, Finance and administration committee	Human Rights, Diversity and Inclusion Office – eight staff

¹ CCUNESCO (2020). The Coalition for Inclusive Municipalities: A Guide for New and Established Members Retrieved from: <https://en.ccunesco.ca/-/media/Files/Unesco/Resources/2020/04/ToolkitCoalitionInclusiveMunicipalities.pdf> Accessed on 2020-09-15.

Municipality	Committee(s)	Reporting Structure	Staff Resources
City of London	Diversity, Inclusion and Anti-Oppression Advisory Committee 10 members Accessibility Advisory Committee Maximum 13 members	Reports to Council through the Community and Protective Services Committee	One staff member (Coordinator, Government & External Relations)
City of Windsor	Diversity Committee 9 members	Reports to Council through the Community Services and Parks Committee	One staff (Diversity & Accessibility Advisor) – Clerks Office
City of Guelph	Accessibility Advisory Committee Maximum of 15 members Diversity Related Committee (Forthcoming)	Reports directly to Council	13 staff members form the diversity and inclusion project team
Region of Waterloo	Grand River Accessibility Advisory Committee (GRAAC) 12 members	Reports directly to Council	One staff member

Table 2 reflects some of the activities and resources of municipalities within Niagara based on both environmental scans and speaking to municipality representatives.

Table 2: DEI Related Committees and Resources in Niagara Municipalities

Municipality	Committee(s)	Reporting Structure	Staff Resources
St. Catharines	Accessibility Advisory Committee Maximum 12 members Advisory Committee on Older Adults Maximum 10 members Anti-Racism Advisory Committee Maximum 10 members Equity and Inclusion Advisory Committee Maximum 12 members LGBTQ+2 Advisory Committee Maximum 10 members	Reports to Council through the Social Sustainability Committee	5 staff members (each committee has a staff member that serves as a liaison)
Niagara Falls	Accessibility Advisory Committee 10-14 members Diversity and Inclusion Committee (Forthcoming) Anti-racism committee (Forthcoming)	Reports directly to Council	One staff member directly. 13 other staff members provide technical support as needed
Niagara-on-the-Lake	Inclusivity Committee 9 members	Reports to Council directly	One staff member - some work may be assisted by staff of the Clerk's department as required

Municipality	Committee(s)	Reporting Structure	Staff Resources
Fort Erie	Accessibility Advisory Committee 9 members Mayors Youth Advisory Committee 20 members Senior Citizen Advisory Committee 18 members	Reports to Council directly	Three staff members
Lincoln	Age-Friendly Advisory Committee 8 members	Reports to Council directly	Two staff representatives
Welland	Accessibility Advisory Committee 8 members Senior Citizens Advisory Committee 8 members	Report to Council directly	One staff liaison
Thorold, Pelham, Niagara-on-the-Lake, Lincoln, West Lincoln, Grimsby	Joint Accessibility Advisory Committee	N/A	N/A
Town of Pelham	Mayor's Youth Advisory Committee 23 members Seniors Advisory Committee 9 members	Reports to Council directly	One staff representative

Municipality	Committee(s)	Reporting Structure	Staff Resources
Port Colborne	Accessibility Advisory Committee 8 members Seniors Advisory Committee 10 members Social Determinants of Health Advisory Committee 12 members	Reports to Council directly	Three staff representatives
Wainfleet	Age-friendly Advisory Committee 8 members	Reports to Council directly	N/A
Niagara Region (Currently)	Accessibility Advisory Committee 14 members Women's Advisory Committee 15 members	Reports to Council through the Corporate Services Committee	One staff member, two student supports. These 3 individuals and 12 other staff members form the Diversity, Equity and Inclusion Working Group (15 total members)

Subject: Recruitment – Associate Medical Officer of Health

Report to: Regional Council

Report date: Thursday, December 17, 2020

Recommendations

1. That the addition of one (1) permanent full-time equivalent (FTE) for the position of Associate Medical Officer of Health (AMOH) in the Public Health department **BE REFERRED** for consideration as part of the 2021 budget process;

Key Facts

- The purpose of this report is to obtain Council, the Board of Health, endorsement to hire one additional permanent full-time AMOH for the Public Health Department.
- The Public Health Department current organizational structure has one Medical Officer of Health (MOH), and two AMOH positions, totaling three of these roles; approval of this report will provide a third AMOH.
- The Public Health Department provides for the organization and delivery of public health programs and services, the prevention of the spread of disease, and the promotion and protection of health.
- The role of the AMOH, under the direction of the MOH, assists in the performance of the duties of the MOH, and has all the powers of the MOH.
- The Region has been unsuccessful in multiple attempts this year to recruit a temporary AMOH.
- The approval of the hiring of an additional permanent AMOH is required to provide the Acting MOH with a greater complement of support to assist with ongoing workload pressures, and to provide appropriate medical leadership in both the short and longer term.
- Under normal circumstances, recruitment for a position would not begin until after the approval of the budget. Given the importance of this position, how difficult it is to recruit, and the fact that the budget is tabled for consideration on January 14, 2021 (less than 1 month from now), staff recommend that the recruitment process begin as soon as possible. No job offer would be made until after the approval of the 2021 budget.

Financial Considerations

The salary grid for MOH and AMOH roles is set by the Ministry; positioning within the range is based on years of experience, education and level of responsibility.

The Region's salary for the position of AMOH falls within the Grade 11 range in the Non-Union Salary Structure at \$128,660 to \$151,370 per annum; it is normally cost shared 70/30 under the Region's cost sharing agreement with the Province. The Niagara Region via application process to the Ministry applies for funding to top-up the salary to the Ministry range. The top-up is typically 100% Ministry funded.

Given this is a new position yet to be reviewed and approved by the Ministry, and due to additional cost associated with the pandemic, the Niagara Region's 2021 budget for public health exceeds our maximum current cost shared allotment with the province; staff are recommending in the 2021 budget that the position be fully budgeted within the Ministry range and funded 50% from reserves and 50% from growth. The reserve funded portion could be returned if the Ministry approves the position and the associated top-up throughout 2021.

Analysis

The role of AMOH reports directly to the MOH. A critical role that provides leadership, strategic direction, and medical consultation with respect to health promotion and disease prevention programs and services to the public in Niagara.

The AMOH supports the Public Health Department to provide for the organization and delivery of public health programs and services, the prevention of the spread of disease, and the promotion and protection of the health.

The AMOH primary responsibilities at the Region are summarized as follows:

- Provides more intensive medical advice and expertise in the management of public health issues in areas specific to assigned portfolios, for example, in the management of outbreaks, investigation of the sources of diseases of public health significance, assessing risk in contact tracing;
- Provides support and medical expertise in the development and implementation of Public Health activities, programs and initiatives, managing multiple health portfolios, maintaining awareness of international and provincial developments in public health and advising on appropriate local responses;

- Conducts or directs research on community health problems, preparing written papers for publication and presentation at public health or specialty conferences;
- Liaises with key stakeholders in the community to partner on addressing health issues, and support a coordinated approach;
- Manages people resource planning for the operating unit, determining ideal organizational structures, identifying desirable role and skill mix requirements and ensuring ongoing work quality and deliverability of results, and;
- Participates with the MOH in a 24-hour on call system of coverage for the Public Health Department.

Under the *Health Promotion and Protection Act (the “Act”)*, the Board of Health can appoint one or more AMOHs to assist in the performance of the duties of the MOH. Briefly, in accordance with the Act, an AMOH must

1. be a physician;
2. possess the qualifications and requirements prescribed by the regulations under the Act (namely a fellowship in community medicine and at least one year of post graduate studies in public health);
3. have their appointment approved by the Minister of Health; and
4. once appointed, assist in the performance of the duties of the MOH; for the purpose, has all the powers of the MOH.

Since August 2020, Public Health has been down one AMOH after the loss of an AMOH to a newly created permanent position in Peel Region. The vacant AMOH position can only be filled temporarily because the incumbent is currently serving as the Acting MOH. This temporary role has made it challenging to recruit an AMOH.

Most other local public health agencies have added additional AMOHs or public health consultants to manage the intense work of the pandemic – 56% of local public health agencies have indicated that they have or are attempting to add AMOH capacity. Niagara has attempted to do the same, but without success. Several local public health agencies have now created new permanent AMOH positions, including Waterloo Region, City of Ottawa, Peel Region, and Windsor-Essex County Health Unit. In this competitive environment, Niagara is unable to recruit for its vacancy.

Without sufficient AMOH capacity, no AMOH is currently participating in several critical areas of work, including

- rapidly growing opioid overdoses

- liaising with the health system and broader provincial health sector on COVID-19 coordination
- participation in Ministry of Health coordination meetings
- participation in mass immunization planning for COVID-19
- participation in stakeholder relations with municipal partners and other key emergency management stakeholders.

An additional AMOH would allow some oversight and support for these critical areas of work.

Public Health has been responding to the global pandemic, has had to redeploy staff from business continuity programs, and was required to meet the immediate needs of the community. While effective in the short term, in addition to requiring additional AMOH support, they are working to implement a new pandemic response division structure for the long term of up to two years.

The implementation of the pandemic response division, with dedicated staff, is required to meet the ongoing requirements resulting from the COVID-19 pandemic. This will allow redeployed public health leadership to return to business continuity programs where possible. Failure to implement the pandemic response division, along with the hiring of an additional AMOH, could result in harm to the community. Lastly, the pandemic response division will also improve COVID reporting capabilities to Council and the Province.

Recruitment Process for an AMOH

In addition to the immediate need for an AMOH, it is recognized that this role is highly specialized that is difficult to recruit for. Provincial demand for MOHs and AMOHs will continue to present challenges in filling MOH and AMOH positions across all Ontario Public Health Departments, with a number of these positions still vacant.

The recommended approach is for Human Resources to facilitate a candidate search for this position in accordance with the Recruitment and Selection Policy, and working in conjunction with the Acting MOH to identify interested and qualified candidates through targeted advertising and networking to fill the position.

Should the search not yield the expected quantity or caliber of qualified candidates, other options would be considered at that time, including the possibility of retaining the services of an external executive search firm.

As Council is already aware through prior approval, the Region participates in the MOH / AMOH Compensation Initiative. In 2009, the Ministry of Health introduced a program that offered new provincial funding to increase the MOH and AMOH base salary compensation to address recruitment and retention issues, as well as maintain competitive compensation levels with those of other physician specialists.

The Region has continued to administer the compensation for the MOH and AMOH roles annually as per the current agreement with the Ministry of Health. Participation in the program is voluntary; however, it enables the Region to maintain competitive salaries for the physician roles, in addition to it reducing the risk of losing physicians to another health unit or regional municipality, it also serves to aid in our recruitment efforts.

Additionally, our Non-Union Terms and Conditions of employment will govern other terms of employment.

Additional Hours and Overtime

On January 9, 2020, prior to the pandemic, the temporary AMOH that had been replacing the Acting MOH in his AMOH role left the organization for a permanent role at another regional municipality in Ontario. This reduced the MOH/AMOH compliment from three to two; as a result, it has significantly increased the workload of the Acting MOH and other AMOH.

The Acting MOH and AMOH have been tracking their overtime this year, as of November 28, 2020, the overtime they have reported totals 2280.5 hours (the equivalent of over 325 days of overtime), this overtime alone exceeds the annualized hours of one FTE. This is not just a Region issue, MOHs and AMOHs across several Ontario public health units are reporting additional overtime hours.

All Region Public Health staff overtime has been reported as part of the extraordinary COVID expense and approved as paid overtime or time off for Non-Union and union staff, with the exception of the Acting MOH and AMOH as we are expecting direction from the Ministry as part of their funding application process.

Alternatives Reviewed

In view of the anticipated demands that are expected to continue throughout the pandemic, and during the enhanced influenza season, the recruitment of the temporary AMOH too, requires immediate attention.

Notwithstanding that we will continue to search for another temporary AMOH, the alternative to consider hiring multiple temporary AMOHs is not plausible and as a result not currently a recommended option due to our recent experiences.

In April/May and August 2020, we were unsuccessful on two separate occasions when we attempted to hire a temporary AMOH. In both instances, we received very limited interest in the job postings, and a very limited candidate pool that possessed the sought after qualifications. To expand, in August after one of Niagara's AMOHs who was filling the current temporary vacancy left to take a permanent position in Peel Region, a recruitment identified two candidates; one was already employed as a temporary AMOH and the other was a more junior candidate who had never held a role at that level. In both cases, the candidates denied an offer on employment, one due to relocation and that candidate's current employer extending employment to manage growing COVID-19 cases, and the other due to a permanent opportunity arising elsewhere.

Relationship to Council Strategic Priorities

Regional Council's approval aligns with Council's Strategic Priorities of Economic Growth and Healthy and Vibrant Community by supporting the fostering of a safe and inclusive neighbourhood and community tied to a larger strategic enhanced community wellbeing strategy.

Other Pertinent Reports

None

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Acting, Chief Administrative Officer

This report was prepared in consultation with M. Mustafa Hirji, Medical Officer of Health & Commissioner (Acting), and Melanie Steele, Associate Director, Reporting & Analysis Financial Management & Planning.

Appendices

None

In accordance with the notice and submission deadline requirements of Sections 18.1 (a) and 11.3, respectively, of Niagara Region's Procedural By-law, the Regional Clerk received from Councillor Ip a motion to be brought forward for consideration at the December 17, 2020 Council meeting respecting Creation of a Lobbyist Registry for the Region of Niagara.

WHEREAS access to local government is an essential element of democratic governance;

WHEREAS lobbying by honest and appropriate means is a legitimate activity;

WHEREAS it is reasonable for Members of Council and the public at large to know the nature and amount of legitimate lobbying of local government;

WHEREAS Section 223.9 of the Municipal Act, 2001, authorizes the Region of Niagara to establish and maintain a Lobbyist Registry in which shall be kept registrations and returns filed by persons who lobby the Region of Niagara's public office holders;

WHEREAS Section 223.11 of the Municipal Act, 2001 authorizes the Region of Niagara to appoint a Lobbyist Registrar who is responsible for performing in an independent manner the functions assigned by the Region of Niagara with respect to the Lobbyist Registry; and

WHEREAS Sections 8, 9, and 10 of the Municipal Act, 2001 authorize the Region of Niagara to pass by-laws necessary or desirable for municipal purposes, and in particular paragraph 2 of subsection 10(2) authorizes by-laws respecting the accountability and transparency of the municipality and its operations.

NOW THEREFORE BE IT RESOLVED:

1. That Council **DIRECT** staff to research and report back with recommendations for the creation and maintenance of a Lobbyist Registry, which should include a regular, transparent reporting process and contains a jurisdictional scan for best practices from other municipal governments in Ontario, such as Toronto, Ottawa, Hamilton, Brampton, Peel Region, Vaughan, and Collingwood; and
2. That this motion **BE CIRCULATED** to Niagara's 12 local area municipalities.

THE REGIONAL MUNICIPALITY OF NIAGARA

BY-LAW NO. < >

A BY-LAW TO AUTHORIZE THE BORROWING UPON
SERIAL DEBENTURES IN THE AGGREGATE PRINCIPAL
AMOUNT OF \$35,754,409.00 FOR CAPITAL WORKS OF
THE REGIONAL MUNICIPALITY OF NIAGARA

WHEREAS subsection 401 (1) of the “Municipal Act, 2001”, as amended (the “Act”) provides that a municipality may incur a debt for municipal purposes, whether by borrowing money or in any other way, and may issue debentures and prescribed financial instruments and enter prescribed financial agreements for or in relation to the debt;

WHEREAS subsection 408 (2.1) of the Act provides that a municipality may issue a debenture or other financial instrument for long-term borrowing only to provide financing for a capital work;

WHEREAS the Act also provides that all debentures issued under a by-law passed by a regional municipality for its own purposes are direct, joint and several obligations of the regional municipality and its lower-tier municipalities;

WHEREAS the Council of The Regional Municipality of Niagara (hereinafter called the “Upper-tier Municipality”), has passed the By-laws enumerated in column (3) of Schedule “A” attached hereto and forming part of this By-law to authorize the capital works described in column (1) of Schedule “A” (individually a “Capital Work”, collectively the “Capital Works”), to authorize the long-term borrowing from Ontario Infrastructure and Lands Corporation (“OILC”) in respect of the Capital Works and to confirm, ratify and approve the execution by the Treasurer of the application to OILC for financing the Capital Works (the “Application”) and the submission by such authorized official of the Application; and to execute and deliver to OILC the rate offer letter agreement in respect of such long-term borrowing for the Capital Works;

WHEREAS before authorizing the Capital Works and before authorizing any additional cost amount and any additional debenture authority in respect thereof, the Council of the Upper-tier Municipality had its Regional Treasurer calculate an updated limit in respect of its most recent annual debt and financial obligation limit received from the Ministry of Municipal Affairs and Housing in accordance with the applicable regulation and, prior to the Council of the Upper-tier Municipality authorizing each Capital Work, each such

additional cost amount and each such additional debenture authority, the Regional Treasurer determined that the estimated annual amount payable in respect of each Capital Work, each such additional cost amount and each such additional debenture authority would, not cause the Upper-tier Municipality to exceed the updated limit and that the approval of each Capital Work, each such additional cost amount and each such additional debenture authority by the Local Planning Appeal Tribunal or its predecessor pursuant to such regulation was not required;

WHEREAS the Upper-tier Municipality has submitted the Application to OILC and the Application has been approved;

WHEREAS to provide long-term financing for the Capital Works it is now deemed to be expedient to borrow money by the issue of serial debentures in the aggregate principal amount of \$35,754,409.00 dated December 22, 2020 and maturing on December 22, 2050, and payable in semi-annual instalments of combined principal and interest on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2050, both inclusive on the terms hereinafter set forth;

NOW THEREFORE THE COUNCIL OF THE REGIONAL MUNICIPALITY OF NIAGARA ENACTS AS FOLLOWS:

1. That for the Capital Works, the borrowing upon the credit of the Upper-tier Municipality at large of the aggregate principal amount of \$35,754,409.00 and the issue of serial debentures therefor to be repaid in semi-annual instalments of combined principal and interest as hereinafter set forth, are hereby authorized.
2. That the Regional Chair and the Regional Treasurer of the Upper-tier Municipality are hereby authorized to cause any number of serial debentures to be issued for such amounts of money as may be required for the Capital Works in definitive form, not exceeding in total the said aggregate principal amount of \$35,754,409.00 (the "Debentures"). The Debentures shall bear the Upper-tier Municipality's municipal seal and the signatures of the Regional Chair and the Regional Treasurer of the Upper-tier Municipality, all in accordance with the provisions of the Act. The municipal seal of the Upper-tier Municipality and the signatures referred to in this section may be printed, lithographed, engraved or otherwise mechanically reproduced. The Debentures are sufficiently signed if they bear the required signatures and each person signing has the authority to do so on the date he or she signs.

3. That the Debentures shall be in fully registered form as one or more certificates in the aggregate principal amount of \$35,754,409.00, in the name of OILC, or as OILC may otherwise direct, substantially in the form attached as Schedule “B” hereto and forming part of this By-law with provision for payment of principal and interest (other than in respect of the final payment of principal and outstanding interest on maturity upon presentation and surrender) by pre-authorized debit in respect of such principal and interest to the credit of such registered holder on such terms as to which the registered holder and the Upper-tier Municipality may agree.
4. That in accordance with the provisions of section 25 of the “Ontario Infrastructure and Lands Corporation Act, 2011”, as amended from time to time hereafter, the Upper-tier Municipality is hereby authorized to agree in writing with OILC that the Minister of Finance is entitled, without notice to the Upper-tier Municipality to deduct from money appropriated by the Legislative Assembly of Ontario for payment to the Upper-tier Municipality amounts not exceeding any amounts that the Upper-tier Municipality fails to pay OILC on account of any unpaid indebtedness of the Upper-tier Municipality to OILC under the Debentures and to pay such amounts to OILC from the Consolidated Revenue Fund.
5. That the Debentures shall all be dated the 22nd day of December, 2020, and as to both principal and interest shall be expressed and be payable in lawful money of Canada. The Debentures shall bear interest at the rate of 2.39% per annum and mature during a period of 30 years from the date thereof payable semi-annually in arrears as described in this section. The Debentures shall be paid in full by December 22, 2050 and be payable in semi-annual instalments of combined equal principal and diminishing interest amounts on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2050, both inclusive, save and except for the last instalment of principal which may vary slightly from the preceding equal instalments, as set forth in Schedule “C” attached hereto and forming part of this By-law (“Schedule “C”).
6. That payments in respect of principal of and interest on the Debentures shall be made only on a day, other than Saturday or Sunday, on which banking institutions in Toronto, Ontario, Canada and the Upper-tier Municipality are not authorized or obligated by law or executive order to be closed (a “Business Day”) and if any date for payment is not a Business Day, payment shall be made on the next following Toronto Business Day.

7. That interest shall be payable to the date of maturity of the Debentures and on default shall be payable on any overdue amounts both before and after default and judgment at a rate per annum equal to the greater of the rate specified on the Schedule as attached to and forming part of the Debentures for such amounts plus 200 basis points or Prime Rate (as defined below) plus 200 basis points, calculated on a daily basis from the date such amounts become overdue for so long as such amounts remain overdue and the Upper-tier Municipality shall pay to the registered holders any and all costs incurred by the registered holders as a result of the overdue payment. Any amounts payable by the Upper-tier Municipality as interest on overdue principal or interest and all costs incurred by the registered holders as a result of the overdue payment in respect of the Debentures shall be paid out of current revenue. Whenever it is necessary to compute any amount of interest in respect of the Debentures for a period of less than one full year, other than with respect to regular semi-annual interest payments, such interest shall be calculated on the basis of the actual number of days in the period and a year of 365 days or 366 days as appropriate.

“Prime Rate” means, on any day, the annual rate of interest which is the arithmetic mean of the prime rates announced from time to time by the following five major Canadian Schedule I banks, as of the issue date of the Debentures: Royal Bank of Canada; Canadian Imperial Bank of Commerce; The Bank of Nova Scotia; Bank of Montreal; and The Toronto-Dominion Bank (the “Reference Banks”) as their reference rates in effect on such day for Canadian dollar commercial loans made in Canada. If fewer than five of the Reference Banks quote a prime rate on such days, the “Prime Rate” shall be the arithmetic mean of the rates quoted by those Reference Banks.

8. (1) That in each year in which a payment of semi-annual instalments of combined equal principal and diminishing interest becomes due in respect of the Capital Works, including the last ‘non-equal’ instalment of principal, there shall be raised as part of the Upper-tier Municipality’s general upper-tier levy the amounts of principal and interest payable by the Upper-tier Municipality in each year as set out in Schedule “C” to the extent that the amounts have not been provided for by any other available source including other taxes or fees or charges imposed on persons or property by a by-law of any municipality. Without limiting the generality of the foregoing, the lower-tier municipalities that comprise the Upper-tier Municipality (individually a “Lower-tier Municipality”, collectively the “Lower-tier Municipalities”) shall pay to the Upper-tier Municipality, as part of the general upper-tier levy the amounts required to be paid to the Upper-tier

Municipality by the Lower-tier Municipalities in respect of the Capital Works, in accordance with the manner in which the general upper-tier levy is required, from time to time, to be paid to the Upper-tier Municipality. Such amounts constitute debt of the Lower-tier Municipalities to the Upper-tier Municipality and such amounts shall, when combined with any amount payable by the Upper-tier Municipality in the year for repayment of the debt for which the Debentures are to be issued, be sufficient to meet the total amount of principal and interest payable in the year by the Upper-tier Municipality in respect of the Debentures, all in accordance with the provisions of this By-law and the Act.

- (2) That if any Lower-tier Municipality fails to make any payment or portion of it as provided in this By-law, such Lower-tier Municipality shall pay interest to the Upper-tier Municipality on the amount in default at the rate of 15% per annum, from the date the payment is due until it is made.
 - (3) That there shall be raised, for the Capital Works, pursuant to this By-law, in each year of the currency of the Debentures, as part of the general upper-tier levy, the amounts required to be paid to the Upper-tier Municipality in any previous year by any one or more of the Lower-tier Municipalities to the extent that the amounts have not been paid to the Upper-tier Municipality in accordance with this By-law and the Act.
9. That the Debentures may contain any provision for their registration thereof authorized by any statute relating to municipal debentures in force at the time of the issue thereof.
10. That the Upper-tier Municipality shall maintain a registry in respect of the Debentures in which shall be recorded the names and the addresses of the registered holders and particulars of the Debentures held by them respectively and in which particulars of the cancellations, exchanges, substitutions and transfers of Debentures, may be recorded and the Upper-tier Municipality is authorized to use electronic, magnetic or other media for records of or related to the Debentures or for copies of them.
11. That the Upper-tier Municipality shall not be bound to see to the execution of any trust affecting the ownership of any Debenture or be affected by notice of any equity that may be subsisting in respect thereof. The Upper-tier Municipality shall deem and treat registered holders of the Debentures as the absolute owners thereof for all purposes whatsoever notwithstanding any notice to the contrary and

all payments to or to the order of registered holders shall be valid and effectual to discharge the liability of the Upper-tier Municipality on the Debentures to the extent of the amount or amounts so paid. When a Debenture is registered in more than one name, the principal of and interest from time to time payable on such Debenture shall be paid to or to the order of all the joint registered holders thereof, failing written instructions to the contrary from all such joint registered holders, and such payment shall constitute a valid discharge to the Upper-tier Municipality. In the case of the death of one or more joint registered holders, despite the foregoing provisions of this section, the principal of and interest on any Debentures registered in their names may be paid to the survivor or survivors of such holders and such payment shall constitute a valid discharge to the Upper-tier Municipality.

12. That the Debentures will be transferable or exchangeable at the office of the Regional Treasurer of the Upper-tier Municipality upon presentation for such purpose accompanied by an instrument of transfer or exchange in a form approved by the Upper-tier Municipality and which form is in accordance with the prevailing Canadian transfer legislation and practices, executed by the registered holder thereof or such holder's duly authorized attorney or legal personal representative, whereupon and upon registration of such transfer or exchange and cancellation of the Debenture or Debentures presented, the Regional Chair and the Regional Treasurer shall issue and deliver a new Debenture or Debentures of an equal aggregate principal amount in any authorized denomination or denominations as directed by the transferor, in the case of a transfer or as directed by the registered holder in the case of an exchange.
13. That the Regional Chair and the Regional Treasurer shall issue and deliver new Debentures in exchange or substitution for Debentures outstanding on the registry with the same maturity and of like form which have become mutilated, defaced, lost, subject to a mysterious or unexplainable disappearance, stolen or destroyed, provided that the applicant therefor shall have: (a) paid such costs as may have been incurred in connection therewith; (b) (in the case when a Debenture is mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed) furnished the Upper-tier Municipality with such evidence (including evidence as to the certificate number of the Debenture in question) and an indemnity in respect thereof satisfactory to the Upper-tier Municipality in its discretion; and (c) surrendered to the Upper-tier Municipality any mutilated or defaced Debentures in respect of which new Debentures are to be issued in substitution.

14. That the Debentures issued upon any registration of transfer or exchange or in substitution for any Debentures or part thereof shall carry all the rights to interest if any, accrued and unpaid which were carried by such Debentures or part thereof and shall be so dated and shall bear the same maturity date and, subject to the provisions of this By-law, shall be subject to the same terms and conditions as the Debentures in respect of which the transfer, exchange or substitution is effected.
15. That the cost of all transfers and exchanges, including the printing of authorized denominations of the new Debentures, shall be borne by the Upper-tier Municipality. When any of the Debentures are surrendered for transfer or exchange the Regional Treasurer of the Upper-tier Municipality shall: (a) in the case of an exchange, cancel and destroy the Debentures surrendered for exchange; (b) in the case of an exchange, certify the cancellation and destruction in the registry; (c) enter in the registry particulars of the new Debenture or Debentures issued in exchange; and (d) in the case of a transfer, enter in the registry particulars of the registered holder as directed by the transferor.
16. That reasonable fees in respect of the Debentures, in the normal course of business, other than reasonable fees for the substitution of a new Debenture or new Debentures for any of the Debentures that are mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed and for the replacement of any of the principal and interest cheques (if any) that are mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed may be imposed by the Upper-tier Municipality. When new Debentures are issued in substitution in these circumstances the Upper-tier Municipality shall: (a) treat as cancelled and destroyed the Debentures in respect of which new Debentures will be issued in substitution; (b) certify the deemed cancellation and destruction in the registry; (c) enter in the registry particulars of the new Debentures issued in substitution; and (d) make a notation of any indemnities provided.
17. That except as otherwise expressly provided herein, any notice required to be given to a registered holder of one or more of the Debentures will be sufficiently given if a copy of such notice is mailed or otherwise delivered to the registered address of such registered holder.
18. That the Regional Chair and the Regional Treasurer are hereby authorized to cause the Debentures to be issued, one or more of the Regional Clerk and Regional Treasurer are hereby authorized to generally do all things and to execute all other documents and other papers in the name of the Upper-tier Municipality in order to carry out the issue of the Debentures and the Regional Treasurer or the

Regional Clerk is authorized to affix the Upper-tier Municipality's municipal seal to any of such documents and papers.

19. That the money received by the Upper-tier Municipality from the sale of the Debentures to OILC, including any premium, and any earnings derived from the investment of that money, after providing for the expenses related to their issue, if any, shall be apportioned and applied to the Capital Works, and to no other purpose except as permitted by the Act.
20. That subject to the Upper-tier Municipality's investment policies and goals, the applicable legislation and the terms and conditions of the Debentures, the Upper-tier Municipality may, if not in default under the Debentures, at any time purchase any of the Debentures in the open market or by tender or by private contract at any price and on such terms and conditions (including, without limitation, the manner by which any tender offer may be communicated or accepted and the persons to whom it may be addressed) as the Upper-tier Municipality may in its discretion determine.
21. This by-law shall come into force and take effect on the day upon which it is passed.

THE REGIONAL MUNICIPALITY OF NIAGARA

James Bradley, Regional Chair

Ann-Marie Norio, Regional Clerk

Passed: <>

Schedule "A"

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
Item No.	Description	Account No.	Authorizing By-Law	MOE File No.	MOE Date	Debentures Authorized by Council (\$)	Debentures Previously Issued (\$)	Debentures Now Being Issued (\$)	Debentures Available for Future Use (\$)
	<u>Term 1-30 Year Instalment (Serial) Debenture (Roads)</u>								
	Capital costs in connection with the:								
1	GO Transit construction project	20000140	2015-100, 2016-80, 2020-82			28,700,000	-	15,000,000	13,700,000
2	Structural Rehab - St. Paul W CNR Bridge - Bridge Replacement	10RC1566	2019-25, 2020-82			562,500	-	562,500	-
3	Structural Rehab - Schisler Road Bridge (027230)	20000661	2019-97; 2020-82			1,700,000	708,091	991,909	-
4	20-Structural Rehab-RR24 Sixteen Creek Culvert (024310)	20001189	2019-97; 2020-82			200,000	-	200,000	-
	Sub-total for 1-30 year debenture					31,162,500	708,091	16,754,409	13,700,000
	TOTAL					31,162,500	708,091	16,754,409	13,700,000

Schedule "A"

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
Item No.	Description	Account No.	Authorizing By-Law	MOE File No.	MOE Date	Debentures Authorized by Council (\$)	Debentures Previously Issued (\$)	Debentures Now Being Issued (\$)	Debentures Available for Future Use (\$)
	<u>Term 1-30 Year Instalment (Serial) Debenture (Wastewater)</u>								
	Capital costs in connection with the:								
1	WWTP Upgrade Prgm - Garner Road Access & Lagoon	10SW1513	2019-25, 2020-82			2,300,000		2,300,000	-
2	MCC Upgrade Wastewater Program	20000684	2019-25, 2020-82			1,800,000		1,800,000	-
3	19-Seaway WWTP Electrical Upgrade	20000861	2019-25, 2020-82			295,000		295,000	-
	Sub-total for 1-30 year debenture					4,395,000	-	4,395,000	-
	TOTAL					4,395,000	-	4,395,000	-

Schedule "A"

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
Item No.	Description	Account No.	Authorizing By-Law	MOE File No.	MOE Date	Debentures Authorized by Council (\$)	Debentures Previously Issued (\$)	Debentures Now Being Issued (\$)	Debentures Available for Future Use (\$)
	<u>Term 1-30 Year Instalment (Serial) Debenture (Water)</u>								
	Capital costs in connection with the:								
1	WTP Upgrade Prg-Port Colborne	10CW1314	2017-106, 2020-82			500,000		500,000	-
2	WTP Upg - Grimsby Lane & Valve	20000187	2017-106, 2020-82			1,030,000		1,030,000	-
3	2017-CNR Transmission Main	20000467	2017-106, 2020-82			6,400,000		6,400,000	-
4	Welland Canal WTM Extension	20001057	2019-25, 2020-82			4,620,000		4,620,000	-
5	Grimsby System Storage Upgrade	10CW1302	2019-25, 2020-82			1,155,000		1,155,000	-
6	19-St.Davids Rd Main Phase 1 / combined Phase 2	20000982	2019-25, 2020-82			900,000		900,000	-
	Sub-total for 1-30 year debenture					14,605,000	-	14,605,000	-
	TOTAL					14,605,000	-	14,605,000	-

Schedule "B"

THE REGIONAL MUNICIPALITY OF NIAGARA

No. OILC-20-06

\$35,754,409.00

C A N A D A

Province of Ontario

THE REGIONAL MUNICIPALITY OF NIAGARA

FULLY REGISTERED 2.39% SERIAL DEBENTURE

THE REGIONAL MUNICIPALITY OF NIAGARA (the "Upper-tier Municipality"), for value received, hereby promises to pay to

ONTARIO INFRASTRUCTURE AND LANDS CORPORATION ("OILC")

or registered assigns, subject to the Conditions attached hereto which form part hereof (the "Conditions"), upon presentation and surrender of this debenture (or as otherwise agreed to by the Upper-tier Municipality and OILC) by the maturity date of this debenture (December 22, 2050), the principal amount of

THIRTY-FIVE MILLION, SEVEN HUNDRED FIFTY-FOUR THOUSAND, FOUR HUNDRED AND NINE DOLLARS

----- (\$35,754,409.00) -----

by semi-annual instalments of combined equal principal and diminishing interest amounts on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2050, both inclusive, save and except for the last instalment of principal which may vary slightly from the preceding equal instalments in the amounts set forth in the attached Loan Amortization Schedule (the "Amortization Schedule") and subject to late payment interest charges pursuant to the Conditions, in lawful money of Canada. Subject to the Conditions: interest shall be paid until the maturity date of this debenture, in like money in semi-annual payments from the closing date (December 22, 2020), or from the last date on which interest has been paid on this debenture, whichever is later, at the rate of 2.39% per annum, in arrears, on the specified dates, as set forth in the Amortization Schedule; and interest shall be paid on default at the applicable rate set out in the Amortization Schedule both before and after default and judgment. The payments of principal and interest and the outstanding amount of principal in each year are shown in the Amortization Schedule.

The Upper-tier Municipality, pursuant to section 25 of the *Ontario Infrastructure and Lands Corporation Act, 2011* (the "OILC Act, 2011") hereby irrevocably agrees that the Minister of Finance is entitled, without notice to the Upper-tier Municipality, to deduct from money appropriated by the Legislative Assembly of Ontario for payment to the Upper-tier Municipality, amounts not exceeding any amounts that the Upper-tier Municipality fails to pay OILC on account of any unpaid indebtedness under this debenture, and to pay such amounts to OILC from the Consolidated Revenue Fund.

This debenture is subject to the Conditions.

DATED at the Regional Municipality of Niagara as at the 22nd day of December, 2020.

IN TESTIMONY WHEREOF and under the authority of By-law No. 2020-87 the Upper-tier Municipality duly passed on the 17th day of December, 2020 (the "By-law"), this debenture is sealed with the municipal seal of the Upper-tier Municipality and signed by the Regional Chair and by the Regional Treasurer thereof.

Date of Registration: December 22, 2020

_____(seal)
James Bradley, Regional Chair

Todd Harrison, Treasurer

This global debenture is also signed by the Regional Clerk pursuant to the Issuer's internal requirements.

Ann-Marie Norio, Regional Clerk

Schedule "B"

OILC hereby agrees that the Minister of Finance is entitled to exercise certain rights of deduction pursuant to section 25 of the OILC Act, 2011 as described in this debenture.

Ontario Infrastructure and Lands Corporation

by: _____
Authorized Signing Officer

by: _____
Authorized Signing Officer

Schedule "B"

AMORTIZATION SCHEDULE

Name.....: The Regional Municipality of Niagara

Principal: \$35,754,409.00

Rate.....: 02.390%

Term.....: 360 months

Matures...: 12/22/2050

Pay #	Date	Amount Due \$	Principal Due \$	Interest Due \$	Rem. Principal \$
1	06/22/2021	1,022,001.42	595,906.82	426,094.60	35,158,502.18
2	12/22/2021	1,017,202.00	595,906.82	421,295.18	34,562,595.36
3	06/22/2022	1,007,798.26	595,906.82	411,891.44	33,966,688.54
4	12/22/2022	1,002,920.81	595,906.82	407,013.99	33,370,781.72
5	06/22/2023	993,595.11	595,906.82	397,688.29	32,774,874.90
6	12/22/2023	988,639.62	595,906.82	392,732.80	32,178,968.08
7	06/22/2024	981,499.02	595,906.82	385,592.20	31,583,061.26
8	12/22/2024	974,358.42	595,906.82	378,451.60	30,987,154.44
9	06/22/2025	965,188.80	595,906.82	369,281.98	30,391,247.62
10	12/22/2025	960,077.23	595,906.82	364,170.41	29,795,340.80
11	06/22/2026	950,985.65	595,906.82	355,078.83	29,199,433.98
12	12/22/2026	945,796.04	595,906.82	349,889.22	28,603,527.16
13	06/22/2027	936,782.50	595,906.82	340,875.68	28,007,620.34
14	12/22/2027	931,514.84	595,906.82	335,608.02	27,411,713.52
15	06/22/2028	924,374.25	595,906.82	328,467.43	26,815,806.70
16	12/22/2028	917,233.65	595,906.82	321,326.83	26,219,899.88
17	06/22/2029	908,376.19	595,906.82	312,469.37	25,623,993.06
18	12/22/2029	902,952.46	595,906.82	307,045.64	25,028,086.24
19	06/22/2030	894,173.04	595,906.82	298,266.22	24,432,179.42
20	12/22/2030	888,671.27	595,906.82	292,764.45	23,836,272.60
21	06/22/2031	879,969.88	595,906.82	284,063.06	23,240,365.78
22	12/22/2031	874,390.07	595,906.82	278,483.25	22,644,458.96
23	06/22/2032	867,249.48	595,906.82	271,342.66	22,048,552.14
24	12/22/2032	860,108.88	595,906.82	264,202.06	21,452,645.32
25	06/22/2033	851,563.58	595,906.82	255,656.76	20,856,738.50
26	12/22/2033	845,827.69	595,906.82	249,920.87	20,260,831.68
27	06/22/2034	837,360.42	595,906.82	241,453.60	19,664,924.86
28	12/22/2034	831,546.50	595,906.82	235,639.68	19,069,018.04
29	06/22/2035	823,157.27	595,906.82	227,250.45	18,473,111.22
30	12/22/2035	817,265.30	595,906.82	221,358.48	17,877,204.40
31	06/22/2036	810,124.71	595,906.82	214,217.89	17,281,297.58
32	12/22/2036	802,984.11	595,906.82	207,077.29	16,685,390.76

Schedule "B"

33 06/22/2037	794,750.96	595,906.82	198,844.14	16,089,483.94
34 12/22/2037	788,702.92	595,906.82	192,796.10	15,493,577.12
35 06/22/2038	780,547.81	595,906.82	184,640.99	14,897,670.30
36 12/22/2038	774,421.73	595,906.82	178,514.91	14,301,763.48
37 06/22/2039	766,344.66	595,906.82	170,437.84	13,705,856.66
38 12/22/2039	760,140.53	595,906.82	164,233.71	13,109,949.84
39 06/22/2040	752,999.94	595,906.82	157,093.12	12,514,043.02
40 12/22/2040	745,859.34	595,906.82	149,952.52	11,918,136.20
41 06/22/2041	737,938.35	595,906.82	142,031.53	11,322,229.38
42 12/22/2041	731,578.15	595,906.82	135,671.33	10,726,322.56
43 06/22/2042	723,735.20	595,906.82	127,828.38	10,130,415.74
44 12/22/2042	717,296.96	595,906.82	121,390.14	9,534,508.92
45 06/22/2043	709,532.04	595,906.82	113,625.22	8,938,602.10
46 12/22/2043	703,015.76	595,906.82	107,108.94	8,342,695.28
47 06/22/2044	695,875.17	595,906.82	99,968.35	7,746,788.46
48 12/22/2044	688,734.57	595,906.82	92,827.75	7,150,881.64
49 06/22/2045	681,125.74	595,906.82	85,218.92	6,554,974.82
50 12/22/2045	674,453.38	595,906.82	78,546.56	5,959,068.00
51 06/22/2046	666,922.58	595,906.82	71,015.76	5,363,161.18
52 12/22/2046	660,172.18	595,906.82	64,265.36	4,767,254.36
53 06/22/2047	652,719.43	595,906.82	56,812.61	4,171,347.54
54 12/22/2047	645,890.99	595,906.82	49,984.17	3,575,440.72
55 06/22/2048	638,750.40	595,906.82	42,843.58	2,979,533.90
56 12/22/2048	631,609.80	595,906.82	35,702.98	2,383,627.08
57 06/22/2049	624,313.12	595,906.82	28,406.30	1,787,720.26
58 12/22/2049	617,328.61	595,906.82	21,421.79	1,191,813.44
59 06/22/2050	610,109.97	595,906.82	14,203.15	595,906.62
60 12/22/2050	603,047.21	595,906.62	7,140.59	0.00

48,793,605.97	35,754,409.00	13,039,196.97
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Schedule "B"
LEGAL OPINION

We have examined the By-law of the Upper-tier Municipality authorizing the issue of serial debentures in the aggregate principal amount of \$35,754,409.00 dated December 22, 2020 and maturing on December 22, 2050 payable in semi-annual instalments of combined equal principal and diminishing interest amounts on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2050, both inclusive, save and except for the last instalment of principal which may vary slightly from the preceding equal instalments, as set out in Schedule "C" to the By-law.

In our opinion, the By-law has been properly passed and is within the legal powers of the Upper-tier Municipality. The debenture issued under the By-law in the within form (the "Debenture") is the direct, general, unsecured, unsubordinated, joint and several obligation of the Upper-tier Municipality and of its lower-tier municipalities (the "Lower-tier Municipalities"). The Debenture is enforceable against the Upper-tier Municipality and the Lower-tier Municipalities subject to the special jurisdiction and powers of the Local Planning Appeal Tribunal over defaulting municipalities under the *Municipal Affairs Act*. This opinion is subject to and incorporates all the assumptions, qualifications and limitations set out in our opinion letter.

December 22, 2020

WeirFoulds LLP

Schedule "B"
CONDITIONS OF THE DEBENTURE

Form, Denomination, and Ranking of the Debenture

1. The debentures issued pursuant to the By-law (collectively the "Debentures" and individually a "Debenture") are issuable as fully registered Debentures without coupons.
2. The Debentures are direct, general, unsecured, unsubordinated, joint and several obligations of the Upper-tier Municipality and of its Lower-tier Municipalities. The Debentures rank concurrently and equally in respect of payment of principal and interest with all other debentures of the Upper-tier Municipality except for the availability of money in a sinking or retirement fund for a particular issue of debentures.
3. This Debenture is one fully registered Debenture registered in the name of OILC and held by OILC.

Registration

4. The Upper-tier Municipality shall maintain at its designated office a registry in respect of the Debentures in which shall be recorded the names and the addresses of the registered holders and particulars of the Debentures held by them respectively and in which particulars of cancellations, exchanges, substitutions and transfers of Debentures, may be recorded and the Upper-tier Municipality is authorized to use electronic, magnetic or other media for records of or related to the Debentures or for copies of them.

Title

5. The Upper-tier Municipality shall not be bound to see to the execution of any trust affecting the ownership of any Debenture or be affected by notice of any equity that may be subsisting in respect thereof. The Upper-tier Municipality shall deem and treat registered holders of Debentures, including this Debenture, as the absolute owners thereof for all purposes whatsoever notwithstanding any notice to the contrary and all payments to or to the order of registered holders shall be valid and effectual to discharge the liability of the Upper-tier Municipality on the Debentures to the extent of the amount or amounts so paid. Where a Debenture is registered in more than one name, the principal of and interest from time to time payable on such Debenture shall be paid to or to the order of all the joint registered holders thereof, failing written instructions to the contrary from all such joint registered holders, and such payment shall constitute a valid discharge to the Upper-tier Municipality. In the case of the death of one or more joint registered holders, despite the foregoing provisions of this section, the principal of and interest on any Debentures registered in their names may be paid to the survivor or survivors of such holders and such payment shall constitute a valid discharge to the Upper-tier Municipality.

Payments of Principal and Interest

6. The record date for purposes of payment of principal of and interest on the Debentures is as of 5:00 p.m. on the sixteenth calendar day preceding any Payment Date including the maturity date. Principal of and interest on the Debentures are payable by the Upper-tier Municipality to the persons registered as holders in the registry on the relevant record date. The Upper-tier

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Municipality shall not be required to register any transfer, exchange or substitution of Debentures during the period from any record date to the corresponding Payment Date.

7. The Upper-tier Municipality shall make all payments in respect of semi-annual instalments of combined equal principal and diminishing interest amounts on the Debentures on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2050, both inclusive, including the last 'non-equal instalment of principal, as set out in Schedule "C" to the By-law, by pre-authorized debit in respect of such interest and principal to the credit of the registered holder on such terms as the Upper-tier Municipality and the registered holder may agree.
8. The Upper-tier Municipality shall pay to the registered holder interest on any overdue amount of principal or interest in respect of any Debenture, both before and after default and judgment, at a rate per annum equal to the greater of the rate specified on the Schedule as attached to and forming part of the Debenture for such amount plus 200 basis points or Prime Rate (as defined below) plus 200 basis points, calculated on a daily basis from the date such amount becomes overdue for so long as such amount remains overdue and the Upper-tier Municipality shall pay to the registered holder any and all costs incurred by the registered holder as a result of the overdue payment.
9. Whenever it is necessary to compute any amount of interest in respect of the Debentures for a period of less than one full year, other than with respect to regular semi-annual interest payments, such interest shall be calculated on the basis of the actual number of days in the period and a year of 365 days or 366 days as appropriate.
10. Payments in respect of principal of and interest on the Debentures shall be made only on a day, other than Saturday or Sunday, on which banking institutions in Toronto, Ontario, Canada and the Upper-tier Municipality are not authorized or obligated by law or executive order to be closed (a "**Business Day**"), and if any date for payment is not a Business Day, payment shall be made on the next following Business Day as noted on the Amortization Schedule.
11. The Debentures are transferable or exchangeable at the office of the Regional Treasurer of the Upper-tier Municipality upon presentation for such purpose accompanied by an instrument of transfer or exchange in a form approved by the Upper-tier Municipality and which form is in accordance with the prevailing Canadian transfer legislation and practices, executed by the registered holder thereof or such holder's duly authorized attorney or legal personal representative, whereupon and upon registration of such transfer or exchange and cancellation of the Debenture or Debentures presented, a new Debenture or Debentures of an equal aggregate principal amount in any authorized denomination or denominations will be delivered as directed by the transferor, in the case of a transfer or as directed by the registered holder in the case of an exchange.
12. The Upper-tier Municipality shall issue and deliver Debentures in exchange for or in substitution for Debentures outstanding on the registry with the same maturity and of like form in the event of a mutilation, defacement, loss, mysterious or unexplainable disappearance, theft or destruction, provided that the applicant therefor shall have: (a) paid such costs as may have been incurred in connection therewith; (b) (in the case of a mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed Debenture) furnished the Upper-tier Municipality with such evidence (including evidence as to the certificate number of the Debenture in question) and an indemnity in respect thereof satisfactory to the Upper-tier Municipality in its discretion; and (c) surrendered to

Schedule "B"

the Upper-tier Municipality any mutilated or defaced Debentures in respect of which new Debentures are to be issued in substitution.

13. The Debentures issued upon any registration of transfer or exchange or in substitution for any Debentures or part thereof shall carry all the rights to interest if any, accrued and unpaid which were carried by such Debentures or part thereof and shall be so dated and shall bear the same maturity date and, subject to the provisions of the By-law, shall be subject to the same terms and conditions as the Debentures in respect of which the transfer, exchange or substitution is effected.
14. The cost of all transfers and exchanges, including the printing of authorized denominations of the new Debentures, shall be borne by the Upper-tier Municipality. When any of the Debentures are surrendered for transfer or exchange the Treasurer of the Upper-tier Municipality shall: (a) in the case of an exchange, cancel and destroy the Debentures surrendered for exchange; (b) in the case of an exchange, certify the cancellation and destruction in the registry; (c) enter in the registry particulars of the new Debenture or Debentures issued in exchange; and (d) in the case of a transfer, enter in the registry particulars of the registered holder as directed by the transferor.
15. Reasonable fees for the substitution of a new Debenture or new Debentures for any of the Debentures that are mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed and for the replacement of mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed principal and interest cheques (if any) may be imposed by the Upper-tier Municipality. When new Debentures are issued in substitution in these circumstances the Upper-tier Municipality shall: (a) treat as cancelled and destroyed the Debentures in respect of which new Debentures will be issued in substitution; (b) certify the deemed cancellation and destruction in the registry; (c) enter in the registry particulars of the new Debentures issued in substitution; and (d) make a notation of any indemnities provided.
16. If OILC elects to terminate its obligations under the rate offer letter agreement entered into between the Upper-tier Municipality and OILC, or if the Upper-tier Municipality fails to meet and pay any of its debts or liabilities when due, or uses all or any portion of the proceeds of any Debenture for any purpose other than for a Capital Work(s) as authorized in the By-law pursuant to which the Debentures are issued at OILC's discretion, the Upper-tier Municipality shall pay to OILC the Make-Whole Amount on account of the losses that OILC will incur as a result of the early repayment or early termination.

Notices

Except as otherwise expressly provided herein, any notice required to be given to a registered holder of one or more of the Debentures will be sufficiently given if a copy of such notice is mailed or otherwise delivered to the registered address of such registered holder. If the Upper-tier Municipality or any registered holder is required to give any notice in connection with the Debentures on or before any day and that day is not a Business Day (as defined in section 10 of these Conditions) then such notice may be given on the next following Business Day.

Time

17. Unless otherwise expressly provided herein, any reference herein to a time shall be considered to be a reference to Toronto time.

Schedule "B"

Governing Law

18. The Debentures are governed by and shall be construed in accordance with the laws of the Province of Ontario and the federal laws of Canada applicable in Ontario.

Definitions:

- (a) **"Prime Rate"** means, on any day, the annual rate of interest which is the arithmetic mean of the prime rates announced from time to time by the following five major Canadian Schedule I banks, as of the issue date of this Debenture: Royal Bank of Canada; Canadian Imperial Bank of Commerce; The Bank of Nova Scotia; Bank of Montreal; and The Toronto-Dominion Bank (the **"Reference Banks"**) as their reference rates in effect on such day for Canadian dollar commercial loans made in Canada. If fewer than five of the Reference Banks quote a prime rate on such days, the "Prime Rate" shall be the arithmetic mean of the rates quoted by those Reference Banks.
- (b) **"Make-Whole Amount"** means the amount determined by OILC as of the date of prepayment of the Debenture, by which (i) the present value of the remaining future scheduled payments of principal and interest under the Debenture to be repaid from the prepayment date until maturity of the Debenture discounted at the Ontario Yield exceeds (ii) the principal amount under the Debenture being repaid provided that the Make-Whole Amount shall never be less than zero.
- (c) **"Ontario Yield"** means the yield to maturity on the date of prepayment of the Debenture, assuming semi-annual compounding, which a non-prepayable term loan made by the Province of Ontario would have if advanced on the date of prepayment of the Debenture, assuming the same principal amount as the Debenture and with a maturity date which is the same as the remaining term to maturity of the Debenture to be repaid minus 100 basis points.

Schedule "C"

AMORTIZATION SCHEDULE

Name.....: The Regional Municipality of Niagara

Principal: \$35,754,409.00

Rate.....: 02.390%

Term.....: 360 months

Matures...: 12/22/2050

Pay #	Date	Amount Due \$	Principal Due \$	Interest Due \$	Rem. Principal \$
1	06/22/2021	1,022,001.42	595,906.82	426,094.60	35,158,502.18
2	12/22/2021	1,017,202.00	595,906.82	421,295.18	34,562,595.36
3	06/22/2022	1,007,798.26	595,906.82	411,891.44	33,966,688.54
4	12/22/2022	1,002,920.81	595,906.82	407,013.99	33,370,781.72
5	06/22/2023	993,595.11	595,906.82	397,688.29	32,774,874.90
6	12/22/2023	988,639.62	595,906.82	392,732.80	32,178,968.08
7	06/22/2024	981,499.02	595,906.82	385,592.20	31,583,061.26
8	12/22/2024	974,358.42	595,906.82	378,451.60	30,987,154.44
9	06/22/2025	965,188.80	595,906.82	369,281.98	30,391,247.62
10	12/22/2025	960,077.23	595,906.82	364,170.41	29,795,340.80
11	06/22/2026	950,985.65	595,906.82	355,078.83	29,199,433.98
12	12/22/2026	945,796.04	595,906.82	349,889.22	28,603,527.16
13	06/22/2027	936,782.50	595,906.82	340,875.68	28,007,620.34
14	12/22/2027	931,514.84	595,906.82	335,608.02	27,411,713.52
15	06/22/2028	924,374.25	595,906.82	328,467.43	26,815,806.70
16	12/22/2028	917,233.65	595,906.82	321,326.83	26,219,899.88
17	06/22/2029	908,376.19	595,906.82	312,469.37	25,623,993.06
18	12/22/2029	902,952.46	595,906.82	307,045.64	25,028,086.24
19	06/22/2030	894,173.04	595,906.82	298,266.22	24,432,179.42
20	12/22/2030	888,671.27	595,906.82	292,764.45	23,836,272.60
21	06/22/2031	879,969.88	595,906.82	284,063.06	23,240,365.78
22	12/22/2031	874,390.07	595,906.82	278,483.25	22,644,458.96
23	06/22/2032	867,249.48	595,906.82	271,342.66	22,048,552.14
24	12/22/2032	860,108.88	595,906.82	264,202.06	21,452,645.32
25	06/22/2033	851,563.58	595,906.82	255,656.76	20,856,738.50
26	12/22/2033	845,827.69	595,906.82	249,920.87	20,260,831.68
27	06/22/2034	837,360.42	595,906.82	241,453.60	19,664,924.86
28	12/22/2034	831,546.50	595,906.82	235,639.68	19,069,018.04
29	06/22/2035	823,157.27	595,906.82	227,250.45	18,473,111.22
30	12/22/2035	817,265.30	595,906.82	221,358.48	17,877,204.40
31	06/22/2036	810,124.71	595,906.82	214,217.89	17,281,297.58
32	12/22/2036	802,984.11	595,906.82	207,077.29	16,685,390.76
33	06/22/2037	794,750.96	595,906.82	198,844.14	16,089,483.94
34	12/22/2037	788,702.92	595,906.82	192,796.10	15,493,577.12

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35 06/22/2038	780,547.81	595,906.82	184,640.99	14,897,670.30
36 12/22/2038	774,421.73	595,906.82	178,514.91	14,301,763.48
37 06/22/2039	766,344.66	595,906.82	170,437.84	13,705,856.66
38 12/22/2039	760,140.53	595,906.82	164,233.71	13,109,949.84
39 06/22/2040	752,999.94	595,906.82	157,093.12	12,514,043.02
40 12/22/2040	745,859.34	595,906.82	149,952.52	11,918,136.20
41 06/22/2041	737,938.35	595,906.82	142,031.53	11,322,229.38
42 12/22/2041	731,578.15	595,906.82	135,671.33	10,726,322.56
43 06/22/2042	723,735.20	595,906.82	127,828.38	10,130,415.74
44 12/22/2042	717,296.96	595,906.82	121,390.14	9,534,508.92
45 06/22/2043	709,532.04	595,906.82	113,625.22	8,938,602.10
46 12/22/2043	703,015.76	595,906.82	107,108.94	8,342,695.28
47 06/22/2044	695,875.17	595,906.82	99,968.35	7,746,788.46
48 12/22/2044	688,734.57	595,906.82	92,827.75	7,150,881.64
49 06/22/2045	681,125.74	595,906.82	85,218.92	6,554,974.82
50 12/22/2045	674,453.38	595,906.82	78,546.56	5,959,068.00
51 06/22/2046	666,922.58	595,906.82	71,015.76	5,363,161.18
52 12/22/2046	660,172.18	595,906.82	64,265.36	4,767,254.36
53 06/22/2047	652,719.43	595,906.82	56,812.61	4,171,347.54
54 12/22/2047	645,890.99	595,906.82	49,984.17	3,575,440.72
55 06/22/2048	638,750.40	595,906.82	42,843.58	2,979,533.90
56 12/22/2048	631,609.80	595,906.82	35,702.98	2,383,627.08
57 06/22/2049	624,313.12	595,906.82	28,406.30	1,787,720.26
58 12/22/2049	617,328.61	595,906.82	21,421.79	1,191,813.44
59 06/22/2050	610,109.97	595,906.82	14,203.15	595,906.62
60 12/22/2050	603,047.21	595,906.62	7,140.59	0.00

48,793,605.97	35,754,409.00	13,039,196.97
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THE REGIONAL MUNICIPALITY OF NIAGARA

BY-LAW NO. < >

A BY-LAW TO AUTHORIZE THE BORROWING UPON
SERIAL DEBENTURES IN THE PRINCIPAL AMOUNT OF
\$15,335,000.00 FOR A CAPITAL WORK OF THE
REGIONAL MUNICIPALITY OF NIAGARA

WHEREAS subsection 401 (1) of the “Municipal Act, 2001”, as amended (the “Act”) provides that a municipality may incur a debt for municipal purposes, whether by borrowing money or in any other way, and may issue debentures and prescribed financial instruments and enter prescribed financial agreements for or in relation to the debt;

WHEREAS subsection 408 (2.1) of the Act provides that a municipality may issue a debenture or other financial instrument for long-term borrowing only to provide financing for a capital work;

WHEREAS the Act also provides that all debentures issued under a by-law passed by a regional municipality for its own purposes are direct, joint and several obligations of the regional municipality and its lower-tier municipalities;

WHEREAS the Council of The Regional Municipality of Niagara (hereinafter called the “Upper-tier Municipality”), has passed the By-laws enumerated in column (3) of Schedule “A” attached hereto and forming part of this By-law to authorize the capital work described in column (1) of Schedule “A” (the “Capital Work”), to authorize the long-term borrowing from Ontario Infrastructure and Lands Corporation (“OILC”) in respect of the Capital Work and to confirm, ratify and approve the execution by the Treasurer of the application to OILC for financing the Capital Work (the “Application”) and the submission by such authorized official of the Application; and to execute and deliver to OILC the rate offer letter agreement in respect of such long-term borrowing for the Capital Work;

WHEREAS before authorizing the Capital Work and before authorizing any additional cost amount and any additional debenture authority in respect thereof, the Council of the Upper-tier Municipality had its Regional Treasurer calculate an updated limit in respect of its most recent annual debt and financial obligation limit received from the Ministry of Municipal Affairs and Housing in accordance with the applicable regulation and, prior to the Council of the Upper-tier Municipality authorizing the Capital Work, each such additional cost amount and each such additional debenture authority, the Regional

Treasurer determined that the estimated annual amount payable in respect of the Capital Work, each such additional cost amount and each such additional debenture authority would, not cause the Upper-tier Municipality to exceed the updated limit and that the approval of the Capital Work, each such additional cost amount and each such additional debenture authority by the Local Planning Appeal Tribunal or its predecessor pursuant to such regulation was not required;

WHEREAS the Upper-tier Municipality has submitted the Application to OILC and the Application has been approved; and

WHEREAS to provide long-term financing for the Capital Work it is now deemed to be expedient to borrow money by the issue of serial debentures in the principal amount of \$15,335,000.00 dated December 22, 2020 and maturing on December 22, 2045, and payable in semi-annual instalments of combined principal and interest on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2045, both inclusive on the terms hereinafter set forth;

NOW THEREFORE THE COUNCIL OF THE REGIONAL MUNICIPALITY OF NIAGARA ENACTS AS FOLLOWS:

1. That for the Capital Work, the borrowing upon the credit of the Upper-tier Municipality at large of the principal amount of \$15,335,000.00 and the issue of serial debentures therefor to be repaid in semi-annual instalments of combined principal and interest as hereinafter set forth, are hereby authorized.
2. That the Regional Chair and the Regional Treasurer of the Upper-tier Municipality are hereby authorized to cause any number of serial debentures to be issued for such amounts of money as may be required for the Capital Work in definitive form, not exceeding in total the said principal amount of \$15,335,000.00 (the "Debentures"). The Debentures shall bear the Upper-tier Municipality's municipal seal and the signatures of the Regional Chair and the Regional Treasurer of the Upper-tier Municipality, all in accordance with the provisions of the Act. The municipal seal of the Upper-tier Municipality and the signatures referred to in this section may be printed, lithographed, engraved or otherwise mechanically reproduced. The Debentures are sufficiently signed if they bear the required signatures and each person signing has the authority to do so on the date he or she signs.
3. That the Debentures shall be in fully registered form as one or more certificates in the principal amount of \$15,335,000.00, in the name of OILC, or as OILC may otherwise direct, substantially in the form attached as Schedule "B" hereto and

forming part of this By-law with provision for payment of principal and interest (other than in respect of the final payment of principal and outstanding interest on maturity upon presentation and surrender) by pre-authorized debit in respect of such principal and interest to the credit of such registered holder on such terms as to which the registered holder and the Upper-tier Municipality may agree.

4. That in accordance with the provisions of section 25 of the “Ontario Infrastructure and Lands Corporation Act, 2011”, as amended from time to time hereafter, the Upper-tier Municipality is hereby authorized to agree in writing with OILC that the Minister of Finance is entitled, without notice to the Upper-tier Municipality to deduct from money appropriated by the Legislative Assembly of Ontario for payment to the Upper-tier Municipality amounts not exceeding any amounts that the Upper-tier Municipality fails to pay OILC on account of any unpaid indebtedness of the Upper-tier Municipality to OILC under the Debentures and to pay such amounts to OILC from the Consolidated Revenue Fund.
5. That the Debentures shall all be dated the 22nd day of December, 2020, and as to both principal and interest shall be expressed and be payable in lawful money of Canada. The Debentures shall bear interest at the rate of 2.29% per annum and mature during a period of 25 years from the date thereof payable semi-annually in arrears as described in this section. The Debentures shall be paid in full by December 22, 2045 and be payable in semi-annual instalments of combined equal principal and diminishing interest amounts on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2045, both inclusive, as set forth in Schedule “C” attached hereto and forming part of this By-law (“Schedule “C”).
6. That payments in respect of principal of and interest on the Debentures shall be made only on a day, other than Saturday or Sunday, on which banking institutions in Toronto, Ontario, Canada and the Upper-tier Municipality are not authorized or obligated by law or executive order to be closed (a “Business Day”) and if any date for payment is not a Business Day, payment shall be made on the next following Toronto Business Day.
7. That interest shall be payable to the date of maturity of the Debentures and on default shall be payable on any overdue amounts both before and after default and judgment at a rate per annum equal to the greater of the rate specified on the Schedule as attached to and forming part of the Debentures for such amounts plus 200 basis points or Prime Rate (as defined below) plus 200 basis points, calculated on a daily basis from the date such amounts become overdue for so long as such

amounts remain overdue and the Upper-tier Municipality shall pay to the registered holders any and all costs incurred by the registered holders as a result of the overdue payment. Any amounts payable by the Upper-tier Municipality as interest on overdue principal or interest and all costs incurred by the registered holders as a result of the overdue payment in respect of the Debentures shall be paid out of current revenue. Whenever it is necessary to compute any amount of interest in respect of the Debentures for a period of less than one full year, other than with respect to regular semi-annual interest payments, such interest shall be calculated on the basis of the actual number of days in the period and a year of 365 days or 366 days as appropriate.

“Prime Rate” means, on any day, the annual rate of interest which is the arithmetic mean of the prime rates announced from time to time by the following five major Canadian Schedule I banks, as of the issue date of the Debentures: Royal Bank of Canada; Canadian Imperial Bank of Commerce; The Bank of Nova Scotia; Bank of Montreal; and The Toronto-Dominion Bank (the “Reference Banks”) as their reference rates in effect on such day for Canadian dollar commercial loans made in Canada. If fewer than five of the Reference Banks quote a prime rate on such days, the “Prime Rate” shall be the arithmetic mean of the rates quoted by those Reference Banks.

8. (1) That in each year in which a payment of semi-annual instalments of combined equal principal and diminishing interest becomes due in respect of the Capital Work, there shall be raised as part of the Upper-tier Municipality’s general upper-tier levy the amounts of principal and interest payable by the Upper-tier Municipality in each year as set out in Schedule “C” to the extent that the amounts have not been provided for by any other available source including other taxes or fees or charges imposed on persons or property by a by-law of any municipality. Without limiting the generality of the foregoing, the lower-tier municipalities that comprise the Upper-tier Municipality (individually a “Lower-tier Municipality”, collectively the “Lower-tier Municipalities”) shall pay to the Upper-tier Municipality, as part of the general upper-tier levy the amounts required to be paid to the Upper-tier Municipality by the Lower-tier Municipalities in respect of the Capital Work, in accordance with the manner in which the general upper-tier levy is required, from time to time, to be paid to the Upper-tier Municipality. Such amounts constitute debt of the Lower-tier Municipalities to the Upper-tier Municipality and such amounts shall, when combined with any amount payable by the Upper-tier Municipality in the year for repayment of the debt for which the Debentures are to be issued, be sufficient to meet

the total amount of principal and interest payable in the year by the Upper-tier Municipality in respect of the Debentures, all in accordance with the provisions of this By-law and the Act.

- (2) That if any Lower-tier Municipality fails to make any payment or portion of it as provided in this By-law, such Lower-tier Municipality shall pay interest to the Upper-tier Municipality on the amount in default at the rate of 15% per annum, from the date the payment is due until it is made.
 - (3) That there shall be raised, for the Capital Work, pursuant to this By-law, in each year of the currency of the Debentures, as part of the general upper-tier levy, the amounts required to be paid to the Upper-tier Municipality in any previous year by any one or more of the Lower-tier Municipalities to the extent that the amounts have not been paid to the Upper-tier Municipality in accordance with this By-law and the Act.
9. That the Debentures may contain any provision for their registration thereof authorized by any statute relating to municipal debentures in force at the time of the issue thereof.
10. That the Upper-tier Municipality shall maintain a registry in respect of the Debentures in which shall be recorded the names and the addresses of the registered holders and particulars of the Debentures held by them respectively and in which particulars of the cancellations, exchanges, substitutions and transfers of Debentures, may be recorded and the Upper-tier Municipality is authorized to use electronic, magnetic or other media for records of or related to the Debentures or for copies of them.
11. That the Upper-tier Municipality shall not be bound to see to the execution of any trust affecting the ownership of any Debenture or be affected by notice of any equity that may be subsisting in respect thereof. The Upper-tier Municipality shall deem and treat registered holders of the Debentures as the absolute owners thereof for all purposes whatsoever notwithstanding any notice to the contrary and all payments to or to the order of registered holders shall be valid and effectual to discharge the liability of the Upper-tier Municipality on the Debentures to the extent of the amount or amounts so paid. When a Debenture is registered in more than one name, the principal of and interest from time to time payable on such Debenture shall be paid to or to the order of all the joint registered holders thereof, failing written instructions to the contrary from all such joint registered holders, and such payment shall constitute a valid discharge to the Upper-tier Municipality. In

the case of the death of one or more joint registered holders, despite the foregoing provisions of this section, the principal of and interest on any Debentures registered in their names may be paid to the survivor or survivors of such holders and such payment shall constitute a valid discharge to the Upper-tier Municipality.

12. That the Debentures will be transferable or exchangeable at the office of the Regional Treasurer of the Upper-tier Municipality upon presentation for such purpose accompanied by an instrument of transfer or exchange in a form approved by the Upper-tier Municipality and which form is in accordance with the prevailing Canadian transfer legislation and practices, executed by the registered holder thereof or such holder's duly authorized attorney or legal personal representative, whereupon and upon registration of such transfer or exchange and cancellation of the Debenture or Debentures presented, the Regional Chair and the Regional Treasurer shall issue and deliver a new Debenture or Debentures of an equal aggregate principal amount in any authorized denomination or denominations as directed by the transferor, in the case of a transfer or as directed by the registered holder in the case of an exchange.
13. That the Regional Chair and the Regional Treasurer shall issue and deliver new Debentures in exchange or substitution for Debentures outstanding on the registry with the same maturity and of like form which have become mutilated, defaced, lost, subject to a mysterious or unexplainable disappearance, stolen or destroyed, provided that the applicant therefor shall have: (a) paid such costs as may have been incurred in connection therewith; (b) (in the case when a Debenture is mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed) furnished the Upper-tier Municipality with such evidence (including evidence as to the certificate number of the Debenture in question) and an indemnity in respect thereof satisfactory to the Upper-tier Municipality in its discretion; and (c) surrendered to the Upper-tier Municipality any mutilated or defaced Debentures in respect of which new Debentures are to be issued in substitution.
14. That the Debentures issued upon any registration of transfer or exchange or in substitution for any Debentures or part thereof shall carry all the rights to interest if any, accrued and unpaid which were carried by such Debentures or part thereof and shall be so dated and shall bear the same maturity date and, subject to the provisions of this By-law, shall be subject to the same terms and conditions as the Debentures in respect of which the transfer, exchange or substitution is effected.

15. That the cost of all transfers and exchanges, including the printing of authorized denominations of the new Debentures, shall be borne by the Upper-tier Municipality. When any of the Debentures are surrendered for transfer or exchange the Regional Treasurer of the Upper-tier Municipality shall: (a) in the case of an exchange, cancel and destroy the Debentures surrendered for exchange; (b) in the case of an exchange, certify the cancellation and destruction in the registry; (c) enter in the registry particulars of the new Debenture or Debentures issued in exchange; and (d) in the case of a transfer, enter in the registry particulars of the registered holder as directed by the transferor.
16. That reasonable fees in respect of the Debentures, in the normal course of business, other than reasonable fees for the substitution of a new Debenture or new Debentures for any of the Debentures that are mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed and for the replacement of any of the principal and interest cheques (if any) that are mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed may be imposed by the Upper-tier Municipality. When new Debentures are issued in substitution in these circumstances the Upper-tier Municipality shall: (a) treat as cancelled and destroyed the Debentures in respect of which new Debentures will be issued in substitution; (b) certify the deemed cancellation and destruction in the registry; (c) enter in the registry particulars of the new Debentures issued in substitution; and (d) make a notation of any indemnities provided.
17. That except as otherwise expressly provided herein, any notice required to be given to a registered holder of one or more of the Debentures will be sufficiently given if a copy of such notice is mailed or otherwise delivered to the registered address of such registered holder.
18. That the Regional Chair and the Regional Treasurer are hereby authorized to cause the Debentures to be issued, one or more of the Regional Clerk and Regional Treasurer are hereby authorized to generally do all things and to execute all other documents and other papers in the name of the Upper-tier Municipality in order to carry out the issue of the Debentures and the Regional Treasurer or the Regional Clerk is authorized to affix the Upper-tier Municipality's municipal seal to any of such documents and papers.
19. That the money received by the Upper-tier Municipality from the sale of the Debentures to OILC, including any premium, and any earnings derived from the investment of that money, after providing for the expenses related to their issue, if

any, shall be apportioned and applied to the Capital Work, and to no other purpose except as permitted by the Act.

20. That subject to the Upper-tier Municipality's investment policies and goals, the applicable legislation and the terms and conditions of the Debentures, the Upper-tier Municipality may, if not in default under the Debentures, at any time purchase any of the Debentures in the open market or by tender or by private contract at any price and on such terms and conditions (including, without limitation, the manner by which any tender offer may be communicated or accepted and the persons to whom it may be addressed) as the Upper-tier Municipality may in its discretion determine.
21. This by-law shall come into force and take effect on the day upon which it is passed.

THE REGIONAL MUNICIPALITY OF NIAGARA

James Bradley, Regional Chair

Ann-Marie Norio, Regional Clerk

Passed: <>

Schedule "A"

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
Item No.	Description	Account No.	Authorizing By-Law	MOE File No.	MOE Date	Debentures Authorized by Council (\$)	Debentures Previously Issued (\$)	Debentures Now Being Issued (\$)	Debentures Available for Future Use (\$)
	<u>Term 1-25 Year Instalment Debenture (Senior Homes)</u>								
	Capital costs in connection with the:								
1	LTC Home Redevelopment	10GD1505	2016-80, 2015-100 2015-18; 2020-82			15,335,000	-	15,335,000	-
	Sub-total for 1-25 year debenture					15,335,000	-	15,335,000	-
	TOTAL					15,335,000	-	15,335,000	-

Schedule "B"

THE REGIONAL MUNICIPALITY OF NIAGARA

No. OILC-20-08

\$15,335,000.00

C A N A D A

Province of Ontario

THE REGIONAL MUNICIPALITY OF NIAGARA

FULLY REGISTERED 2.29% SERIAL DEBENTURE

THE REGIONAL MUNICIPALITY OF NIAGARA (the "Upper-tier Municipality"), for value received, hereby promises to pay to

ONTARIO INFRASTRUCTURE AND LANDS CORPORATION ("OILC")

or registered assigns, subject to the Conditions attached hereto which form part hereof (the "Conditions"), upon presentation and surrender of this debenture (or as otherwise agreed to by the Upper-tier Municipality and OILC) by the maturity date of this debenture (December 22, 2045), the principal amount of

FIFTEEN MILLION, THREE HUNDRED THIRTY-FIVE THOUSAND DOLLARS

----- (\$15,335,000.00) -----

by semi-annual instalments of combined equal principal and diminishing interest amounts on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2045, both inclusive, in the amounts set forth in the attached Loan Amortization Schedule (the "Amortization Schedule") and subject to late payment interest charges pursuant to the Conditions, in lawful money of Canada. Subject to the Conditions: interest shall be paid until the maturity date of this debenture, in like money in semi-annual payments from the closing date (December 22, 2020), or from the last date on which interest has been paid on this debenture, whichever is later, at the rate of 2.29% per annum, in arrears, on the specified dates, as set forth in the Amortization Schedule; and interest shall be paid on default at the applicable rate set out in the Amortization Schedule both before and after default and judgment. The payments of principal and interest and the outstanding amount of principal in each year are shown in the Amortization Schedule.

The Upper-tier Municipality, pursuant to section 25 of the *Ontario Infrastructure and Lands Corporation Act, 2011* (the "OILC Act, 2011") hereby irrevocably agrees that the Minister of Finance is entitled, without notice to the Upper-tier Municipality, to deduct from money appropriated by the Legislative Assembly of Ontario for payment to the Upper-tier Municipality, amounts not exceeding any amounts that the Upper-tier Municipality fails to pay OILC on account of any unpaid indebtedness under this debenture, and to pay such amounts to OILC from the Consolidated Revenue Fund.

This debenture is subject to the Conditions.

DATED at the Regional Municipality of Niagara as at the 22nd day of December, 2020.

IN TESTIMONY WHEREOF and under the authority of By-law No. 2020-88 the Upper-tier Municipality duly passed on the 17th day of December, 2020 (the "By-law"), this debenture is sealed with the municipal seal of the Upper-tier Municipality and signed by the Regional Chair and by the Regional Treasurer thereof.

Date of Registration: December 22, 2020

_____(seal)
James Bradley, Regional Chair

Todd Harrison, Treasurer

This global debenture is also signed by the Regional Clerk pursuant to the Issuer's internal requirements.

Ann-Marie Norio, Regional Clerk

Schedule "B"

OILC hereby agrees that the Minister of Finance is entitled to exercise certain rights of deduction pursuant to section 25 of the OILC Act, 2011 as described in this debenture.

Ontario Infrastructure and Lands Corporation

by: _____
Authorized Signing Officer

by: _____
Authorized Signing Officer

Schedule "B"

AMORTIZATION SCHEDULE

Name.....: The Regional Municipality of Niagara

Principal: \$15,335,000.00

Rate.....: 02.290%

Term.....: 300 months

Matures...: 12/22/2045

Pay #	Date	Amount Due \$	Principal Due \$	Interest Due \$	Rem. Principal \$
1	06/22/2021	481,804.69	306,700.00	175,104.69	15,028,300.00
2	12/22/2021	479,245.47	306,700.00	172,545.47	14,721,600.00
3	06/22/2022	474,800.51	306,700.00	168,100.51	14,414,900.00
4	12/22/2022	472,202.80	306,700.00	165,502.80	14,108,200.00
5	06/22/2023	467,796.32	306,700.00	161,096.32	13,801,500.00
6	12/22/2023	465,160.13	306,700.00	158,460.13	13,494,800.00
7	06/22/2024	461,638.79	306,700.00	154,938.79	13,188,100.00
8	12/22/2024	458,117.45	306,700.00	151,417.45	12,881,400.00
9	06/22/2025	453,787.94	306,700.00	147,087.94	12,574,700.00
10	12/22/2025	451,074.78	306,700.00	144,374.78	12,268,000.00
11	06/22/2026	446,783.75	306,700.00	140,083.75	11,961,300.00
12	12/22/2026	444,032.11	306,700.00	137,332.11	11,654,600.00
13	06/22/2027	439,779.57	306,700.00	133,079.57	11,347,900.00
14	12/22/2027	436,989.44	306,700.00	130,289.44	11,041,200.00
15	06/22/2028	433,468.10	306,700.00	126,768.10	10,734,500.00
16	12/22/2028	429,946.76	306,700.00	123,246.76	10,427,800.00
17	06/22/2029	425,771.19	306,700.00	119,071.19	10,121,100.00
18	12/22/2029	422,904.09	306,700.00	116,204.09	9,814,400.00
19	06/22/2030	418,767.00	306,700.00	112,067.00	9,507,700.00
20	12/22/2030	415,861.42	306,700.00	109,161.42	9,201,000.00
21	06/22/2031	411,762.82	306,700.00	105,062.82	8,894,300.00
22	12/22/2031	408,818.75	306,700.00	102,118.75	8,587,600.00
23	06/22/2032	405,297.41	306,700.00	98,597.41	8,280,900.00
24	12/22/2032	401,776.08	306,700.00	95,076.08	7,974,200.00
25	06/22/2033	397,754.44	306,700.00	91,054.44	7,667,500.00
26	12/22/2033	394,733.40	306,700.00	88,033.40	7,360,800.00
27	06/22/2034	390,750.25	306,700.00	84,050.25	7,054,100.00
28	12/22/2034	387,690.73	306,700.00	80,990.73	6,747,400.00
29	06/22/2035	383,746.06	306,700.00	77,046.06	6,440,700.00
30	12/22/2035	380,648.06	306,700.00	73,948.06	6,134,000.00
31	06/22/2036	377,126.72	306,700.00	70,426.72	5,827,300.00
32	12/22/2036	373,605.39	306,700.00	66,905.39	5,520,600.00
33	06/22/2037	369,737.69	306,700.00	63,037.69	5,213,900.00

Schedule "B"

34 12/22/2037	366,562.71	306,700.00	59,862.71	4,907,200.00
35 06/22/2038	362,733.50	306,700.00	56,033.50	4,600,500.00
36 12/22/2038	359,520.04	306,700.00	52,820.04	4,293,800.00
37 06/22/2039	355,729.31	306,700.00	49,029.31	3,987,100.00
38 12/22/2039	352,477.37	306,700.00	45,777.37	3,680,400.00
39 06/22/2040	348,956.03	306,700.00	42,256.03	3,373,700.00
40 12/22/2040	345,434.70	306,700.00	38,734.70	3,067,000.00
41 06/22/2041	341,720.94	306,700.00	35,020.94	2,760,300.00
42 12/22/2041	338,392.03	306,700.00	31,692.03	2,453,600.00
43 06/22/2042	334,716.75	306,700.00	28,016.75	2,146,900.00
44 12/22/2042	331,349.35	306,700.00	24,649.35	1,840,200.00
45 06/22/2043	327,712.56	306,700.00	21,012.56	1,533,500.00
46 12/22/2043	324,306.68	306,700.00	17,606.68	1,226,800.00
47 06/22/2044	320,785.34	306,700.00	14,085.34	920,100.00
48 12/22/2044	317,264.01	306,700.00	10,564.01	613,400.00
49 06/22/2045	313,704.19	306,700.00	7,004.19	306,700.00
50 12/22/2045	310,221.34	306,700.00	3,521.34	0.00

19,814,966.96	15,335,000.00	4,479,966.96
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Schedule "B"
LEGAL OPINION

We have examined the By-law of the Upper-tier Municipality authorizing the issue of serial debentures in the principal amount of \$15,335,000.00 dated December 22, 2020 and maturing on December 22, 2045 payable in semi-annual instalments of combined equal principal and diminishing interest amounts on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2045, both inclusive, as set out in Schedule "C" to the By-law.

In our opinion, the By-law has been properly passed and is within the legal powers of the Upper-tier Municipality. The debenture issued under the By-law in the within form (the "Debenture") is the direct, general, unsecured, unsubordinated, joint and several obligation of the Upper-tier Municipality and of its lower-tier municipalities (the "Lower-tier Municipalities"). The Debenture is enforceable against the Upper-tier Municipality and the Lower-tier Municipalities subject to the special jurisdiction and powers of the Local Planning Appeal Tribunal over defaulting municipalities under the *Municipal Affairs Act*. This opinion is subject to and incorporates all the assumptions, qualifications and limitations set out in our opinion letter.

December 22, 2020

WeirFoulds LLP

Schedule "B"
CONDITIONS OF THE DEBENTURE

Form, Denomination, and Ranking of the Debenture

1. The debentures issued pursuant to the By-law (collectively the "Debentures" and individually a "Debenture") are issuable as fully registered Debentures without coupons.
2. The Debentures are direct, general, unsecured, unsubordinated, joint and several obligations of the Upper-tier Municipality and of its Lower-tier Municipalities. The Debentures rank concurrently and equally in respect of payment of principal and interest with all other debentures of the Upper-tier Municipality except for the availability of money in a sinking or retirement fund for a particular issue of debentures.
3. This Debenture is one fully registered Debenture registered in the name of OILC and held by OILC.

Registration

4. The Upper-tier Municipality shall maintain at its designated office a registry in respect of the Debentures in which shall be recorded the names and the addresses of the registered holders and particulars of the Debentures held by them respectively and in which particulars of cancellations, exchanges, substitutions and transfers of Debentures, may be recorded and the Upper-tier Municipality is authorized to use electronic, magnetic or other media for records of or related to the Debentures or for copies of them.

Title

5. The Upper-tier Municipality shall not be bound to see to the execution of any trust affecting the ownership of any Debenture or be affected by notice of any equity that may be subsisting in respect thereof. The Upper-tier Municipality shall deem and treat registered holders of Debentures, including this Debenture, as the absolute owners thereof for all purposes whatsoever notwithstanding any notice to the contrary and all payments to or to the order of registered holders shall be valid and effectual to discharge the liability of the Upper-tier Municipality on the Debentures to the extent of the amount or amounts so paid. Where a Debenture is registered in more than one name, the principal of and interest from time to time payable on such Debenture shall be paid to or to the order of all the joint registered holders thereof, failing written instructions to the contrary from all such joint registered holders, and such payment shall constitute a valid discharge to the Upper-tier Municipality. In the case of the death of one or more joint registered holders, despite the foregoing provisions of this section, the principal of and interest on any Debentures registered in their names may be paid to the survivor or survivors of such holders and such payment shall constitute a valid discharge to the Upper-tier Municipality.

Payments of Principal and Interest

6. The record date for purposes of payment of principal of and interest on the Debentures is as of 5:00 p.m. on the sixteenth calendar day preceding any Payment Date including the maturity date. Principal of and interest on the Debentures are payable by the Upper-tier Municipality to the persons registered as holders in the registry on the relevant record date. The Upper-tier

Schedule "B"

Municipality shall not be required to register any transfer, exchange or substitution of Debentures during the period from any record date to the corresponding Payment Date.

7. The Upper-tier Municipality shall make all payments in respect of semi-annual instalments of combined equal principal and diminishing interest amounts on the Debentures on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2045, both inclusive, as set out in Schedule "C" to the By-law, by pre-authorized debit in respect of such interest and principal to the credit of the registered holder on such terms as the Upper-tier Municipality and the registered holder may agree.
8. The Upper-tier Municipality shall pay to the registered holder interest on any overdue amount of principal or interest in respect of any Debenture, both before and after default and judgment, at a rate per annum equal to the greater of the rate specified on the Schedule as attached to and forming part of the Debenture for such amount plus 200 basis points or Prime Rate (as defined below) plus 200 basis points, calculated on a daily basis from the date such amount becomes overdue for so long as such amount remains overdue and the Upper-tier Municipality shall pay to the registered holder any and all costs incurred by the registered holder as a result of the overdue payment.
9. Whenever it is necessary to compute any amount of interest in respect of the Debentures for a period of less than one full year, other than with respect to regular semi-annual interest payments, such interest shall be calculated on the basis of the actual number of days in the period and a year of 365 days or 366 days as appropriate.
10. Payments in respect of principal of and interest on the Debentures shall be made only on a day, other than Saturday or Sunday, on which banking institutions in Toronto, Ontario, Canada and the Upper-tier Municipality are not authorized or obligated by law or executive order to be closed (a "**Business Day**"), and if any date for payment is not a Business Day, payment shall be made on the next following Business Day as noted on the Amortization Schedule.
11. The Debentures are transferable or exchangeable at the office of the Regional Treasurer of the Upper-tier Municipality upon presentation for such purpose accompanied by an instrument of transfer or exchange in a form approved by the Upper-tier Municipality and which form is in accordance with the prevailing Canadian transfer legislation and practices, executed by the registered holder thereof or such holder's duly authorized attorney or legal personal representative, whereupon and upon registration of such transfer or exchange and cancellation of the Debenture or Debentures presented, a new Debenture or Debentures of an equal aggregate principal amount in any authorized denomination or denominations will be delivered as directed by the transferor, in the case of a transfer or as directed by the registered holder in the case of an exchange.
12. The Upper-tier Municipality shall issue and deliver Debentures in exchange for or in substitution for Debentures outstanding on the registry with the same maturity and of like form in the event of a mutilation, defacement, loss, mysterious or unexplainable disappearance, theft or destruction, provided that the applicant therefor shall have: (a) paid such costs as may have been incurred in connection therewith; (b) (in the case of a mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed Debenture) furnished the Upper-tier Municipality with such evidence (including evidence as to the certificate number of the Debenture in question) and an indemnity in respect thereof satisfactory to the Upper-tier Municipality in its discretion; and (c) surrendered to

Schedule "B"

the Upper-tier Municipality any mutilated or defaced Debentures in respect of which new Debentures are to be issued in substitution.

13. The Debentures issued upon any registration of transfer or exchange or in substitution for any Debentures or part thereof shall carry all the rights to interest if any, accrued and unpaid which were carried by such Debentures or part thereof and shall be so dated and shall bear the same maturity date and, subject to the provisions of the By-law, shall be subject to the same terms and conditions as the Debentures in respect of which the transfer, exchange or substitution is effected.
14. The cost of all transfers and exchanges, including the printing of authorized denominations of the new Debentures, shall be borne by the Upper-tier Municipality. When any of the Debentures are surrendered for transfer or exchange the Treasurer of the Upper-tier Municipality shall: (a) in the case of an exchange, cancel and destroy the Debentures surrendered for exchange; (b) in the case of an exchange, certify the cancellation and destruction in the registry; (c) enter in the registry particulars of the new Debenture or Debentures issued in exchange; and (d) in the case of a transfer, enter in the registry particulars of the registered holder as directed by the transferor.
15. Reasonable fees for the substitution of a new Debenture or new Debentures for any of the Debentures that are mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed and for the replacement of mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed principal and interest cheques (if any) may be imposed by the Upper-tier Municipality. When new Debentures are issued in substitution in these circumstances the Upper-tier Municipality shall: (a) treat as cancelled and destroyed the Debentures in respect of which new Debentures will be issued in substitution; (b) certify the deemed cancellation and destruction in the registry; (c) enter in the registry particulars of the new Debentures issued in substitution; and (d) make a notation of any indemnities provided.
16. If OILC elects to terminate its obligations under the rate offer letter agreement entered into between the Upper-tier Municipality and OILC, or if the Upper-tier Municipality fails to meet and pay any of its debts or liabilities when due, or uses all or any portion of the proceeds of any Debenture for any purpose other than for a Capital Work(s) as authorized in the By-law pursuant to which the Debentures are issued at OILC's discretion, the Upper-tier Municipality shall pay to OILC the Make-Whole Amount on account of the losses that OILC will incur as a result of the early repayment or early termination.

Notices

17. Except as otherwise expressly provided herein, any notice required to be given to a registered holder of one or more of the Debentures will be sufficiently given if a copy of such notice is mailed or otherwise delivered to the registered address of such registered holder. If the Upper-tier Municipality or any registered holder is required to give any notice in connection with the Debentures on or before any day and that day is not a Business Day (as defined in section 10 of these Conditions) then such notice may be given on the next following Business Day.

Time

Schedule "B"

18. Unless otherwise expressly provided herein, any reference herein to a time shall be considered to be a reference to Toronto time.

Governing Law

19. The Debentures are governed by and shall be construed in accordance with the laws of the Province of Ontario and the federal laws of Canada applicable in Ontario.

Definitions:

(a) **"Prime Rate"** means, on any day, the annual rate of interest which is the arithmetic mean of the prime rates announced from time to time by the following five major Canadian Schedule I banks, as of the issue date of this Debenture: Royal Bank of Canada; Canadian Imperial Bank of Commerce; The Bank of Nova Scotia; Bank of Montreal; and The Toronto-Dominion Bank (the **"Reference Banks"**) as their reference rates in effect on such day for Canadian dollar commercial loans made in Canada. If fewer than five of the Reference Banks quote a prime rate on such days, the "Prime Rate" shall be the arithmetic mean of the rates quoted by those Reference Banks.

(b) **"Make-Whole Amount"** means the amount determined by OILC as of the date of prepayment of the Debenture, by which (i) the present value of the remaining future scheduled payments of principal and interest under the Debenture to be repaid from the prepayment date until maturity of the Debenture discounted at the Ontario Yield exceeds (ii) the principal amount under the Debenture being repaid provided that the Make-Whole Amount shall never be less than zero.

(c) **"Ontario Yield"** means the yield to maturity on the date of prepayment of the Debenture, assuming semi-annual compounding, which a non-prepayable term loan made by the Province of Ontario would have if advanced on the date of prepayment of the Debenture, assuming the same principal amount as the Debenture and with a maturity date which is the same as the remaining term to maturity of the Debenture to be repaid minus 100 basis points.

Schedule "C"

AMORTIZATION SCHEDULE

Name.....: The Regional Municipality of Niagara

Principal: \$15,335,000.00

Rate.....: 02.290%

Term.....: 300 months

Matures...: 12/22/2045

Pay #	Date	Amount Due \$	Principal Due \$	Interest Due \$	Rem. Principal \$
1	06/22/2021	481,804.69	306,700.00	175,104.69	15,028,300.00
2	12/22/2021	479,245.47	306,700.00	172,545.47	14,721,600.00
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21	06/22/2031	411,762.82	306,700.00	105,062.82	8,894,300.00
22	12/22/2031	408,818.75	306,700.00	102,118.75	8,587,600.00
23	06/22/2032	405,297.41	306,700.00	98,597.41	8,280,900.00
24	12/22/2032	401,776.08	306,700.00	95,076.08	7,974,200.00
25	06/22/2033	397,754.44	306,700.00	91,054.44	7,667,500.00
26	12/22/2033	394,733.40	306,700.00	88,033.40	7,360,800.00
27	06/22/2034	390,750.25	306,700.00	84,050.25	7,054,100.00
28	12/22/2034	387,690.73	306,700.00	80,990.73	6,747,400.00
29	06/22/2035	383,746.06	306,700.00	77,046.06	6,440,700.00
30	12/22/2035	380,648.06	306,700.00	73,948.06	6,134,000.00
31	06/22/2036	377,126.72	306,700.00	70,426.72	5,827,300.00
32	12/22/2036	373,605.39	306,700.00	66,905.39	5,520,600.00
33	06/22/2037	369,737.69	306,700.00	63,037.69	5,213,900.00
34	12/22/2037	366,562.71	306,700.00	59,862.71	4,907,200.00

Schedule "C"

35 06/22/2038	362,733.50	306,700.00	56,033.50	4,600,500.00
36 12/22/2038	359,520.04	306,700.00	52,820.04	4,293,800.00
37 06/22/2039	355,729.31	306,700.00	49,029.31	3,987,100.00
38 12/22/2039	352,477.37	306,700.00	45,777.37	3,680,400.00
39 06/22/2040	348,956.03	306,700.00	42,256.03	3,373,700.00
40 12/22/2040	345,434.70	306,700.00	38,734.70	3,067,000.00
41 06/22/2041	341,720.94	306,700.00	35,020.94	2,760,300.00
42 12/22/2041	338,392.03	306,700.00	31,692.03	2,453,600.00
43 06/22/2042	334,716.75	306,700.00	28,016.75	2,146,900.00
44 12/22/2042	331,349.35	306,700.00	24,649.35	1,840,200.00
45 06/22/2043	327,712.56	306,700.00	21,012.56	1,533,500.00
46 12/22/2043	324,306.68	306,700.00	17,606.68	1,226,800.00
47 06/22/2044	320,785.34	306,700.00	14,085.34	920,100.00
48 12/22/2044	317,264.01	306,700.00	10,564.01	613,400.00
49 06/22/2045	313,704.19	306,700.00	7,004.19	306,700.00
50 12/22/2045	310,221.34	306,700.00	3,521.34	0.00

19,814,966.96	15,335,000.00	4,479,966.96
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THE REGIONAL MUNICIPALITY OF NIAGARA

BY-LAW NO. < >

A BY-LAW TO AUTHORIZE THE BORROWING UPON
SERIAL DEBENTURES IN THE PRINCIPAL AMOUNT OF
\$3,350,000.00 FOR A CAPITAL WORK OF THE REGIONAL
MUNICIPALITY OF NIAGARA

WHEREAS subsection 401 (1) of the “Municipal Act, 2001”, as amended (the “Act”) provides that a municipality may incur a debt for municipal purposes, whether by borrowing money or in any other way, and may issue debentures and prescribed financial instruments and enter prescribed financial agreements for or in relation to the debt;

WHEREAS subsection 408 (2.1) of the Act provides that a municipality may issue a debenture or other financial instrument for long-term borrowing only to provide financing for a capital work;

WHEREAS the Act also provides that all debentures issued under a by-law passed by a regional municipality for its own purposes are direct, joint and several obligations of the regional municipality and its lower-tier municipalities;

WHEREAS the Council of The Regional Municipality of Niagara (hereinafter called the “Upper-tier Municipality”), has passed the By-laws enumerated in column (3) of Schedule “A” attached hereto and forming part of this By-law to authorize the capital work described in column (1) of Schedule “A” (the “Capital Work”), to authorize the long-term borrowing from Ontario Infrastructure and Lands Corporation (“OILC”) in respect of the Capital Work and to confirm, ratify and approve the execution by the Treasurer of the application to OILC for financing the Capital Work (the “Application”) and the submission by such authorized official of the Application; and to execute and deliver to OILC the rate offer letter agreement in respect of such long-term borrowing for the Capital Work;

WHEREAS before authorizing the Capital Work and before authorizing an additional cost amount and an additional debenture authority in respect thereof, the Council of the Upper-tier Municipality had its Regional Treasurer calculate an updated limit in respect of its most recent annual debt and financial obligation limit received from the Ministry of Municipal Affairs and Housing in accordance with the applicable regulation and, prior to the Council of the Upper-tier Municipality authorizing the Capital Work, such additional cost amount and such additional debenture authority, the Regional Treasurer determined

that the estimated annual amount payable in respect of the Capital Work, such additional cost amount and such additional debenture authority would, not cause the Upper-tier Municipality to exceed the updated limit and that the approval of the Capital Work, such additional cost amount and such additional debenture authority by the Local Planning Appeal Tribunal or its predecessor pursuant to such regulation was not required;

WHEREAS the Upper-tier Municipality has submitted the Application to OILC and the Application has been approved; and

WHEREAS to provide long-term financing for the Capital Work it is now deemed to be expedient to borrow money by the issue of serial debentures in the principal amount of \$3,350,000.00 dated December 22, 2020 and maturing on December 22, 2030, and payable in semi-annual instalments of combined principal and interest on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2030, both inclusive on the terms hereinafter set forth;

NOW THEREFORE THE COUNCIL OF THE REGIONAL MUNICIPALITY OF NIAGARA ENACTS AS FOLLOWS:

1. That for the Capital Work, the borrowing upon the credit of the Upper-tier Municipality at large of the principal amount of \$3,350,000.00 and the issue of serial debentures therefor to be repaid in semi-annual instalments of combined principal and interest as hereinafter set forth, are hereby authorized.
2. That the Regional Chair and the Regional Treasurer of the Upper-tier Municipality are hereby authorized to cause any number of serial debentures to be issued for such amounts of money as may be required for the Capital Work in definitive form, not exceeding in total the said principal amount of \$3,350,000.00 (the "Debentures"). The Debentures shall bear the Upper-tier Municipality's municipal seal and the signatures of the Regional Chair and the Regional Treasurer of the Upper-tier Municipality, all in accordance with the provisions of the Act. The municipal seal of the Upper-tier Municipality and the signatures referred to in this section may be printed, lithographed, engraved or otherwise mechanically reproduced. The Debentures are sufficiently signed if they bear the required signatures and each person signing has the authority to do so on the date he or she signs.
3. That the Debentures shall be in fully registered form as one or more certificates in the principal amount of \$3,350,000.00, in the name of OILC, or as OILC may otherwise direct, substantially in the form attached as Schedule "B" hereto and forming part of this By-law with provision for payment of principal and interest

(other than in respect of the final payment of principal and outstanding interest on maturity upon presentation and surrender) by pre-authorized debit in respect of such principal and interest to the credit of such registered holder on such terms as to which the registered holder and the Upper-tier Municipality may agree.

4. That in accordance with the provisions of section 25 of the “Ontario Infrastructure and Lands Corporation Act, 2011”, as amended from time to time hereafter, the Upper-tier Municipality is hereby authorized to agree in writing with OILC that the Minister of Finance is entitled, without notice to the Upper-tier Municipality to deduct from money appropriated by the Legislative Assembly of Ontario for payment to the Upper-tier Municipality amounts not exceeding any amounts that the Upper-tier Municipality fails to pay OILC on account of any unpaid indebtedness of the Upper-tier Municipality to OILC under the Debentures and to pay such amounts to OILC from the Consolidated Revenue Fund.
5. That the Debentures shall all be dated the 22nd day of December, 2020, and as to both principal and interest shall be expressed and be payable in lawful money of Canada. The Debentures shall bear interest at the rate of 1.53% per annum and mature during a period of 10 years from the date thereof payable semi-annually in arrears as described in this section. The Debentures shall be paid in full by December 22, 2030 and be payable in semi-annual instalments of combined equal principal and diminishing interest amounts on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2030, both inclusive, as set forth in Schedule “C” attached hereto and forming part of this By-law (“Schedule “C”).
6. That payments in respect of principal of and interest on the Debentures shall be made only on a day, other than Saturday or Sunday, on which banking institutions in Toronto, Ontario, Canada and the Upper-tier Municipality are not authorized or obligated by law or executive order to be closed (a “Business Day”) and if any date for payment is not a Business Day, payment shall be made on the next following Toronto Business Day.
7. That interest shall be payable to the date of maturity of the Debentures and on default shall be payable on any overdue amounts both before and after default and judgment at a rate per annum equal to the greater of the rate specified on the Schedule as attached to and forming part of the Debentures for such amounts plus 200 basis points or Prime Rate (as defined below) plus 200 basis points, calculated on a daily basis from the date such amounts become overdue for so long as such amounts remain overdue and the Upper-tier Municipality shall pay to the registered

holders any and all costs incurred by the registered holders as a result of the overdue payment. Any amounts payable by the Upper-tier Municipality as interest on overdue principal or interest and all costs incurred by the registered holders as a result of the overdue payment in respect of the Debentures shall be paid out of current revenue. Whenever it is necessary to compute any amount of interest in respect of the Debentures for a period of less than one full year, other than with respect to regular semi-annual interest payments, such interest shall be calculated on the basis of the actual number of days in the period and a year of 365 days or 366 days as appropriate.

“Prime Rate” means, on any day, the annual rate of interest which is the arithmetic mean of the prime rates announced from time to time by the following five major Canadian Schedule I banks, as of the issue date of the Debentures: Royal Bank of Canada; Canadian Imperial Bank of Commerce; The Bank of Nova Scotia; Bank of Montreal; and The Toronto-Dominion Bank (the “Reference Banks”) as their reference rates in effect on such day for Canadian dollar commercial loans made in Canada. If fewer than five of the Reference Banks quote a prime rate on such days, the “Prime Rate” shall be the arithmetic mean of the rates quoted by those Reference Banks.

8. (1) That in each year in which a payment of semi-annual instalments of combined equal principal and diminishing interest becomes due in respect of the Capital Work, there shall be raised as part of the Upper-tier Municipality’s general upper-tier levy the amounts of principal and interest payable by the Upper-tier Municipality in each year as set out in Schedule “C” to the extent that the amounts have not been provided for by any other available source including other taxes or fees or charges imposed on persons or property by a by-law of any municipality. Without limiting the generality of the foregoing, the lower-tier municipalities that comprise the Upper-tier Municipality (individually a “Lower-tier Municipality”, collectively the “Lower-tier Municipalities”) shall pay to the Upper-tier Municipality, as part of the general upper-tier levy the amounts required to be paid to the Upper-tier Municipality by the Lower-tier Municipalities in respect of the Capital Work, in accordance with the manner in which the general upper-tier levy is required, from time to time, to be paid to the Upper-tier Municipality. Such amounts constitute debt of the Lower-tier Municipalities to the Upper-tier Municipality and such amounts shall, when combined with any amount payable by the Upper-tier Municipality in the year for repayment of the debt for which the Debentures are to be issued, be sufficient to meet the total amount of principal and interest payable in the year by the Upper-

tier Municipality in respect of the Debentures, all in accordance with the provisions of this By-law and the Act.

- (2) That if any Lower-tier Municipality fails to make any payment or portion of it as provided in this By-law, such Lower-tier Municipality shall pay interest to the Upper-tier Municipality on the amount in default at the rate of 15% per annum, from the date the payment is due until it is made.
 - (3) That there shall be raised, for the Capital Work, pursuant to this By-law, in each year of the currency of the Debentures, as part of the general upper-tier levy, the amounts required to be paid to the Upper-tier Municipality in any previous year by any one or more of the Lower-tier Municipalities to the extent that the amounts have not been paid to the Upper-tier Municipality in accordance with this By-law and the Act.
9. That the Debentures may contain any provision for their registration thereof authorized by any statute relating to municipal debentures in force at the time of the issue thereof.
10. That the Upper-tier Municipality shall maintain a registry in respect of the Debentures in which shall be recorded the names and the addresses of the registered holders and particulars of the Debentures held by them respectively and in which particulars of the cancellations, exchanges, substitutions and transfers of Debentures, may be recorded and the Upper-tier Municipality is authorized to use electronic, magnetic or other media for records of or related to the Debentures or for copies of them.
11. That the Upper-tier Municipality shall not be bound to see to the execution of any trust affecting the ownership of any Debenture or be affected by notice of any equity that may be subsisting in respect thereof. The Upper-tier Municipality shall deem and treat registered holders of the Debentures as the absolute owners thereof for all purposes whatsoever notwithstanding any notice to the contrary and all payments to or to the order of registered holders shall be valid and effectual to discharge the liability of the Upper-tier Municipality on the Debentures to the extent of the amount or amounts so paid. When a Debenture is registered in more than one name, the principal of and interest from time to time payable on such Debenture shall be paid to or to the order of all the joint registered holders thereof, failing written instructions to the contrary from all such joint registered holders, and such payment shall constitute a valid discharge to the Upper-tier Municipality. In the case of the death of one or more joint registered holders, despite the foregoing

provisions of this section, the principal of and interest on any Debentures registered in their names may be paid to the survivor or survivors of such holders and such payment shall constitute a valid discharge to the Upper-tier Municipality.

12. That the Debentures will be transferable or exchangeable at the office of the Regional Treasurer of the Upper-tier Municipality upon presentation for such purpose accompanied by an instrument of transfer or exchange in a form approved by the Upper-tier Municipality and which form is in accordance with the prevailing Canadian transfer legislation and practices, executed by the registered holder thereof or such holder's duly authorized attorney or legal personal representative, whereupon and upon registration of such transfer or exchange and cancellation of the Debenture or Debentures presented, the Regional Chair and the Regional Treasurer shall issue and deliver a new Debenture or Debentures of an equal aggregate principal amount in any authorized denomination or denominations as directed by the transferor, in the case of a transfer or as directed by the registered holder in the case of an exchange.
13. That the Regional Chair and the Regional Treasurer shall issue and deliver new Debentures in exchange or substitution for Debentures outstanding on the registry with the same maturity and of like form which have become mutilated, defaced, lost, subject to a mysterious or unexplainable disappearance, stolen or destroyed, provided that the applicant therefor shall have: (a) paid such costs as may have been incurred in connection therewith; (b) (in the case when a Debenture is mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed) furnished the Upper-tier Municipality with such evidence (including evidence as to the certificate number of the Debenture in question) and an indemnity in respect thereof satisfactory to the Upper-tier Municipality in its discretion; and (c) surrendered to the Upper-tier Municipality any mutilated or defaced Debentures in respect of which new Debentures are to be issued in substitution.
14. That the Debentures issued upon any registration of transfer or exchange or in substitution for any Debentures or part thereof shall carry all the rights to interest if any, accrued and unpaid which were carried by such Debentures or part thereof and shall be so dated and shall bear the same maturity date and, subject to the provisions of this By-law, shall be subject to the same terms and conditions as the Debentures in respect of which the transfer, exchange or substitution is effected.
15. That the cost of all transfers and exchanges, including the printing of authorized denominations of the new Debentures, shall be borne by the Upper-tier

- Municipality. When any of the Debentures are surrendered for transfer or exchange the Regional Treasurer of the Upper-tier Municipality shall: (a) in the case of an exchange, cancel and destroy the Debentures surrendered for exchange; (b) in the case of an exchange, certify the cancellation and destruction in the registry; (c) enter in the registry particulars of the new Debenture or Debentures issued in exchange; and (d) in the case of a transfer, enter in the registry particulars of the registered holder as directed by the transferor.
16. That reasonable fees in respect of the Debentures, in the normal course of business, other than reasonable fees for the substitution of a new Debenture or new Debentures for any of the Debentures that are mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed and for the replacement of any of the principal and interest cheques (if any) that are mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed may be imposed by the Upper-tier Municipality. When new Debentures are issued in substitution in these circumstances the Upper-tier Municipality shall: (a) treat as cancelled and destroyed the Debentures in respect of which new Debentures will be issued in substitution; (b) certify the deemed cancellation and destruction in the registry; (c) enter in the registry particulars of the new Debentures issued in substitution; and (d) make a notation of any indemnities provided.
 17. That except as otherwise expressly provided herein, any notice required to be given to a registered holder of one or more of the Debentures will be sufficiently given if a copy of such notice is mailed or otherwise delivered to the registered address of such registered holder.
 18. That the Regional Chair and the Regional Treasurer are hereby authorized to cause the Debentures to be issued, one or more of the Regional Clerk and Regional Treasurer are hereby authorized to generally do all things and to execute all other documents and other papers in the name of the Upper-tier Municipality in order to carry out the issue of the Debentures and the Regional Treasurer or the Regional Clerk is authorized to affix the Upper-tier Municipality's municipal seal to any of such documents and papers.
 19. That the money received by the Upper-tier Municipality from the sale of the Debentures to OILC, including any premium, and any earnings derived from the investment of that money, after providing for the expenses related to their issue, if any, shall be apportioned and applied to the Capital Work, and to no other purpose except as permitted by the Act.

20. That subject to the Upper-tier Municipality's investment policies and goals, the applicable legislation and the terms and conditions of the Debentures, the Upper-tier Municipality may, if not in default under the Debentures, at any time purchase any of the Debentures in the open market or by tender or by private contract at any price and on such terms and conditions (including, without limitation, the manner by which any tender offer may be communicated or accepted and the persons to whom it may be addressed) as the Upper-tier Municipality may in its discretion determine.
21. This by-law shall come into force and take effect on the day upon which it is passed.

THE REGIONAL MUNICIPALITY OF NIAGARA

James Bradley, Regional Chair

Ann-Marie Norio, Regional Clerk

Passed: <>

Schedule "A"

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
Item No.	Description	Account No.	Authorizing By-Law	MOE File No.	MOE Date	Debentures Authorized by Council (\$)	Debentures Previously Issued (\$)	Debentures Now Being Issued (\$)	Debentures Available for Future Use (\$)
	<u>Term 1-10 Year Instalment (Serial) Debenture (Genral Government)</u>								
	Capital costs in connection with the:								
1	18-Canada Summer Games	20000751	2017-105 2020-82			6,350,000	3,000,000	3,350,000	-
	Sub-total for 1-10 year debenture					6,350,000	3,000,000	3,350,000	-
	TOTAL					6,350,000	3,000,000	3,350,000	-

Schedule "B"

THE REGIONAL MUNICIPALITY OF NIAGARA

No. OILC-20-07

\$3,350,000.00

C A N A D A

Province of Ontario

THE REGIONAL MUNICIPALITY OF NIAGARA

FULLY REGISTERED 1.53% SERIAL DEBENTURE

THE REGIONAL MUNICIPALITY OF NIAGARA (the "Upper-tier Municipality"), for value received, hereby promises to pay to

ONTARIO INFRASTRUCTURE AND LANDS CORPORATION ("OILC")

or registered assigns, subject to the Conditions attached hereto which form part hereof (the "Conditions"), upon presentation and surrender of this debenture (or as otherwise agreed to by the Upper-tier Municipality and OILC) by the maturity date of this debenture (December 22, 2030), the principal amount of

THREE MILLION, THREE HUNDRED FIFTY THOUSAND DOLLARS

----- (\$3,350,000.00) -----

by semi-annual instalments of combined equal principal and diminishing interest amounts on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2030, both inclusive, in the amounts set forth in the attached Loan Amortization Schedule (the "Amortization Schedule") and subject to late payment interest charges pursuant to the Conditions, in lawful money of Canada. Subject to the Conditions: interest shall be paid until the maturity date of this debenture, in like money in semi-annual payments from the closing date (December 22, 2020), or from the last date on which interest has been paid on this debenture, whichever is later, at the rate of 1.53% per annum, in arrears, on the specified dates, as set forth in the Amortization Schedule; and interest shall be paid on default at the applicable rate set out in the Amortization Schedule both before and after default and judgment. The payments of principal and interest and the outstanding amount of principal in each year are shown in the Amortization Schedule.

The Upper-tier Municipality, pursuant to section 25 of the *Ontario Infrastructure and Lands Corporation Act, 2011* (the "OILC Act, 2011") hereby irrevocably agrees that the Minister of Finance is entitled, without notice to the Upper-tier Municipality, to deduct from money appropriated by the Legislative Assembly of Ontario for payment to the Upper-tier Municipality, amounts not exceeding any amounts that the Upper-tier Municipality fails to pay OILC on account of any unpaid indebtedness under this debenture, and to pay such amounts to OILC from the Consolidated Revenue Fund.

This debenture is subject to the Conditions.

DATED at the Regional Municipality of Niagara as at the 22nd day of December, 2020.

IN TESTIMONY WHEREOF and under the authority of By-law No. 2020-89 the Upper-tier Municipality duly passed on the 17th day of December, 2020 (the "By-law"), this debenture is sealed with the municipal seal of the Upper-tier Municipality and signed by the Regional Chair and by the Regional Treasurer thereof.

Date of Registration: December 22, 2020

_____(seal)
James Bradley, Regional Chair

Todd Harrison, Treasurer

This global debenture is also signed by the Regional Clerk pursuant to the Issuer's internal requirements.

Ann-Marie Norio, Regional Clerk

Schedule "B"

OILC hereby agrees that the Minister of Finance is entitled to exercise certain rights of deduction pursuant to section 25 of the OILC Act, 2011 as described in this debenture.

Ontario Infrastructure and Lands Corporation

by: _____
Authorized Signing Officer

by: _____
Authorized Signing Officer

Schedule "B"

AMORTIZATION SCHEDULE

Name.....: The Regional Municipality of Niagara

Principal: \$3,350,000.00

Rate.....: 01.530%

Term.....: 120 months

Matures...: 12/22/2030

Pay#	Date	Amount Due \$	Principal Due \$	Interest Due \$	Rem. Principal \$

1	06/22/2021	193,057.29	167,500.00	25,557.29	3,182,500.00
2	12/22/2021	191,912.83	167,500.00	24,412.83	3,015,000.00
3	06/22/2022	190,501.56	167,500.00	23,001.56	2,847,500.00
4	12/22/2022	189,343.06	167,500.00	21,843.06	2,680,000.00
5	06/22/2023	187,945.83	167,500.00	20,445.83	2,512,500.00
6	12/22/2023	186,773.28	167,500.00	19,273.28	2,345,000.00
7	06/22/2024	185,488.40	167,500.00	17,988.40	2,177,500.00
8	12/22/2024	184,203.51	167,500.00	16,703.51	2,010,000.00
9	06/22/2025	182,834.37	167,500.00	15,334.37	1,842,500.00
10	12/22/2025	181,633.74	167,500.00	14,133.74	1,675,000.00
11	06/22/2026	180,278.64	167,500.00	12,778.64	1,507,500.00
12	12/22/2026	179,063.97	167,500.00	11,563.97	1,340,000.00
13	06/22/2027	177,722.92	167,500.00	10,222.92	1,172,500.00
14	12/22/2027	176,494.20	167,500.00	8,994.20	1,005,000.00
15	06/22/2028	175,209.31	167,500.00	7,709.31	837,500.00
16	12/22/2028	173,924.43	167,500.00	6,424.43	670,000.00
17	06/22/2029	172,611.46	167,500.00	5,111.46	502,500.00
18	12/22/2029	171,354.66	167,500.00	3,854.66	335,000.00
19	06/22/2030	170,055.73	167,500.00	2,555.73	167,500.00
20	12/22/2030	168,784.89	167,500.00	1,284.89	0.00

		3,619,194.08	3,350,000.00	269,194.08	

Schedule "B"
LEGAL OPINION

We have examined the By-law of the Upper-tier Municipality authorizing the issue of serial debentures in the principal amount of \$3,350,000.00 dated December 22, 2020 and maturing on December 22, 2030 payable in semi-annual instalments of combined equal principal and diminishing interest amounts on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2030, both inclusive, as set out in Schedule "C" to the By-law.

In our opinion, the By-law has been properly passed and is within the legal powers of the Upper-tier Municipality. The debenture issued under the By-law in the within form (the "Debenture") is the direct, general, unsecured, unsubordinated, joint and several obligation of the Upper-tier Municipality and of its lower-tier municipalities (the "Lower-tier Municipalities"). The Debenture is enforceable against the Upper-tier Municipality and the Lower-tier Municipalities subject to the special jurisdiction and powers of the Local Planning Appeal Tribunal over defaulting municipalities under the *Municipal Affairs Act*. This opinion is subject to and incorporates all the assumptions, qualifications and limitations set out in our opinion letter.

December 22, 2020

WeirFoulds LLP

Schedule "B"
CONDITIONS OF THE DEBENTURE

Form, Denomination, and Ranking of the Debenture

1. The debentures issued pursuant to the By-law (collectively the "Debentures" and individually a "Debenture") are issuable as fully registered Debentures without coupons.
2. The Debentures are direct, general, unsecured, unsubordinated, joint and several obligations of the Upper-tier Municipality and of its Lower-tier Municipalities. The Debentures rank concurrently and equally in respect of payment of principal and interest with all other debentures of the Upper-tier Municipality except for the availability of money in a sinking or retirement fund for a particular issue of debentures.
3. This Debenture is one fully registered Debenture registered in the name of OILC and held by OILC.

Registration

4. The Upper-tier Municipality shall maintain at its designated office a registry in respect of the Debentures in which shall be recorded the names and the addresses of the registered holders and particulars of the Debentures held by them respectively and in which particulars of cancellations, exchanges, substitutions and transfers of Debentures, may be recorded and the Upper-tier Municipality is authorized to use electronic, magnetic or other media for records of or related to the Debentures or for copies of them.

Title

5. The Upper-tier Municipality shall not be bound to see to the execution of any trust affecting the ownership of any Debenture or be affected by notice of any equity that may be subsisting in respect thereof. The Upper-tier Municipality shall deem and treat registered holders of Debentures, including this Debenture, as the absolute owners thereof for all purposes whatsoever notwithstanding any notice to the contrary and all payments to or to the order of registered holders shall be valid and effectual to discharge the liability of the Upper-tier Municipality on the Debentures to the extent of the amount or amounts so paid. Where a Debenture is registered in more than one name, the principal of and interest from time to time payable on such Debenture shall be paid to or to the order of all the joint registered holders thereof, failing written instructions to the contrary from all such joint registered holders, and such payment shall constitute a valid discharge to the Upper-tier Municipality. In the case of the death of one or more joint registered holders, despite the foregoing provisions of this section, the principal of and interest on any Debentures registered in their names may be paid to the survivor or survivors of such holders and such payment shall constitute a valid discharge to the Upper-tier Municipality.

Payments of Principal and Interest

6. The record date for purposes of payment of principal of and interest on the Debentures is as of 5:00 p.m. on the sixteenth calendar day preceding any Payment Date including the maturity date. Principal of and interest on the Debentures are payable by the Upper-tier Municipality to the persons registered as holders in the registry on the relevant record date. The Upper-tier

Schedule "B"

Municipality shall not be required to register any transfer, exchange or substitution of Debentures during the period from any record date to the corresponding Payment Date.

7. The Upper-tier Municipality shall make all payments in respect of semi-annual instalments of combined equal principal and diminishing interest amounts on the Debentures on the 22nd day of June and on the 22nd day of December in each of the years 2021 to 2030, both inclusive, as set out in Schedule "C" to the By-law, by pre-authorized debit in respect of such interest and principal to the credit of the registered holder on such terms as the Upper-tier Municipality and the registered holder may agree.
8. The Upper-tier Municipality shall pay to the registered holder interest on any overdue amount of principal or interest in respect of any Debenture, both before and after default and judgment, at a rate per annum equal to the greater of the rate specified on the Schedule as attached to and forming part of the Debenture for such amount plus 200 basis points or Prime Rate (as defined below) plus 200 basis points, calculated on a daily basis from the date such amount becomes overdue for so long as such amount remains overdue and the Upper-tier Municipality shall pay to the registered holder any and all costs incurred by the registered holder as a result of the overdue payment.
9. Whenever it is necessary to compute any amount of interest in respect of the Debentures for a period of less than one full year, other than with respect to regular semi-annual interest payments, such interest shall be calculated on the basis of the actual number of days in the period and a year of 365 days or 366 days as appropriate.
10. Payments in respect of principal of and interest on the Debentures shall be made only on a day, other than Saturday or Sunday, on which banking institutions in Toronto, Ontario, Canada and the Upper-tier Municipality are not authorized or obligated by law or executive order to be closed (a "**Business Day**"), and if any date for payment is not a Business Day, payment shall be made on the next following Business Day as noted on the Amortization Schedule.
11. The Debentures are transferable or exchangeable at the office of the Regional Treasurer of the Upper-tier Municipality upon presentation for such purpose accompanied by an instrument of transfer or exchange in a form approved by the Upper-tier Municipality and which form is in accordance with the prevailing Canadian transfer legislation and practices, executed by the registered holder thereof or such holder's duly authorized attorney or legal personal representative, whereupon and upon registration of such transfer or exchange and cancellation of the Debenture or Debentures presented, a new Debenture or Debentures of an equal aggregate principal amount in any authorized denomination or denominations will be delivered as directed by the transferor, in the case of a transfer or as directed by the registered holder in the case of an exchange.
12. The Upper-tier Municipality shall issue and deliver Debentures in exchange for or in substitution for Debentures outstanding on the registry with the same maturity and of like form in the event of a mutilation, defacement, loss, mysterious or unexplainable disappearance, theft or destruction, provided that the applicant therefor shall have: (a) paid such costs as may have been incurred in connection therewith; (b) (in the case of a mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed Debenture) furnished the Upper-tier Municipality with such evidence (including evidence as to the certificate number of the Debenture in question) and an indemnity in respect thereof satisfactory to the Upper-tier Municipality in its discretion; and (c) surrendered to

Schedule "B"

the Upper-tier Municipality any mutilated or defaced Debentures in respect of which new Debentures are to be issued in substitution.

13. The Debentures issued upon any registration of transfer or exchange or in substitution for any Debentures or part thereof shall carry all the rights to interest if any, accrued and unpaid which were carried by such Debentures or part thereof and shall be so dated and shall bear the same maturity date and, subject to the provisions of the By-law, shall be subject to the same terms and conditions as the Debentures in respect of which the transfer, exchange or substitution is effected.
14. The cost of all transfers and exchanges, including the printing of authorized denominations of the new Debentures, shall be borne by the Upper-tier Municipality. When any of the Debentures are surrendered for transfer or exchange the Treasurer of the Upper-tier Municipality shall: (a) in the case of an exchange, cancel and destroy the Debentures surrendered for exchange; (b) in the case of an exchange, certify the cancellation and destruction in the registry; (c) enter in the registry particulars of the new Debenture or Debentures issued in exchange; and (d) in the case of a transfer, enter in the registry particulars of the registered holder as directed by the transferor.
15. Reasonable fees for the substitution of a new Debenture or new Debentures for any of the Debentures that are mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed and for the replacement of mutilated, defaced, lost, mysteriously or unexplainably missing, stolen or destroyed principal and interest cheques (if any) may be imposed by the Upper-tier Municipality. When new Debentures are issued in substitution in these circumstances the Upper-tier Municipality shall: (a) treat as cancelled and destroyed the Debentures in respect of which new Debentures will be issued in substitution; (b) certify the deemed cancellation and destruction in the registry; (c) enter in the registry particulars of the new Debentures issued in substitution; and (d) make a notation of any indemnities provided.
16. If OILC elects to terminate its obligations under the rate offer letter agreement entered into between the Upper-tier Municipality and OILC, or if the Upper-tier Municipality fails to meet and pay any of its debts or liabilities when due, or uses all or any portion of the proceeds of any Debenture for any purpose other than for a Capital Work(s) as authorized in the By-law pursuant to which the Debentures are issued at OILC's discretion, the Upper-tier Municipality shall pay to OILC the Make-Whole Amount on account of the losses that OILC will incur as a result of the early repayment or early termination.

Notices

17. Except as otherwise expressly provided herein, any notice required to be given to a registered holder of one or more of the Debentures will be sufficiently given if a copy of such notice is mailed or otherwise delivered to the registered address of such registered holder. If the Upper-tier Municipality or any registered holder is required to give any notice in connection with the Debentures on or before any day and that day is not a Business Day (as defined in section 10 of these Conditions) then such notice may be given on the next following Business Day.

Schedule "B"

Time

18. Unless otherwise expressly provided herein, any reference herein to a time shall be considered to be a reference to Toronto time.

Governing Law

19. The Debentures are governed by and shall be construed in accordance with the laws of the Province of Ontario and the federal laws of Canada applicable in Ontario.

Definitions:

(a) **"Prime Rate"** means, on any day, the annual rate of interest which is the arithmetic mean of the prime rates announced from time to time by the following five major Canadian Schedule I banks, as of the issue date of this Debenture: Royal Bank of Canada; Canadian Imperial Bank of Commerce; The Bank of Nova Scotia; Bank of Montreal; and The Toronto-Dominion Bank (the **"Reference Banks"**) as their reference rates in effect on such day for Canadian dollar commercial loans made in Canada. If fewer than five of the Reference Banks quote a prime rate on such days, the "Prime Rate" shall be the arithmetic mean of the rates quoted by those Reference Banks.

(b) **"Make-Whole Amount"** means the amount determined by OILC as of the date of prepayment of the Debenture, by which (i) the present value of the remaining future scheduled payments of principal and interest under the Debenture to be repaid from the prepayment date until maturity of the Debenture discounted at the Ontario Yield exceeds (ii) the principal amount under the Debenture being repaid provided that the Make-Whole Amount shall never be less than zero.

(c) **"Ontario Yield"** means the yield to maturity on the date of prepayment of the Debenture, assuming semi-annual compounding, which a non-prepayable term loan made by the Province of Ontario would have if advanced on the date of prepayment of the Debenture, assuming the same principal amount as the Debenture and with a maturity date which is the same as the remaining term to maturity of the Debenture to be repaid minus 100 basis points.

Schedule "C"

AMORTIZATION SCHEDULE

Name.....: The Regional Municipality of Niagara

Principal: \$3,350,000.00

Rate.....: 01.530%

Term.....: 120 months

Matures...: 12/22/2030

Pay#	Date	Amount Due \$	Principal Due \$	Interest Due \$	Rem. Principal \$

1	06/22/2021	193,057.29	167,500.00	25,557.29	3,182,500.00
2	12/22/2021	191,912.83	167,500.00	24,412.83	3,015,000.00
3	06/22/2022	190,501.56	167,500.00	23,001.56	2,847,500.00
4	12/22/2022	189,343.06	167,500.00	21,843.06	2,680,000.00
5	06/22/2023	187,945.83	167,500.00	20,445.83	2,512,500.00
6	12/22/2023	186,773.28	167,500.00	19,273.28	2,345,000.00
7	06/22/2024	185,488.40	167,500.00	17,988.40	2,177,500.00
8	12/22/2024	184,203.51	167,500.00	16,703.51	2,010,000.00
9	06/22/2025	182,834.37	167,500.00	15,334.37	1,842,500.00
10	12/22/2025	181,633.74	167,500.00	14,133.74	1,675,000.00
11	06/22/2026	180,278.64	167,500.00	12,778.64	1,507,500.00
12	12/22/2026	179,063.97	167,500.00	11,563.97	1,340,000.00
13	06/22/2027	177,722.92	167,500.00	10,222.92	1,172,500.00
14	12/22/2027	176,494.20	167,500.00	8,994.20	1,005,000.00
15	06/22/2028	175,209.31	167,500.00	7,709.31	837,500.00
16	12/22/2028	173,924.43	167,500.00	6,424.43	670,000.00
17	06/22/2029	172,611.46	167,500.00	5,111.46	502,500.00
18	12/22/2029	171,354.66	167,500.00	3,854.66	335,000.00
19	06/22/2030	170,055.73	167,500.00	2,555.73	167,500.00
20	12/22/2030	168,784.89	167,500.00	1,284.89	0.00

		3,619,194.08	3,350,000.00	269,194.08	

THE REGIONAL MUNICIPALITY OF NIAGARA

BY-LAW NO. <>

A BY-LAW TO ACCEPT, ASSUME AND DEDICATE PART OF TOWNSHIP LOT 24
IN THE CITY OF NIAGARA FALLS AS PART OF REGIONAL ROAD NO. 101
(PORTAGE ROAD)

WHEREAS it is in the interest of Council for The Regional Municipality of Niagara to accept a road widening from Dremetsikas Developments Inc.;

WHEREAS it is deemed expedient to accept, assume and dedicate the lands hereinafter described as part of the public highway being Regional Road No. 101 (Portage Road).

NOW THEREFORE the Council of The Regional Municipality of Niagara enacts as follows:

1. That the following land be and the same is hereby accepted, assumed and dedicated as public highway forming part of the said Regional Road No. 101 (Portage Road):

Part Township Lot 24, former Township of Stamford, now City of Niagara Falls, Regional Municipality of Niagara designated as Part 1 on Reference Plan 59R-16803.

2. That this by-law shall come into force and effect on the day upon which it is passed.

THE REGIONAL MUNICIPALITY OF NIAGARA

James Bradley, Regional Chair

Ann-Marie Norio, Regional Clerk

Passed: < >

Dremetsikas Developments Inc.



**ILLUSTRATION SHOWING APPROXIMATE LOCATION OF ROAD WIDENING
FROM DREMETSIKAS DEVELOPMENTS INC.
AT REGIONAL ROAD 101 (PORTAGE ROAD) AND REGIONAL ROAD 102 (STANLEY AVENUE)
CITY OF NIAGARA FALLS**

DISCLAIMER
This map was compiled from various sources and is current as of 2020.
The Region of Niagara makes no representations or warranties whatsoever, either expressed or implied,
as to the accuracy, completeness, reliability, and currency or otherwise of the information shown on this map.
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SCALE = 1:1,000
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916

Niagara Region

Internal Use Only
Transportation Services
Surveys & Property Information
IR-120-278 Date: 2020-11-19

THE REGIONAL MUNICIPALITY OF NIAGARA

BY-LAW NO. < >

A BY-LAW TO ADOPT, RATIFY AND CONFIRM THE ACTIONS OF
REGIONAL COUNCIL AT ITS MEETING
HELD DECEMBER 17, 2020

WHEREAS subsection 5 (3) of the Municipal Act, S.O. 2001, Ch. 25, as amended, provides that, except if otherwise authorized, the powers of Regional Council shall be exercised by by-law; and,

WHEREAS it is deemed desirable and expedient that the actions of Regional Council as herein set forth be adopted, ratified and confirmed by by-law.

NOW THEREFORE the Council of The Regional Municipality of Niagara enacts as follows:

1. That the actions of the Regional Council at its meeting held December 17, 2020, including all resolutions or motions approved, are hereby adopted, ratified and confirmed as if they were expressly embodied in this by-law.
2. That the above-mentioned actions shall not include:
 - a) Any actions required by law to be taken by resolution; or
 - b) Any actions for which prior Local Planning Appeal Tribunal approval is required, until such approval is obtained.
3. That the Chair and proper officials of The Regional Municipality of Niagara are hereby authorized and directed to do all things necessary to give effect to the above-mentioned actions and to obtain approvals where required.
4. That unless otherwise provided, the Chair and Clerk are hereby authorized and directed to execute and the Clerk to affix the seal of The Regional Municipality of Niagara to all documents necessary to give effect to the above-mentioned actions.
5. That this by-law shall come into force and effect on the day upon which it is passed.

THE REGIONAL MUNICIPALITY OF NIAGARA

James Bradley, Regional Chair

Ann-Marie Norio, Regional Clerk

Passed: < >