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Drinking Water Program

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## Technical, Financial, and Managerial Capacity Development Review Summary

Water System Name \_\_\_\_\_

PWSID # \_\_\_\_\_ SRF Project Number \_\_\_\_\_

Project Description \_\_\_\_\_

Project Reviewer \_\_\_\_\_ Date \_\_\_\_\_

<b>I</b>	<b>Technical</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
1	Does the system have a source protection plan? (either of its own design or provided to it by the DWP through SWAP)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1a	Is the system and local municipality using the source water assessment for controlling growth in sensitive areas and for planning purposes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Does the system own or control the primary protection area? (e.g. 200 day time-of-travel or 300 foot radius)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	Does the system have a plan to purchase additional land within the protection area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Is the system aware of its "abutter status" as defined in Public Law 761: Improving Public Water Supply Protection?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	Has the system obtained a list of facilities that store potentially hazardous substances within the wellhead protection area or within the watershed for the surface water body used by the system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5a	Has the system contacted facilities that store potentially hazardous substances to inform them of drinking water source protection concerns and to facilitate efficient communication in the event of an emergency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6	Does the system know the maximum amount of water that can be pumped from the source(s)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

I	Technical	Yes	No	N/A
7	Does the system know if water demands will be growing, declining, or remaining stable over the next 10 years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	Does the water system have any deficiencies that have not been resolved since the last sanitary survey?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	Is there a SCADA system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9a	Does the water system have an emergency plan if the SCADA system has a security breach? (unauthorized access)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9b	Can the system be operated remotely?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10	Does the system maintain current and accurate maps of the distribution system? (locations and sizes of mains, service connections, valves, shutoffs, etc)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11	Does the system keep a log of the distribution system breaks to identify weak areas in the system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12	Can the system maintain adequate pressure in the distribution system under all conditions of flow?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13	Has a hydraulic model been performed on the system? (flow and pressure throughout the system)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14	Does the system have a master meter?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14a	How often is the master meter calibrated?			
15	Are all customers metered?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16	How often are customer meters read?			
17	Does your system have a meter calibration and/or replacement program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18	What percentage of customers have backflow prevention devices?			
19	Are backflow prevention devices installed in all new residential services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20	Does the system have a cross connection control program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21	What is the unaccounted-for water percentage?			
22	Does the water system monitor water usage for possible leaks in the distribution system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

I Technical	Yes	No	N/A
23 Does the system have a leak detection program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24 How often is the system flushed?			
25 Have there been water quality complaints in the past 2 years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25a What were the types of complaints?			
26 Does the system have a program to control the use of fire hydrants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27 Are valves regularly exercised?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28 Can the storage tank(s) be isolated from the system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29 How many days storage does the system have under normal conditions?			
30 How often is the storage tank inspected by a qualified contractor?			
31 Are storage tank hatches locked?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32 Do ladders to the storage tank have restricted access?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
33 Do the storage sites have restricted access? (e.g. locked fence)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34 Does the system have a backup water source that could be used in an emergency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
35 Does the system have an interconnection with a neighboring system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36 Does the system have an emergency generator at needed locations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36a Is the generator regularly exercised under load?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36b Can the generator operate the entire plant?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36c How many days can the system provide safe water with the emergency generator?			
36d Does the system have an agreement with a fuel supplier to be a priority customer during a power outage?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
37 Does the system have a contingency plan for water outages? (supply bottled water, bulk water haul, backup source)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
38 Does the system maintain adequate equipment and repair components?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

II	Managerial	Yes	No	N/A
39	Does the water system have a written mission statement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
40	Does the system have a designated operator with Treatment and Distribution classifications meeting the system's classification?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
41	Is there enough staff to effectively maintain the water system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
42	Do all employees and/or contract personnel have written job descriptions that can help orient and/or train operators on rules and responsibilities of their positions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
43	Does the system encourage employees to obtain additional, job-related training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
43a	Does the system provide time and financial resources for staff training opportunities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
44	Does the system have written standard operating procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
45	Does the system have routine preventive operations and maintenance tasks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
46	Does the system have a defined procedure for recording and responding to customer questions, concerns, and complaints?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
46a	Does the system keep records of all customer complaints?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
47	Are work requests filled out prior to work?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
47a	Are completed work requests kept on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
48	Does the system have a sampling plan to assure compliance with monitoring requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
49	Is all required water quality monitoring current?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
50	Is the system out of compliance with any Safe Drinking Water Act regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
51	Has the system reviewed and renewed its PUC terms and conditions in the last five years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
52	Does the system have a Comprehensive System Facilities Plan (Master Plan)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

II	Managerial	Yes	No	N/A
52a	When was it written/updated?			
52b	Will the water system provide the DWP with a copy of the Master Plan (electronic format is preferred)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
53	Has your system had a vulnerability assessment performed for total system operations in the past 3 years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
54	Does the system have an Emergency Response Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
54a	When was it last updated?			
54b	Does all necessary staff have a copy Emergency Response Plan or know where it is located?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
54c	Does the plan cover how the system will meet demand during a drought or shortage?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
54d	Does the plan cover emergency operation due to natural disasters, power outages, pump failures, chemical overfeed, etc?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
54e	Have system personnel been trained to the Emergency Response Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
55	Does the system maintain an updated list of critical customers? (hospitals, nursing homes, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
56	Has staff been trained in the Incident Command System (ICS)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
57	Does the system have the requisite written safety programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
58	Is proper safety equipment available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
59	Does the system perform routine patrols of the water system's assets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
60	Are facilities secure? (locked, alarmed, checked)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
61	Has the system engaged in any succession planning in anticipation of an aging / retiring workforce?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
62	Has the system made plans for operating critical functions with a reduced staff in the event of a pandemic?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
62a	Does the system have a written Pandemic Influenza Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

II	Managerial	Yes	No	N/A
63	Do local law enforcement officials know who to contact at the water system in the event that they see suspicious activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
64	Does the system have a working relationship with the local EMA? (fire chief, county EMA)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
65	Is the system a member of the Water/Wastewater Agency Response Network (WARN)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
66	Does the system coordinate with local and state authorities on public works projects for road openings and water main replacement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
67	Has the system had an energy audit performed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
68	Does the system consider energy efficiency a priority when selecting new equipment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
69	Does the system encourage water conservation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
70	Does the system engage in general public education activities beyond the required issuance of Consumer Confidence Reports?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
71	How many members serve on the Board of Trustees/Selectmen?			
72	How long do Board members serve for? (# years)?			
73	Do the Board members serve staggered terms?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
74	Are all vacancies on the Board promptly filled?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
75	How often are Board meetings held?			
76	Are members of the public given time for comments at Board meetings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
77	Are accurate minutes of all the Board meetings and actions prepared and kept on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
78	Are the Bylaws/Charter regularly reviewed and updated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
79	Have all Board members reviewed the Bylaws/Charter?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
80	Does the Board have members with various skills, experience, talents, and occupations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
81	Does the Board receive formal training and/or engage in board development activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

III	Financial	Yes	No	N/A
82	Does the system have a financial record-keeping system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
83	Does the system provide and use an annual budget?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
83a	Does the budget consider prior years' costs of operations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
83b	Does the budget anticipate likely changes in operations during the coming year?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
83c	Does the budget include all interest and principal repayments due on debts owed by the water system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
83d	Does the budget include, in detail, all operating and maintenance expenses, such as salaries, chemicals, repairs, supplies, power, etc.?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
83e	Does the water system budget provide funding for depreciation of existing plant in service and/or for the funding of reserves for system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
84	Does the system's annual revenues equal or exceed the system's annual expenses?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
85	Does the system generate financial reports at least quarterly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
85a	Does the report show past due customer accounts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
86	Are the system's finances audited annually by an independent auditor?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
87	Are controls exercised over expenditures? (i.e. board approval for purchases over certain amounts, dual signatures)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
88	Does the system have a written policy governing past due accounts, collections and conditions for shut-off and restoration of service?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
89	Does the system have written financial policies? (Who handles the money, purchasing procedures, checks and cash deposits, late payment or non-payment policies)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
90	How often does the system review the rate structure?			
91	Are current rates covering current costs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
92	Does the system have reserve account for emergencies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>III Financial</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
93 Does the system have a plan for what capital improvements will be made over the next 5-10 years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
94 Has the system developed an Asset Management Plan? (asset name, location, condition, age, model, etc)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
95 Does the system maintain adequate insurance coverage for general liability, extended fire and property damage?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>IV Additional Comments</b>			