



Kentucky Rural Water Association

Helping water and wastewater utilities help themselves

March 8, 2019

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MAR 12 2019

PUBLIC SERVICE
COMMISSION

Ms. Gwen R. Pinson, Executive Director
Public Service Commission
P. O. Box 615
Frankfort, KY 40602-0615

Dear Ms. Pinson:

Kentucky Rural Water Association (KRWA) is applying for approval of a proposed water district management training program pursuant to KRS 74.020 and 807 KAR 5:070. The proposed session, entitled "Sustainable Management Workshop," will be conducted April 21, 2019, at the Renaissance Conference Center in Cadiz, Kentucky. A copy of the proposed agenda is attached as **Exhibit 1**.

As reflected in Exhibit 1, the proposed training program for the Sustainable Management Workshop is directed toward decision-makers of water and wastewater utilities. The workshops, jointly developed by the USEPA and USDA, are intended to help systems conduct utility assessments and develop action plans for improving utility management. The goal is to provide small and rural water and wastewater systems with beneficial tools to address ongoing challenges that will improve management practices and deliver the best quality service to their communities.

The proposed training offers six hours of instruction and should be accredited and approved as water management training satisfying the requirements set forth in KRS 74.020(7) to establish a water district commissioner's eligibility for a maximum annual salary of \$6,000. **KRWA is not requesting that the proposed training program be accredited as a program of instruction for newly appointed commissioners.**

A biographical statement containing the name and relevant qualifications and credentials for the presenters is attached as **Exhibit 2**.

The PowerPoint Presentation (**Exhibit 3**), based on the information provided in the *Rural and Small Systems Guidebook to Sustainable Utility Management*, will provide the framework for the session. Each attendee will be given a copy of the *Guidebook*, included as **Exhibit 4**. As the topics on the agenda are addressed, a corresponding page from the *Guidebook* will be distributed to use as a classroom worksheet. *Guidebook* pages #24, #25, and #26 are also included as part of Exhibit 4. Should the presenters revise or amend their presentations prior to the proposed session (or provide additional written materials to the attendees), KRWA will include a copy of the revised presentation with their sworn statement and report regarding the instruction.

Ms. Gwen R. Pinson
Page 2
March 8, 2019

KRWA has previously submitted this proposed training to the Kentucky Board of Certification of Drinking Water Treatment and Distribution System Operators and the Kentucky Board of Certification of Wastewater System Operators. The training has been approved for water and wastewater operators. An e-mail from Veronica Roland of Certification & Licensing indicating the assigned approval code (DCA Event ID#16297) is included as **Exhibit 5**. KRWA does not intend to submit this proposed training to additional agencies for accreditation.

Along with a list of the commissioners, their water district, and the number of hours they attend the session, KRWA will provide a sworn statement attesting the accredited instruction was performed and note any changings in the presenters or proposed program curriculum which may occur after certification.

With this letter and enclosed exhibits, the Kentucky Rural Water Association requests that the Commission approve and accredit the proposed training program entitled "Sustainable Management Workshop" for six hours of annual water district management continuing education credit.

Respectfully submitted,

A handwritten signature in blue ink that reads "Janet Cole". The signature is written in a cursive, flowing style.

Janet Cole
Education Coordinator
j.cole@krwa.org

Enclosures
(Original and 10 packets)

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COMMISSION

EXHIBIT 1

SUSTAINABLE MANAGEMENT WORKSHOP

TUESDAY, APRIL 23, 2019

RENAISSANCE CONFERENCE CENTER
49 JEFFERSON STREET
CADIZ, KENTUCKY

PRESENTED BY: KENTUCKY RURAL WATER ASSOCIATION

AGENDA AT A GLANCE

RURAL AND SMALL SYSTEMS GUIDEBOOK TO SUSTAINABLE UTILITY MANAGEMENT

Speakers: Randall Kelley and Steve Capps, Kentucky Rural Water Association

Session 1

8:30 a.m. – 11:30 a.m. Key Utility Management Areas

This session will cover common challenges faced by utilities, such as aging infrastructure, rate issues, and operational expenses. Also covered will be characteristics of well-managed utilities including 10 Key Management Areas for Sustainability. The 10 Key Management Areas are: Resource Adequacy, Product Quality, Customer Satisfaction, Community Sustainability and Economic Development, Employee and Leadership Development, Financial Viability, Operational Optimization, Infrastructure Stability, Operational Stability, and Stakeholder Understanding and Support.

11:30 a.m. – 12:30 p.m. Lunch Break

Session 2

12:30 p.m. – 2:00 p.m. System Improvement Priorities: Utility Self-Assessment

This session will be a utility “self-assessment” where attendees will rate their utilities level of achievement in the 10 Key Management Areas. In this session, the instructors will guide the attendees through the assessment process which is meant to be an honest assessment of the utilities’ achievement level within the various management areas. Attendees may work in groups.

Session 3

2:00 p.m. – 3:30 p.m. Improving Outcomes

This session is designed to start utilities along the path of developing a management improvement plan. Attendees will be guided through a prioritization process to determine their highest, medium, and lowest goals as a means to develop a management improvement plan. Part of the discussion will center around whom within the organization would be responsible for certain areas of improvement, and why. This exercise will also be a time for discussion of what is working, what is not working, and why.



Kentucky Rural Water Association

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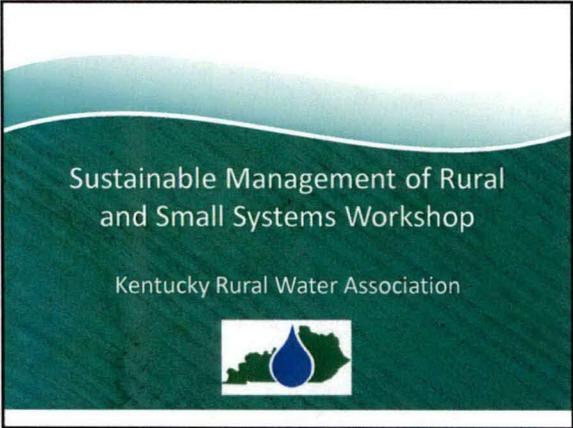
EXHIBIT 2

Speaker Biographies

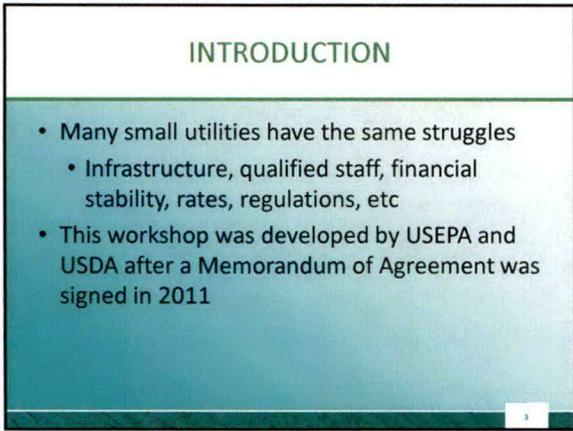
Randall Kelley has been with Kentucky Rural Water Association (KRWA) since January, 2006. Since joining KRWA, Randall has held the positions of Wastewater Circuit Rider, ARRA Circuit Rider and Training Specialist. Prior to joining KRWA, Randall worked for the University of Louisville at the Center for Watershed Research as a Research Biologist. He participated in numerous projects on small headwater streams, stream restorations, Tri-halomethane formation in natural waters, and numerous other projects. Randall's experience also includes working for a contractor to the USEPA in Cincinnati, Ohio as an aquatic macroinvertebrate taxonomist. Randall received a B.S. in both Biology and Environmental Science from Western Kentucky University and an M.S. in Biology from the University of Louisville. Before entering college, Randall served in the United States Air Force (Security Police) from April 1988 to April 1994.

Steve Capps came to Kentucky Rural Water Association in 1994 from the City of Burkesville, Kentucky, where he had served as Director of Public Works for twelve (12) years. He also had experience as the Water Treatment Plant Operator and also the Wastewater Treatment Plant Operator for six (6) years. He is currently certified in water treatment, wastewater treatment and holds a certificate as a water distribution system operator. Mr. Capps served as the Wastewater Technician for the Kentucky Rural Water Association from June 1994 to June 1999. His primary duties as Wastewater Technician were to provide technical assistance and hands-on training to rural wastewater utility personnel throughout Kentucky. Mr. Capps' position with the Kentucky Rural Water Association from June 1999 to the present is that of Wastewater Trainer/Technician and Compliance. In that capacity he provides on-site technical assistance and training to small rural municipal wastewater treatment systems and rural systems.

EXHIBIT 3







INTRODUCTION

- Spawned a pilot project
 - Series of 4 workshops
 - Experience and feedback led to the creation of the Guidebook you have
- NRWA is taking the workshops to all 50 states through the state affiliates, like KRWA.

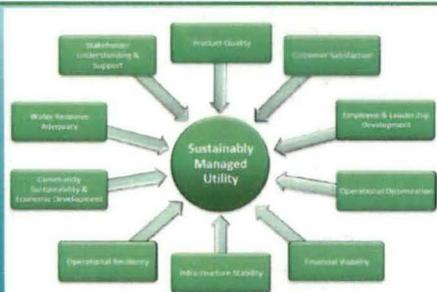
4

INTRODUCTION

- The pilot workshops and experience with a wide range of systems allowed the to be narrowed down and focused on 10 Key Management Areas.

5

INTRODUCTION



6

WORKSHOP OBJECTIVES

- Learn about key utility management areas
- Engage in a self assessment process
- Discuss tools, tips, and measures for performance improvement

2

OVERVIEW OF KEY MANAGEMENT AREAS



Outcomes Well Managed Utilities Strive For

COMMON CHALLENGES FOR UTILITY MANAGERS

- Aging infrastructure
- Rate issues
 - Prioritize demands for utility expenditures
 - Long-term rate adequacy strategy
- Customer satisfaction and confidence with services and rates

3

COMMON CHALLENGES FOR UTILITY MANAGERS

- Operational issues
 - Labor and material costs
 - Regulatory compliance and new requirements
- Workforce complexities
 - Attracting and keeping reliable and competent staff
 - Succession planning
- Knowledgeable and engaged board members

10

THE WELL MANAGED UTILITY

- Ten Management Areas framed as outcomes
- Building blocks for utility performance improvement: where to focus and what to strive for
- Most water and wastewater utilities pay attention to these areas and likely perform well in at least some of them
- Fit into, draw on, and support asset management, long-term business planning, continual improvement management systems

11

THE TEN AREAS

- | | |
|---|--|
| • Product Quality | • Employee Leadership and Development |
| • Customer Satisfaction | • Operational Optimization – Energy and Water Efficiency |
| • Infrastructure Stability | • Operational Resiliency |
| • Community Sustainability & Economic Development | • Water Resource Adequacy |
| • Stakeholder Understanding and Support | • Financial Viability |

12

PRODUCT QUALITY

- Clean and safe water
- Produce potable water, treated effluent, and process residuals:
 - Full compliance with regulatory and reliability requirements
 - Consistent with customer, public health, and ecological needs
 - Consistent with local economic development and business needs

13

CUSTOMER SATISFACTION

- Know what your customers expect in service, water quality, and rates
- Set goals to meet these expectations
- Help your customers understand the value of water
- Develop a way to gather feedback from your customers, review the feedback, and then act on it

14

EMPLOYEE LEADERSHIP AND DEVELOPMENT

- Enable a workforce that is competent, motivated, adaptive, and safe working
- Ensure employee institutional knowledge is retained and improved on over time
- Create opportunities for professional and leadership development

15

OPERATIONAL OPTIMIZATION

- Ensure on-going, timely, cost-effective, and reliable performance improvements in all facets of operations (i.e., continual improvement culture)
- Minimize resource use, loss, and impacts from day-to-day operations (e.g., energy and chemical use, water loss)
- Maintain awareness of information and operational technology developments to anticipate and support timely adoption of improvements

16

FINANCIAL VIABILITY

- Ensure revenues adequate to recover costs, fund timely maintenance, repair, and replacement of assets, and provide for reserves
- Establish predictable rates, consistent with community expectations and acceptability – discuss rate requirements with customers, board members, and other key stakeholders

17

INFRASTRUCTURE STABILITY

- Understand **costs** and **condition** for each system component
- Understand operational performance factors (e.g., pressure)
- Plan for system component repair and replacement over the long-term at the lowest possible cost
- Coordinate asset repair, rehabilitation, and replacement within the community to minimize disruptions and other negative consequences

18

OPERATIONAL RESILIENCY

- Identify threats to the system (legal, financial, non-compliance, environmental, safety, security, and natural disaster) – conduct all hazards vulnerability assessment
- Establish acceptable **risk levels that support** system reliability goals
- Identify how you will manage risks and plan response actions – prepare all-hazards emergency response plan

19

COMMUNITY SUSTAINABILITY & ECONOMIC DEVELOPMENT

- Be active in your community
 - Be aware of, or participate in, discussions of community and economic development
 - Get to know local business needs and be aware of opportunities for new residential or business customers
- Align Utility Goals: to be attentive to the impacts utility decisions will have on current and future community and watershed health
- Align Utility Goals: to promote community economic vitality and overall improvement

20

WATER RESOURCE ADEQUACY

- Ensure water availability consistent with current and future customer needs:
 - Long-term resource supply and demand analysis
 - Conservation
 - Public education
- Understand the system role in water availability
- Manage operations to provide for long-term aquifer and surface water sustainability and replenishment

21

STAKEHOLDER UNDERSTANDING AND SUPPORT

- Create understanding and support from oversight bodies, community and watershed interests, and regulatory bodies:
 - Service levels
 - Rate structures
 - Operating budgets
 - Capital improvement programs
 - Risk management decisions
- Actively engage with the community and customers:
 - Understand needs and interests
 - Promote the value of clean and safe water

22

OTHER MANAGEMENT AREAS OF CONCERN

- Dealing with Boards and Councils
- Board/Council member training
 - New Board/Council/Mayor
- Is it the managers job to “train” decision makers?
- Regulation changes
 - Interpretation changes
 - DOW staff changes

23

SELF ASSESSMENT



Time to Go to Work!

GETTING STARTED, PAGE 6

- **Step 1:** RATE your system's level of achievement (practice and performance) for each management area
- **Step 2:** RANK the importance of each area
- **Step 3:** PLOT the results
- **Step 4:** ANALYZE RESULTS by looking at where the management areas fall

25

STEP 1: RATING AREAS SCALE FROM LOW TO HIGH ACHIEVEMENT

- Select **Low** if your system has no workable practices in place for addressing this area – very low capacity and performance.
- Select **Medium** if your system has some workable practices in place with moderate achievement, but could improve – some capacity in place.
- Select **High** if your system has effective, standardized, and accepted practices in place. It either usually or consistently achieves goals – capacity is high and in need of very little or no further development.

26

STEP 1: APPENDIX TABLE A

TABLE A: EXAMPLE

Key Management Area	Management Area Description	Step 1 Rate Achievement (Low, High)	Step 2 Rank Priority (Low, High)
1. Water Features Adequacy (e.g., water quantity)	<ul style="list-style-type: none"> • My system is able to meet the water or sanitation needs of its customers and meet the regulatory requirements. • My system or sub-system has performed a long-term water supply and demand analysis. (Relative to drinking water features only.) • My system understands its relationship to local water availability. (During water-affected times, how an allocation may relate to any local water stress conditions, wastewater utility should focus on equalities.) 	Low	High
2. Product Quality (e.g., taste & water safety)	<ul style="list-style-type: none"> • My system is in compliance with permit requirements and other regulatory or reliability requirements. • My system meets local community expectations for the possible water-pipe or treated effluent and process residuals that it produces. 	Medium	High
3. Customer Satisfaction	<ul style="list-style-type: none"> • Customers are satisfied with the services the system provides. • My system has procedures in place to receive and respond to customer feedback in a timely manner. 	High	Medium
4. Community Sustainability & Economic Development	<ul style="list-style-type: none"> • My system is aware of and participates in local and regional community and economic development or planning activities. • My system's goals and help to support overall watershed and source water protection, and protection, restoration goals. 	High	Low
5. Employee & Leadership Development	<ul style="list-style-type: none"> • Training programs are in place to retain and improve institutional knowledge. • Opportunities exist for employee skills development and career advancement. • Job descriptions, performance expectations, and codes of conduct are established. 	Low	Medium

27

STEP 2: RANKING AREAS

SCALE FROM LOW TO HIGH PRIORITY

- Current or expected challenges
- Customer or stakeholder impact: reliability; quality; timeliness
- Consequences of not improving: compliance; cost; credibility; health; safety
- Urgency – near or long term need
- Community priorities

STEP 2: APPENDIX TABLE A

TABLE A: EXAMPLE

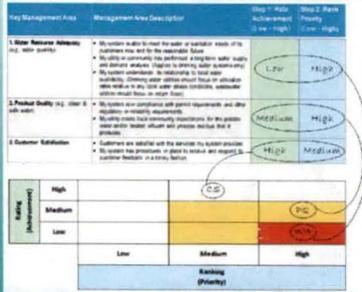
Key Management Area	Management Area Description	Step 1: Rate Achievement (Low-High)	Step 2: Rank Priority (Low-High)
1. Water Resource Adequacy (e.g., water quantity)	<ul style="list-style-type: none"> • My system is able to meet the water or irrigation needs of its watershed basin and for the responsible farms. • My system or community has performed a long-term water supply and demand analysis (regardless of drinking water systems only). • My system understands its vulnerability to local water availability. (Drinking water utilities should focus on allocation rules relative to any local water-priest constraints, water-transfer/other special focus on water flows.) 	Low	High
2. Product Quality (e.g., clean & safe water)	<ul style="list-style-type: none"> • My system is in compliance with permit requirements and other regulatory or reliability requirements. • My system tracks local community expectations for the public water under current effort and projects available that it produces. 	Medium	High
3. Customer Satisfaction	<ul style="list-style-type: none"> • Customers are satisfied with the service the system provides. • My system has procedures in place to receive and respond to customer feedback in a timely fashion. 	High	Medium
4. Community Sustainability & Economic Development	<ul style="list-style-type: none"> • My system is aware of and participates in local and regional economic and economic development planning activities. • My system's goals plan help to support current watershed and source water protection, and community economic goals. 	High	Low
5. Employee & Leadership Development	<ul style="list-style-type: none"> • Training programs are in place to retain and improve institutional knowledge. • Objectives exist to encourage skills development and career advancement. • Job descriptions, performance expectations, and codes of conduct are established. 	Low	Medium

STEPS 2 & 3: RATING AND RANKING AREAS

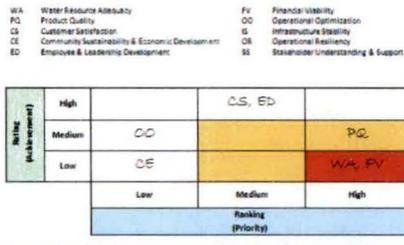
SELF ASSESSMENT DEMONSTRATION

Key Management Area	Management Area Description	Step 1: Rate Achievement (Low-High)	Step 2: Rank Priority (Low-High)
1. Water Resource Adequacy (e.g., water quantity)	<ul style="list-style-type: none"> • My system is able to meet the water or irrigation needs of its watershed basin and for the responsible farms. • My system or community has performed a long-term water supply and demand analysis (regardless of drinking water systems only). • My system understands its vulnerability to local water availability. (Drinking water utilities should focus on allocation rules relative to any local water-priest constraints, water-transfer/other special focus on water flows.) 	Low	High
2. Product Quality (e.g., clean & safe water)	<ul style="list-style-type: none"> • My system is in compliance with permit requirements and other regulatory or reliability requirements. • My system tracks local community expectations for the public water under current effort and projects available that it produces. 	Medium	High
3. Customer Satisfaction	<ul style="list-style-type: none"> • Customers are satisfied with the service the system provides. • My system has procedures in place to receive and respond to customer feedback in a timely fashion. 	High	Medium
4. Community Sustainability & Economic Development	<ul style="list-style-type: none"> • My system is aware of and participating in local and regional economic and economic development planning activities. • My system's goals plan help to support current watershed and source water protection, and community economic goals. 	High	Low
5. Employee & Leadership Development	<ul style="list-style-type: none"> • Training programs are in place to retain and improve institutional knowledge. • Objectives exist to encourage skills development and career advancement. • Job descriptions, performance expectations, and codes of conduct are established. 	Low	Medium
6. Financial Health	<ul style="list-style-type: none"> • The water utility complies with applicable laws, rules, and regulatory requirements and financial services (CRS, IRS services, and insurance are covered). • My utility develops and maintains all transactions, bond covenants, and other obligations. 	Low	High
7. Operational Management	<ul style="list-style-type: none"> • My utility has assessed its current usage and performed an energy audit. • My utility has maintained adequate and accurate flow data. 	Low	High

STEP 3: PLOTTING RESULTS SELF ASSESSMENT DEMONSTRATION



STEPS 4: ANALYZING RESULTS AND FOCUSING ATTENTION SELF ASSESSMENT DEMONSTRATION



SELF ASSESSMENT DISCUSSION QUESTIONS

- Where is your utility strong? Why?
- Where is there the most room for improvement? Why?
- What are your areas of focus?
 - Why are they a priority?
 - Why is performance low?
 - Technical capacity?
 - Financial capacity?
 - Managerial capacity?
- What are the commonalities and differences among table participants?

CREATE IMPROVEMENT PLANS

- Utility Improvement Plans
 - System Management Improvement Plan
 - Capital Improvement Plan
 - Long-Range Plan
- Plans are a way to set goals
- Establish clear vision and mission

34

IMPROVING OUTCOMES



Creating a Plan, Taking Action, Measuring Results

TABLE ACTIVITY

- Each table completes an improvement worksheet for one low achievement/high priority management area
- Share perspectives on:
 - What will constitute "high achievement" in this management area?
 - What changes will the utility need to make to improve performance?
 - How could you track your performance progress?
 - What will be the biggest challenges to performance improvement?

35

IMPROVING OUTCOMES: ADDITIONAL RESOURCES

- Extensive Compilation of Tools and Resources
 - Excel Print Out in Your Packet
- Organized by Key Management Areas
- Covers Resources from NRWA, USDA, EPA, RCAP, AWWA, WEF and others
- Supplemental to Locally Available Technical Assistance and Resources

40

OPERATIONAL OPTIMIZATION – WATER/ENERGY EFFICIENCY

- EPA: Check Up Program for Small System (CUPSS)
 - Free Asset Management Tool for Small Drinking Water and Wastewater Utilities
 - Tips on How to Develop a Record of Your Assets, an Understanding of Your Financial Situation, and a Tailored Asset Management Plan
- EPA: Energy Use Tool for Water and Wastewater Systems
 - Interactive, Excel-based tool
 - Detailed Analysis of All Energy Types
 - Provides Summary Report: Statement of Energy Performance
- RCAP: Sustainable Infrastructure for Small System Public Services: A Planning and Resource Guide
 - Water Conservation
 - Energy Efficiency
 - Renewable Energy

41

FINANCIAL VIABILITY

- NRWA: Revolving Loan Fund
 - Established Under Grant from USDA/RUS
 - Financing for Pre-Development Costs
 - Also Available for Equipment Replacement and Service Extension
- EPA: Setting Small Drinking Water System Rates for a Sustainable Future
 - Determining Revenue Needs
 - Setting Rate Design
 - Approaching Rate Implementation
- RCAP: The Basics of Financial Management for Small-community Utilities
 - Understanding Financial Statements
 - Using Financial Ratios

42

STAKEHOLDER UNDERSTANDING AND SUPPORT

- NRWA: Quality on Tap!
 - Nationwide, Grassroots Campaign for Public Awareness
 - Hands On Guide to Engagement and Communication for Better Community Support
- EPA: Talking to Your Decision Makers – A Best Practices Guide
 - Role of Community Decision Makers in Small Systems
 - Tips on How to Communicate Needs to Decision Makers
- RCAP: The Big Guide for Small Systems: A Resource for Board Members
 - Water and Wastewater Treatment Basics
 - Regulatory Responsibilities
 - Board Business
 - Financial Duties and Responsibilities

43

TIPS FROM PREVIOUS IMPROVING OUTCOMES EXERCISES

- Key management areas selected and discussed at previous workshops:
 - Stakeholder Understanding and Support
 - Infrastructure Stability
 - Financial Viability
 - Employee and Leadership Development
 - Operational Resiliency

44

EMPLOYEE AND LEADERSHIP DEVELOPMENT

- High Achievement:
 - Written job descriptions
 - Clear performance expectations
 - Staff are cross-trained
- Changes Needed:
 - Develop neighboring system relationships for staff to learn from each other
 - Create merit-based initiatives to reward high performance (e.g., additional leave days, recognition, monetary awards)

45

FINANCIAL VIABILITY

- High Achievement:
 - Funds set aside for reserves
 - Asset management plans, short and long term plans, and quarterly budget reviews
 - Utility board is knowledgeable about financial issues and system maintenance and repairs
- Changes Needed:
 - Good practices in place for rates and shut-offs
 - Better communication between elected officials, utility staff and consumer
 - Independent rate study
 - Document priorities for system improvements

46

INFRASTRUCTURE STABILITY

- High Achievement:
 - Capital improvement plan
 - Inventory of system components, location, installation date, and condition
 - Understanding of system operating parameters (e.g., pressure)
- Changes Needed:
 - Making time to support an incremental approach (e.g., maintenance and repair driven)
 - Ability to do smaller projects and upgrades annually

47

OPERATIONAL RESILIENCY

- High Achievement:
 - Emergency response plans, operations plans, shut-off checklists for equipment
 - Drill emergency response plan
 - Certify staff and board members
- Changes Needed:
 - Ensure staff and board know where all emergency documentation is kept
 - Have contractor support lined up in case of emergency

48

STAKEHOLDER UNDERSTANDING AND SUPPORT

- High Achievement:
 - Capital improvement plan or other document that summarizes utility priorities and can be shared with utility board
 - Establish standard operating procedures for utility staff that address communication
- Changes Needed:
 - Educate stakeholders about utility needs
 - Create ongoing opportunities for stakeholders and utility to interact (e.g., tours of facility)

40

FEEDBACK SESSION

Questions?

Contact information:
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s.capps@krwa.org

Thank you!



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50

EXHIBIT 4

EXHIBIT 4

List of Handouts

Session 1: Rural and Small Systems Guidebook to Sustainable Utility Management

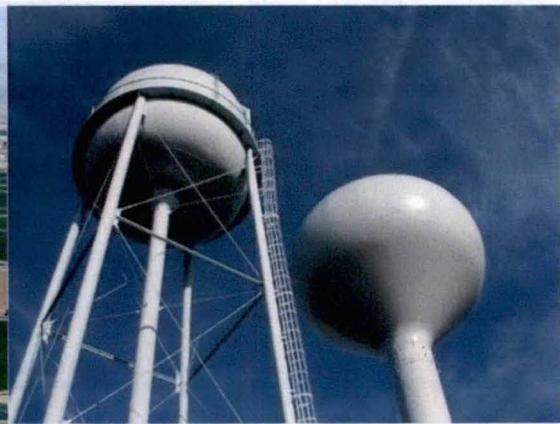
**Session 2: Worksheet (Page 24) from Guidebook
Table, Key Management Areas**

**Session 3: Worksheet (Page 25) from Guidebook
Step 3 – Plot Results / Step 4 – Analyze Results**

**Worksheet (Page 26) from Guidebook
Appendix II: Sustainable Management Action Plan Worksheet**



Rural and Small Systems Guidebook to Sustainable Utility Management



United States
Environmental Protection
Agency

TABLE OF CONTENTS

Introduction	2
The Sustainably Managed Utility: Ten Key Management Areas.....	4
System Improvement Priorities: Self Assessment	7
Improving Outcomes	12
What's Next: Creating Your Action Plan	18
Appendices	22
Appendix I: Self-Assessment Worksheet	23
Appendix II: Sustainable Management Action Plan Worksheet.....	26
Appendix III: Resources for Rural and small systems	27
Acknowledgements	38

INTRODUCTION

Background & Purpose

Many rural and small systems throughout the country face significant management and operational issues. These may include aging or inadequate infrastructure, recruiting and retaining qualified staff, growing or establishing financial reserves, and setting rates that are reflective of their operational costs and capital needs. This *Rural and Small Systems Guidebook to Sustainable Utility Management (Guidebook)* speaks to these challenges. It is an important part of a Memorandum of Agreement (MOA) signed by the United States Department of Agriculture (USDA) and the United States Environmental Protection Agency (EPA). Instituted in 2011, the MOA supports a series of activities to help rural and small water and wastewater systems more effectively provide sustainable services to the communities they serve.

The *Guidebook* helps rural and small water and wastewater systems in their common mission to become more successful and efficient service providers. Because of its dynamic nature, this resource can be used effectively in many different ways:

- By system managers, water systems operations specialists, and staff as a guide for taking actions leading to short- and long-term improvement to system management and performance;
- By technical assistance service providers as they work with individual systems or groups of systems through workshops or other assistance efforts;
- As a resource for system improvement workshops;
- As a resource for guiding conversations about sustainability with utility board members; or
- As a resource for communicating and educating utility board members on the importance of effective management.

The *Guidebook* is designed to introduce rural and small water and wastewater systems to the key areas of effectively managed systems.

It provides background information on ten key management areas, as well as instruction and assistance on how to

What's in it For Me: Why should my system use this *Guidebook*?

The information in this *Guidebook* can help rural and small systems in several important ways by:

- ◆ Giving you a simple and objective way to evaluate your system's strengths and areas for improvement.
- ◆ Helping you develop an easy to follow plan for improving your operations based on your assessment.
- ◆ Helping you better communicate internally and with others like board members and customers about your system and challenges.
- ◆ Help build the necessary support for improving your system over time.

conduct a system assessment process based on the key management areas. It also includes information on how to prioritize areas for improvement, while developing measures of progress that can help small systems with performance enhancement.

The *Guidebook* is accompanied by a companion resource, the *Workshop in a Box: Sustainable Management of Rural and Small Systems Workshops*. The *Workshop in a Box* is a toolkit for utilities, technical assistance (TA) providers, water sector associations, and trainers who conduct workshops based on the principles presented in this *Guidebook*. The *Workshop in a Box* provides guidance for workshop preparations, execution, and copies of all materials to run a successful workshop on utility management improvement.

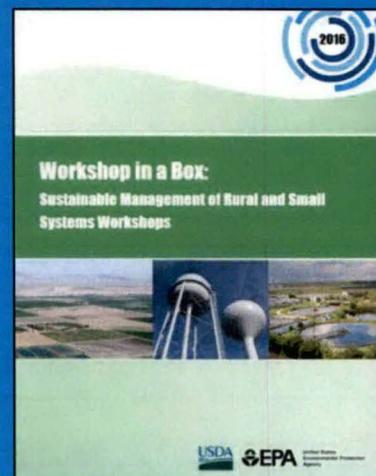
At each workshop, participants are given an introduction to the ten key management areas, and then asked to conduct a short self-assessment of their operations based on the management areas. Participants also identify management improvement opportunities at their systems based on the assessment. The workshop further provides an opportunity for participants to share experiences from their systems to better understand how to implement improvements and establish a basis for working with staff and community members to operate more effectively. Participants are also introduced to a compendium of resources that can help them implement the improvements identified during the assessment.

The information presented in these two resources draws on the results of four pilot workshops conducted by EPA and USDA, and 140+ workshops conducted by USDA, EPA, trainers and TA providers from 2013-2016 across all 50 states. It also draws on feedback from managers of rural and small systems who attended those workshops, and feedback from the trainers and TA providers who have conducted the workshops. Additionally, several small systems and water systems operations specialists provided input as the resources were developed.

The *Guidebook* begins by introducing the ten key management areas of effectively managed systems. A self-assessment follows to help users identify their strengths and challenges and to prioritize where to focus improvement efforts. It ends by discussing improving outcomes in the ten management areas. The *Guidebook* conveys what constitutes high achievement in each area and identifies resources for small systems. The overall approach and steps described in this *Guidebook* are similar to the approach in another initiative, called Effective Utility Management (EUM). EUM has been supported by EPA and several major water sector associations since 2008 and has been used successfully by medium and larger utilities. This *Guidebook* takes the approach embodied in EUM and adapts it for the needs of rural and small water and wastewater systems.

Workshop in a Box

The companion to this *Guidebook* is the *Workshop in a Box: Sustainable Management of Rural and Small Systems Workshops*. The *Workshop in a Box* is used by utilities, TA providers, water sector associations, and trainers around the United States to conduct workshops based on the Ten Key Management Areas described in this document. The workshops are designed to help small and rural utilities assess their strengths and challenges, and create an action plan for addressing these areas over time.



THE SUSTAINABLY MANAGED UTILITY: TEN KEY MANAGEMENT AREAS

The ten key management areas of sustainably managed utilities described here can help rural and small water and wastewater system managers address many ongoing challenges and move toward sustainable management of both operations and infrastructure. In aiming to increase their long-term sustainability and effectiveness, the eventual goal for systems is high achievement, consistent with the needs and expectations of their communities, in each of the management areas.

The management areas were developed by drawing on information and experience from a wide range of rural and small water system operations specialists and managers from across the United States. The management areas were further validated through the workshops held with rural and small systems, sponsored by EPA and USDA. Each management area is described as a desirable outcome for a system to achieve. Each can be considered a building block for improving system performance. Through working to improve performance in each of the ten areas, managers can help their systems to become more successful, resilient, and sustainable for the long term.

The management areas are not presented in a specific order. Together they make up the framework for a complete and well-rounded management approach. By making improvements in any of the areas, at a pace consistent with its most pressing challenges, a system will be able to deliver increasingly efficient, higher quality services. The graphic on the next page depicts the interconnectedness of the management areas. It also shows that no one area is weighted more heavily than another. All areas are equal in the context of the *Guidebook*. Descriptions of the management areas are found in the following pages, including the characteristics of successful outcomes for each.

Product Quality

Customer Satisfaction

Employee & Leadership Development

Operational Optimization

Financial Viability

Infrastructure Stability

Operational Resiliency

Community Sustainability & Economic
Development

Water Resource Adequacy

Stakeholder Understanding & Support



PRODUCT QUALITY: The system is in compliance with permit requirements and other regulatory or reliability requirements. It meets its community’s expectations for the potable water or treated effluent and process residuals that it produces. The system reliably meets customer, public health, and ecological needs.

CUSTOMER SATISFACTION: The system is informed about what its customers expect in terms of service, water quality, and rates. It provides reliable, responsive, and affordable services, and requests and receives timely customer feedback to maintain responsiveness to customer needs and emergencies. Customers are satisfied with the services that the system provides.

EMPLOYEE & LEADERSHIP DEVELOPMENT: The system recruits and retains a workforce that is competent, motivated, and safe-working. Opportunities exist for employee skill development and career enhancement, and training programs are in place, or are available, to retain and improve their technical and other knowledge. Job descriptions and performance expectations are clearly established (in writing), and a code of conduct is in place and accepted by all employees.

OPERATIONAL OPTIMIZATION: The system ensures ongoing, timely, cost-effective, reliable, and sustainable performance in all aspects of its operations. The key operational aspects of the system (e.g., pressure, flow, quality) are documented and monitored. It minimizes resource use, loss, and impacts from day-to-day operations. It has assessed its current energy use and water loss and performed related audits.

FINANCIAL VIABILITY: The system establishes and maintains an effective balance between long-term debt, asset values, operations and maintenance expenditures, and operating revenues. Rates are adequate to pay its bills, put some funds away for both future capital expenditures and unanticipated issues, and maintain, repair, and replace its equipment and infrastructure as needed. The system discusses rate requirements with its customers, decision making authorities, and other key stakeholders.

INFRASTRUCTURE STABILITY: The system understands the condition and costs associated with its critical infrastructure assets. It has inventoried its system components, conditions, and costs, and has a plan in place to repair and replace these components. It maintains and enhances the condition of all assets over the long-term at the lowest possible life-cycle cost and acceptable level of risk.

OPERATIONAL RESILIENCY: The system ensures that its leadership and staff members work together to anticipate and avoid problems. It proactively identifies legal, financial, non-compliance, environmental, safety, security, and natural threats to the system. It has conducted a vulnerability assessment for safety, natural disasters, and other environmental threats, and has prepared an emergency response plan for these hazards.

COMMUNITY SUSTAINABILITY & ECONOMIC DEVELOPMENT: The system is active in its community and is aware of the impacts that its decisions have on current and long-term future community health and welfare. It seeks to support overall watershed, source water protection, and community economic goals, where feasible. It is aware of, and participates in, local community and economic development plans.

WATER RESOURCE ADEQUACY: The system ensures that water availability is consistent with current and future customer needs. It understands its role in water availability, and manages its operations to provide for long-term aquifer and surface water sustainability and replenishment. It has performed a long-term water supply and demand analysis, and is able to meet the water and sanitation needs of its customers now and for the reasonable future.

STAKEHOLDER UNDERSTANDING & SUPPORT: The system actively seeks understanding and support from decision making bodies, community members, and regulatory bodies related to service levels, operating budgets, capital improvement programs, and risk management decisions. It takes appropriate steps with these stakeholders to build support for its performance goals, resources, and the value of the services that it provides. The system performs active outreach and education to understand concerns and promote the value of clean, safe water and the services the utility provides, consistent with available resources.

SYSTEM IMPROVEMENT PRIORITIES: SELF ASSESSMENT

A candid and comprehensive self-assessment is the first step in identifying where a system can begin to make improvements in the ten management areas. The self-assessment helps rural and small systems identify their strengths and challenges to prioritize where efforts and resources should be focused. It can be completed by a number of different individuals within a utility (e.g., managers, staff), or as a team exercise amongst management, staff, and external stakeholders such as board members or customers (if appropriate). As an internal team exercise, it is recommended that each participant complete the assessment on his/her own, followed by a group discussion about the similarities and differences in results. Although the utility may use the assessment in a number of ways, the goal for all systems should be high achievement, consistent with the needs and expectations of their communities, in each of the management areas.

The self-assessment has three steps:

- 1) Rate achievement for each management area;
- 2) Rank the importance of each management area; and
- 3) Plot results to identify critical areas for improvement.

Once completed, the self-assessment exercise can help the system develop a plan for improving management area performance.



The Self-Assessment Worksheet

STEP 1 – RATING ACHIEVEMENT AREAS

Assess your system by rating your current level of achievement for each management area. Consider how effectively your current management efforts support each of the areas. Note that each management area has several dimensions (represented by the bullet points listed for each). Your rating should reflect the dimension with the lowest level of achievement. For example, if you believe that your achievement in one dimension of a management area was low, but your achievement in another dimension of that area was high, your overall rating for the area would be low. An example of the rating exercise can be found on the following page.

Scale from low achievement to high achievement:

- Select **Low** if your system has no workable practices in place for addressing this area – very low capacity and performance.
- Select **Medium** if your system has some workable practices in place with moderate achievement, but could improve – some capacity in place.
- Select **High** if your system has effective, standardized, and accepted practices in place. It either usually or consistently achieves goals – capacity is high and in need of very little or no further development.

YOUR TURN: Proceed to Table A in Appendix I and fill out the column labeled “Step 1” for each management area before moving to Step 2.

STEP 2 - RANKING PRIORITY AREAS

Rank the importance of each management area to your system. Base this ranking on your goals and the specific needs of your community. Your ranking may be influenced by current or expected challenges (e.g., if your community is experiencing elevated population growth rates, Water Resource Adequacy may be ranked as a high priority area to address). Again, note that each management area has multiple dimensions (represented by the bullet points listed). Your ranking should represent the highest priority of all of the points listed. Your ranking should also be independent of the achievement level. For example, an area can remain, and therefore be ranked, as a high priority even if the utility has high capacity and performance). An example of the rating exercise can be found on the following page.

Scale from low priority to high priority, keeping in mind the following:

- Current or expected challenges
- Customer or stakeholder impact (reliability, quality, timeliness)
- Consequences of not improving (non-compliance, increased cost, lost credibility, impacts to health and safety)
- Urgency (near or long term needs)
- Community priorities

YOUR TURN: Proceed to Table A in Appendix I and fill out the column labeled “Step 2” for each management area before moving to Step 3.

Key Management Area	Management Area Description	Step 1: Rate Achievement (Low High)	Step 2: Rank Priority (Low High)
1. Water Resource Adequacy (e.g., water quantity)	<ul style="list-style-type: none"> My system is able to meet the water or sanitation needs of its customers now and for the reasonable future. My system or community has performed a long-term water supply and demand analysis. (Applies to drinking water systems only.) My system understands its relationship to local water availability. (Drinking water utilities should focus on utilization rates relative to any local water stress conditions, wastewater utilities should focus on return flows.) 	Low	High
2. Product Quality (e.g., clean & safe water)	<ul style="list-style-type: none"> My system is in compliance with permit requirements and other regulatory or reliability requirements. My system meets local community expectations for the potable water and/or treated effluent and process residuals that it produces. 	Medium	High
3. Customer Satisfaction	<ul style="list-style-type: none"> Customers are satisfied with the services the system provides. My system has procedures in place to receive and respond to customer feedback in a timely fashion. 	High	Medium
4. Community Sustainability & Economic Development	<ul style="list-style-type: none"> My system is aware of and participating in local and regional community and economic development planning activities. My system's goals also help to support overall watershed and source water protection, and community economic goals. 	High	Low
5. Employee & Leadership Development	<ul style="list-style-type: none"> Training programs are in place to retain and improve institutional knowledge. Opportunities exist for employee skills development and career enhancement. Job descriptions, performance expectations, and codes of conduct are established. 	Low	Medium
6. Financial Viability	<ul style="list-style-type: none"> The rates that my system charges are adequate to pay our bills, put some funds away for the future, and maintain, repair, and replace our equipment and infrastructure as needed. (O&M, debt servicing, and other costs are covered). My system discusses rate requirements with our customers, board members, and other key stakeholders. 	Medium	High
7. Operational Optimization (e.g., energy/water efficiency)	<ul style="list-style-type: none"> My system has assessed its current energy usage and performed an energy audit. My system has maximized resource use and resource loss (e.g., water loss, treatment chemical use). My system understands, has documented, and monitors key operational aspects of the system (e.g., pressure, flow, quality). 	Medium	Medium
8. Infrastructure Stability (e.g., asset management practice)	<ul style="list-style-type: none"> My system has inventoried its current system components, condition, and cost. My system has a plan in place for repair and replacement of system components. 	Low	Medium
9. Operational Resiliency	<ul style="list-style-type: none"> My system has conducted an all hazards vulnerability assessment (safety, natural disasters, environmental risks, etc.). My utility has prepared an all hazards emergency response plan. 	Medium	Low
10. Stakeholder Understanding & Support	<ul style="list-style-type: none"> My system actively engages with local decision makers, community, watershed (where relevant), and regulatory representatives to build support for its goals, resources, and the value of the services it provides. My system performs active customer and stakeholder outreach and education to understand concerns and promote the value of clean and safe water. 	Low	Low

STEP 3 - PLOT RESULTS

To compare your results for each management area, you will plot each pair (rating, ranking) in Table B of Appendix I. For each management area, identify your high/medium/low rating in the green Step 1 box, and find the corresponding row in the table. Then, for the same management area, identify your high/medium/low ranking in the blue Step 2 box, and find the corresponding column in the table. The box where the row and column intersect is where you should place that management area (note abbreviations below for use in the plotting exercise). The example below shows how you should complete the Step 3 plotting exercise. The ranking and rating for each management area should be paired and placed into the corresponding box in the grid, based on the low/medium/high determinations given in Steps 1 and 2.

Table B: Example

Key Management Area	Management Area Description	Step 1: Rate Achievement (Low – High)	Step 2: Rank Priority (Low – High)
1. Water Resource Adequacy (e.g., water quantity)	<ul style="list-style-type: none"> My system is able to meet the water or sanitation needs of its customers now and for the reasonable future. My utility or community has performed a long-term water supply and demand analysis. (Applies to drinking water systems only) My system understands its relationship to local water availability. (Drinking water utilities should focus on utilization rates relative to any local water stress conditions, wastewater utilities should focus on return flows) 	Low	High
2. Product Quality (e.g., clean & safe water)	<ul style="list-style-type: none"> My system is in compliance with permit requirements and other regulatory or reliability requirements. My utility meets local community expectations for the potable water and/or treated effluent and process residual that it produces. 	Medium	High
3. Customer Satisfaction	<ul style="list-style-type: none"> Customers are satisfied with the services my system provides. My system has procedures in place to receive and respond to customer feedback in a timely fashion. 	High	Medium

Rating (Achievement)	High		CS	
	Medium			PQ
	Low			WA
		Low	Medium	High
		Ranking (Priority)		

YOUR TURN: Complete the plotting exercise in Step 3 in Table B of Appendix I before moving to Step 4.

STEP 4 - ANALYZE RESULTS

The results of the Step 3 plotting exercise identify management areas that will benefit from improvement. Generally speaking, management areas that fall into the **red box** are both **very important and need improvement**. They should be seen as a top priority for improvement. Management areas that land in the **yellow boxes** are next on the list for improvement, and those in the **white boxes** may be considered for long-term improvement efforts, but likely do not need immediate action. The eventual goal for all utilities should be high achievement in all management areas, but at a pace consistent with the system's priorities and resources.

A sustainable management improvement plan is a good way to identify and prioritize the actions. This plan should be incorporated, as appropriate, into the utility's annual budget, and coordinated with its capital improvement plans and long-range plan. The sustainable management improvement plan should derive directly from the analysis of the self-assessment results.

Both the self-assessment results and the sustainable management improvement plan can act as building blocks for long-range planning. A sustainable management improvement plan takes a long-term view of the system's goals and establishes a clear vision and mission. The plan should incorporate goals and actions for each priority management area in a logical sequence. The plan should also incorporate actions needed to maintain high achievement in the areas of current strong performance. Utilities are encouraged to repeat the self-assessment and update their sustainable management improvement plans as changes to system operations or infrastructure take place.

QUESTIONS TO CONSIDER:

Where is my system strong?

Where is there the most room for improvement?

What should my areas of focus be?

Why are these areas priorities?

Types of Plans

Sustainable Management Improvement Plan: A plan that addresses specific areas of utility management that need improvement. This type of plan should be designed around the assessment of the management areas presented in this *Guidebook*.

Capital Improvement Plan: A mid term plan (typically over a period of four to ten years) that identifies capital projects and equipment purchases. It provides a planning schedule and identifies options for financing each item.

Long Range Plan: A plan that addresses future outcomes to help meet goals over a long period of time (typically over a period of twenty years or more) by evaluating an organization and the environment in which it operates.

IMPROVING OUTCOMES

To create a successful sustainable management improvement plan, it is important to have at least a basic understanding of the following items:

- What it means to accomplish “high achievement” in each area;
- The changes a system will need to make to reach this level;
- The challenges that may arise for each management area; and
- How to track performance and progress.

This section of the *Guidebook* is designed to help systems develop a strategy for addressing each of these components of becoming a more sustainable and resilient system.

How to Succeed in Each Management Area: High Achievement and Common Challenges

Once a system has decided to improve its performance in one or more of the key management areas, the next step is to develop and implement a plan. To create a plan, it is important to have an idea of what challenges may arise, and what practices can be adopted to address each area.

Found on the following pages are overviews of challenges and effective practices for five management areas. These areas were discussed in-depth at the small system workshops that served as background for the *Guidebook*. Also included are examples of performance measures for each management area.

QUESTIONS TO CONSIDER FOR EACH MANAGEMENT AREA:

What will constitute ‘high achievement’ in this area?

What factors have led to performance gaps in this area?

What changes will my utility need to make to improve performance?

Who will need to be involved for changes to take place?

How will my utility track performance progress?

What will be the biggest challenges to performance improvement?

Are there external resources that can support the improvement of performance in this management area?

EMPLOYEE & LEADERSHIP DEVELOPMENT

Challenges specific to **Employee & Leadership Development** include:

- Employee motivation and opportunities for development can be hampered by a lack of resources.
- Limited access to training opportunities can prevent personal and professional development.
- Lack of written job responsibilities can lead to uncertainty about management expectations and a lack of recognition for the work that is done.
- Time constraints on employees.

Try this:

Develop relationships with neighboring systems to share training resources.

Examples of actions taken by high performing utilities in **Employee & Leadership Development** include:

- Have programs in place to retain and improve institutional knowledge, such as a “living document” with best practices for different areas of utility operations that is updated regularly (e.g., have a “best practices” document that includes sections for each area of operation, and every six months ask an operator from each area to review the content and make updates as necessary).
- Ensure that staff members are cross-trained (i.e., more than one staff member can do a specific job).
- Allow employees to work non-traditional schedules (e.g., a modified overtime schedule) to allow for on-the-job-training (e.g., job shadowing of other employees as a part of cross-training).
- Identify and schedule key training events that staff members are required to attend. Whenever possible, make training events short and focused, and build them into the regular work day.
- Establish and clearly communicate staff performance requirements (e.g., create a table of capabilities for successful performance in the different positions and review with staff annually).
- Create an outreach plan to attract qualified staff (e.g., with local schools or veteran’s associations).
- Create incentive programs to retain staff, encourage training, or encourage staff to take on additional duties (e.g., monthly or quarterly recognition/awards for staff that have gone above and beyond their regular duties or competition between staff members for accruing the most training hours in a set period of time).
- Develop training module templates for how to conduct trainings on different topics. Include presenter notes and materials for participants.
- Check in with staff regularly to identify new training needs.
- Create partnerships with the system’s insurance agency or state water organization to benefit from free or reduced rate training programs that they may offer.
- Help train, or otherwise assist, staff from neighboring utilities.

Measures that you might consider for tracking accomplishments in **Employee & Leadership Development**:

- **Employee turnover rate:** $\frac{\text{Number of employee departures per year}}{\text{Number of total positions per year}}$
- **Employee job satisfaction rate:** $\frac{\text{Number of employees satisfied with their jobs per year}}{\text{Total number of employees per year}}$
- **Annual training hours per employee**

FINANCIAL VIABILITY

Challenges specific to **Financial Viability** include:

- It is uncomfortable and politically challenging to discontinue service to neighbors, acquaintances, elderly customers, or fixed income customers who have not paid their bills.
- It is difficult to communicate to elected officials and consumers about how much it costs to produce drinking water and process wastewater, making it a challenge to get rate increases approved.
- Customers feel that flat rate billing practices are unfair (low volume users paying the same as high volume users).
- Elected officials may make campaign commitments to no rate increases.

Try this:

Undertake a rate study to determine if current rates are adequate to meet both current and future needs.

Examples of actions taken by high performing utilities in **Financial Viability** include:

- Discuss rate requirements and related system repair requirements with customers, board members, and other key stakeholders so that there is a better understanding within the community of why rate decisions and changes are made. (Consider using a respected member of the community to facilitate this discussion).
- Have a study on rate requirements conducted by an independent consultant (e.g., National Rural Water Association, Rural Community Assistance Partnership) to back up discussions about rate requirements.
- Establish predictable rates, consistent with community expectations and acceptability.
- Have financial accounting policies and procedures in place.
- Have ordinances in place for automatic rate increases tied to cost of living increases.
- Set aside funds for reserves (i.e., have a “rainy day” fund).
- Increase equity in billing practices by using meters whenever possible.
- Conduct quarterly budget reviews.
- Identify priorities for system improvements to aid in allocation of available funds.
- Improve practices for reducing the number of outstanding bills (e.g., limit the carry-forward balance to a fixed amount or increase service connection fees or service deposits to discourage customers who move frequently or avoid paying their bills).
- Create incentives for early bill payment (e.g., a 5% discount for bills paid early, or a good customer discount such as a discount on the seventh month’s bill after six months of paying on time).
- Communicate financial viability information to stakeholders to keep them informed about rates.

Measures that you might consider for tracking accomplishments in **Financial Viability**:

- ◆ Revenue to expenditures ratio: $\frac{\text{Total annual revenue}}{\text{Total annual expenditures}}$
- ◆ Debt ratio: $\frac{\text{Total liabilities}}{\text{Total assets}}$
- ◆ Number of late or unpaid bills per billing period
- ◆ Number of annual shutoffs

INFRASTRUCTURE STABILITY

Challenges related to **Infrastructure Stability** include:

- Planning for repair and maintenance of infrastructure is hampered by a limited knowledge of the condition of existing infrastructure components.
- Many systems are trapped in a reactive repair and maintenance mode leaving little or no time for undertaking the proactive work needed to establish an asset management program.

Examples of actions taken by high performing utilities in **Infrastructure Stability** include:

- Create a complete and organized inventory of its current system components, condition, location, age, life expectancy, and cost.
- Conduct inflow and infiltration (I&I) and water loss analyses to determine the revenue and cost implications of deteriorating pipe conditions.
- As major collection system replacements are needed, consider sewer (sanitary and stormwater) separation to improve treatment performance and preserve treatment capacity.
- Track the status of all system components to be better aware of where weaknesses exist and when maintenance may be required (e.g., plotting valves, hydrants, and main breaks on a map).
- Coordinate asset repair, rehabilitation, and replacement with other community projects and repairs (e.g., road maintenance) to minimize disruptions and other negative consequences. Communicate these repairs in advance with customers in case of service disruptions.
- Track the frequency and cause of repeat collection, distribution, and maintenance problems.
- Establish a capital improvement plan that identifies capital projects and equipment purchases, as well as the resources needed to fund them.
- Have an understanding of system operating parameters (e.g., pressure).
- Organize all system documentation in a manner that it can be easily accessed by multiple staff members in the case of a break-down or other event.
- Focus on small annual projects and system upgrades rather than major undertakings.

Try this:

Create an inventory of your assets over time by setting up a template for logging assets. Log assets at the time that regular maintenance or emergency repairs are performed.

Measures that you might consider for tracking accomplishments in **Infrastructure Stability**:

- ◆ **Inventory completeness rate:**
$$\frac{\text{Total number of critical assets inventoried}}{\text{Total number of critical assets owned and operated}}$$
- ◆ **Condition assessment rate:**
$$\frac{\text{Number of assets with condition assessed and put into condition categories}}{\text{Total number of assets}}$$

OPERATIONAL RESILIENCY

Challenges related to **Operational Resiliency** include:

- A lack of system documentation.
- Insufficient time to conduct training and exercises on the emergency response plan.
- Employee and board member turnover makes it difficult to maintain familiarity with emergency response procedures and materials.

Examples of actions taken by high performing utilities in **Operational Resiliency** include:

- Conduct an all hazards vulnerability assessment.
- Prepare an all hazards emergency response plan, including all associated documents (e.g., shut off checklists, notices, and contact information), and conduct training and exercises on the plan. In this plan, make sure to indicate who is responsible for each activity.
- Distribute all emergency documents to board members and other essential personnel, including local emergency responders.
- Participate in your state's Wastewater Agency Response Network (WARN) program to share resources with neighboring utilities during an emergency through mutual aid and assistance.
- Develop relationships with contractors to ensure the types of equipment and services needed during emergencies are available in a timely fashion.
- Have safety policies in place to protect employees against work-related injuries.
- Identify and establish risk communication roles and responsibilities.
- Coordinate emergency response plans with local response partners, including emergency management agencies, police, fire, and critical independent sectors (e.g., hospitals and power companies).
- Identify a state certified laboratory that can help with emergency water testing during an incident.
- Plan for recovery by identifying funding resources that may be available to restore and strengthen the resiliency of your system. Identify opportunities to mitigate and adapt to climate change.

Try this:

Use an annual board meeting as an opportunity to distribute and review key emergency documents.

Measures that you might consider for tracking accomplishments in Operational Resiliency:

- ◆ Annual number of work related injuries
- ◆ Annual number of emergency response trainings or exercises held
- ◆ Period of time (hours or days) that minimum daily demand can be met with the primary water source unavailable

STAKEHOLDER UNDERSTANDING & SUPPORT

Challenges related to **Stakeholder Understanding & Support** include:

- Customers and stakeholders display a lack of interest in gaining a better understanding of utility needs.
- Customer resistance to paying water bills or supporting rate increases.

Examples of actions taken by high performing utilities in **Stakeholder Understanding and Support** include:

- Perform active customer and stakeholder outreach and education (e.g., hold meetings with stakeholders at the facility to convey a basic understanding and knowledge of utility operations).
- Utilize engagement and outreach activities as opportunities to also better understand community and customer needs and interests related to utility operations.
- Promote the value of clean and safe water (e.g., utilize pre-prepared National Rural Water Association education materials associated with its Quality on Tap program).
- Actively engage with local decision makers, watershed, and regulatory representatives through newsletters, regular meetings, and surveys.
- Have a capital improvement plan or other document to share with stakeholders that summarizes utility priorities. Make this information easily available.
- Establish active level of service goals to set performance measures for the utility and share with customers.
- Use free space in bills to provide important information to customers.
- Share positive information on your utility with local media sources as a way of establishing a positive working relationship.

Try this:

Host an annual open house or barbeque at your facility for stakeholders and community members. Offer tours of the facility to citizens and local media as a part of this event.

Measures that you might consider for tracking accomplishments in **Stakeholder Understanding & Support**:

- ◆ Annual number of stakeholder outreach activities conducted
- ◆ Amount of annual positive media coverage (number of media stories per year)
- ◆ Rate of responsiveness to stakeholder suggestions/complaints:

$$\frac{\text{Number of stakeholder suggestions or complaints responded to}}{\text{Total number of stakeholder suggestions or complaints}}$$

WHAT'S NEXT: CREATING YOUR PLAN FOR ACTION

Creating a Plan

Having gained a more complete understanding of strengths and challenges based on the self-assessment and an idea of what actions can strengthen performance in the management areas, a system will be better equipped to develop an effective sustainable management improvement plan. Where feasible it is useful for a single staff member (or, “champion”) to have responsibility of overseeing improvement plan development. Various staff members and managers, however, should be involved in its creation, if possible. In drafting a plan, the utility should create specific tasks for addressing its targeted improvement areas, and identify adjustments necessary to make the desired changes.

After completing the self-assessment exercise, the system will select priority improvement areas from the red and yellow boxes of the plotting exercise. The sustainable management improvement plan should be **simple, specific, realistic, and complete**. Appendix III contains references for a wide range of resources covering all of the management areas. These resources will be useful for identifying the options you have for undertaking management area improvements. For each improvement action that you identify, the plan should include the following components:

- An easy-to-understand, but still thorough, **description** of what actions will be taken;
- Identification of **who will be responsible** for taking the action;
- Known **resources** already on-hand or needed to complete the actions (financial, informational, or other);
- Identification of key **challenges** that will need to be addressed;
- A **timeline** with key milestones for the actions in the plan, and a date by when the plan will be completed (or acknowledgement if it is ongoing); and
- A **review loop** to periodically assess progress in implementing the plan and adapting the plan to changing conditions (e.g., implementing a new billing system, measuring the efficiency of the system as implemented, and refining the system based on the information from the performance measures).

The utility can create its own action plan format based on its needs and circumstances, or use the blank Sustainable Management Action Plan Worksheet in Appendix II. A sustainable management improvement plan does not have to be long or even perfect. What's most important is that the system has a plan in place and that it sticks with it!

How You Can Take Action

Results of the Self-Assessment exercise can be implemented in many different ways to accommodate an individual utility's regular near-term and long-term planning processes. For utilities that are just getting started with planning or those that would like to take immediate action outside of their normal planning cycle, an example timeline with suggested activities is outlined on the following page.

First Step: Complete Your Self Assessment

- Following the steps in the worksheet, complete a self-assessment for your system.
- **Try this:** *It is often helpful for utility staff to complete the worksheet as a team, and to involve decision makers (e.g., board members, city council members, mayors) in the self-assessment process (if possible).*

1-4 Weeks After the Self Assessment is Completed

- If they have not already been involved in the process up to this point, consider reaching out to decision makers (e.g., board members, community leaders) whose roles relate to or influence utility operations. Explain your self-assessment results to them and tell them why it is important to take action in your priority management areas.
- Complete a preliminary Sustainable Management Improvement Plan Worksheet (found in Appendix II).
- **Try this:** *Make sure that all utility members who may be assigned action items as a part of the worksheet are present when the worksheet is completed to help create accountability.*

4-8 Weeks After the Self Assessment is Completed

- Share your preliminary action plan with decision makers and modify the plan based on their feedback.
- Gain necessary approvals to move forward with implementing the action plan.
- **Try this:** *Schedule a site visit with a local TA provider to gain additional tips and input for implementing your plan.*

8-15 Weeks After the Self Assessment is Completed

- Begin to implement the action plan based on the timelines that you identified in the Sustainable Management Improvement Plan Worksheet.

12-15 Weeks After the Self Assessment is Completed

- Hold an internal follow-up meeting to assess progress on action plan activities and adjust the plan as needed.

Ongoing

- Hold regular meetings to assess your action plan activities.
- Periodically revisit the Self-Assessment Worksheet to identify emerging priority management areas.
- Complete new Sustainable Management Improvement Plan Worksheets as additional priority management areas are identified.
- Share success stories and challenges with TA providers and neighboring utilities to continually improve performance.

The Sustainable Management Improvement Plan Worksheet

Instructions:

1. List your top three priority management areas – these should be drawn from the self-assessment activity.
2. List the improvement actions that you will undertake to address the priority management areas – you should have at least one action for each priority management area (actions may address multiple management areas).
3. Fill out the details in the table below for each improvement action separately (i.e., one table per action).

EXAMPLE SUSTAINABLE MANAGEMENT IMPROVEMENT PLAN WORKSHEET

Priority Management Areas:

1. Water Resource Adequacy
2. Product Quality
3. Financial Viability

Improvement Action: Improve practices for reducing the number of outstanding bills	
Description: ✓ Action ✓ Management Area(s) addressed ✓ Objective(s)	✓ Limit the carry-forward balance to a fixed amount and increase service deposits to discourage customers who move frequently or avoid paying their bills. ✓ Financial viability ✓ Reduce the amount of money lost to unpaid bills
Timeline: ✓ Start date ✓ Milestones ✓ Target completion date	✓ June 1: Start -Draft new carry-forward balance allowance and new service deposit requirements for new customers ✓ July: Propose and approve new balance and deposit requirements at board meeting August: Notify customers of new requirements ✓ September 30: Completion - Implement new balance and deposit requirements
Responsible Party (or Parties):	✓ Bill Smith ✓ Jane Anderson
Relevant Resources (on-hand or needed):	✓ Example ordinance text created by other utilities to support the desired policy change
Challenges to Address:	✓ Public pressure on board members to reject rate increases
Review Process: ✓ Performance indicators or measures ✓ Status reports and updates frequency/cycle	✓ Milestone dates met ✓ Weekly progress checks with utility director relative to identified milestones
Other Notes:	✓ Conduct calls with each board member to explain the need for the policy change and answer their questions

YOUR TURN: Complete the Improvement Plan Worksheet in Appendix II.

Measuring Progress

As a part of the review loop built into an action plan, the system must determine how to track progress toward achievement of performance goals. For rural and small systems, it is most feasible to measure internal performance, rather than trying to gather external data needed for more complex evaluations. Some measurements to consider are included in the “How to Succeed in Each Area” section of the *Guidebook*, beginning on page 12, but it is important to remember that performance measures should be tailored to the specific needs and goals of each system.

Some points to keep in mind when selecting performance measures are included below:

- Select the **right number, level, and type of measures** for the utility’s capabilities and capacity. (As a general rule, having a short list of measures is probably best.)
- Measuring performance will require some level of **resource commitment**. (Resources can include money, time, and personnel.)
- Develop **clear and consistent definitions** for each measure. (How will it be tracked and reported?)
- Set **reasonable targets** based on criteria such as performance and improvement in previous years, or customer expectations. (How quickly does the community expect projects to be completed?)
- Develop a process for **evaluating and responding to the results** of measuring progress. (Now that the utility knows how it is doing, how will it use this information to continue to improve its performance?)
- Select measures that support the system’s **short-term and long-term goals**. (How do these measurements fit into the “big picture” of the utility?)
- **Periodically report on progress** to the board and other key stakeholders in the community.
- **Recognize and celebrate progress** along the way! (Every little bit counts.)

Assessing Accomplishments and Making Improvements

Having created a structure for measuring progress toward meeting improvement goals, a system will need to complete the third step in the review loop: assessing accomplishments (or pitfalls) and making adjustments as needed. Setting aside time on a quarterly, biannual, or annual basis to discuss the progress that has been made towards key management goals is one of the simplest, but most important, actions that a system can take. By addressing the key questions and modifying the improvement plan on a regular basis, a system will keep the goals, and itself, up-to-date on current issues and on the path to being a more resilient, sustainable system.

QUESTIONS TO CONSIDER:

What is working? Why?

What is not working? Why?

Have internal or external conditions for my utility changed?

How can my plan be adjusted accordingly?

APPENDICES

Appendix I: Self-Assessment Worksheet

Appendix II: Sustainable Management Action Plan Worksheet

Appendix III: Resources for Rural and Small Systems

APPENDIX I: SELF-ASSESSMENT

WORKSHEET

STEP 1 – RATING ACHIEVEMENT AREAS

Assess your system by rating your current level of achievement for each management area. Consider how effectively your current management efforts support each of the areas. Note that each management area has several dimensions (represented by the bullet points listed for each). Your rating should reflect the dimension with the lowest level of achievement. For example, if you believe that your achievement in one dimension of a management area was low, but your achievement in another dimension of that area was high, your overall rating for the area would be low. An example of the rating exercise can be found on the following page.

Scale from low achievement to high achievement:

- Select **Low** if your system has no workable practices in place for addressing this area – very low capacity and performance.
- Select **Medium** if your system has some workable practices in place with moderate achievement, but could improve – some capacity in place.
- Select **High** if your system has effective, standardized, and accepted practices in place. It either usually or consistently achieves goals – capacity is high and in need of very little or no further development.

STEP 2 - RANKING PRIORITY AREAS

Rank the importance of each management area to your system. Base this ranking on your goals and the specific needs of your community. Your ranking may be influenced by current or expected challenges (e.g., if your community is experiencing elevated population growth rates, Water Resource Adequacy may be ranked as a high priority area to address). Again, note that each management area has multiple dimensions (represented by the bullet points listed). Your ranking should represent the highest priority of all of the points listed. Your ranking should also be independent of the achievement level. For example, an area can remain, and therefore be ranked, as a high priority even if the utility has high capacity and performance). An example of the rating exercise can be found on the following page.

Scale from low priority to high priority, keeping in mind the following:

- Current or expected challenges
- Customer or stakeholder impact (reliability, quality, timeliness)
- Consequences of not improving (non-compliance, increased cost, lost credibility, impacts to health and safety)
- Urgency (near or long term needs)
- Community priorities

Table A

Key Management Area	Management Area Description	Step 1: Rate Achievement (Low – High)	Step 2: Rank Priority (Low – High)
1. Water Resource Adequacy (e.g., water quantity)	<ul style="list-style-type: none"> • My system is able to meet the water or sanitation needs of its customers now and for the reasonable future. • My utility or community has performed a long-term water supply and demand analysis. (Applies to drinking water systems only.) • My system understands its relationship to local water availability. (Drinking water utilities should focus on utilization rates relative to any local water stress conditions, wastewater utilities should focus on return flows.) 		
2. Product Quality (e.g., clean & safe water)	<ul style="list-style-type: none"> • My system is in compliance with permit requirements and other regulatory or reliability requirements. • My utility meets local community expectations for the potable water and/or treated effluent and process residuals that it produces. 		
3. Customer Satisfaction	<ul style="list-style-type: none"> • Customers are satisfied with the services the system provides. • My system has procedures in place to receive and respond to customer feedback in a timely fashion. 		
4. Community Sustainability & Economic Development	<ul style="list-style-type: none"> • My utility is aware of and participating in local and regional community and economic development planning activities. • My utility's goals also help to support overall watershed and source water protection, and community economic goals. 		
5. Employee & Leadership Development	<ul style="list-style-type: none"> • Training programs are in place to retain and improve institutional knowledge. • Opportunities exist for employee skills development and career enhancement. • Job descriptions, performance expectations, and codes of conduct are established. 		
6. Financial Viability	<ul style="list-style-type: none"> • The rates that my utility charges are adequate to pay our bills, put some funds away for the future, and maintain, repair, and replace our equipment and infrastructure as needed. (O&M, debt servicing, and other costs are covered.) • My utility discusses rate requirements with our customers, board members, and other key stakeholders. 		
7. Operational Optimization (e.g., energy/water efficiency)	<ul style="list-style-type: none"> • My utility has assessed its current energy usage and performed an energy audit. • My utility has maximized resource use and resource loss (e.g., water loss, treatment chemical use). • My utility understands, has documented, and monitors key operational aspects of the system (e.g., pressure, flow, quality). 		
8. Infrastructure Stability (e.g., asset management)	<ul style="list-style-type: none"> • My utility has inventoried its current system components, condition, and cost. • My system has a plan in place for repair and replacement of system components. 		
9. Operational Resiliency	<ul style="list-style-type: none"> • My utility has conducted an all hazards vulnerability assessment (safety, natural disasters, environmental risks, etc.). • My utility has prepared an all hazards emergency response plan. 		
10. Stakeholder Understanding & Support	<ul style="list-style-type: none"> • My system actively engages with local decision makers, community, watershed (where relevant), and regulatory representatives to build support for its goals, resources, and the value of the services it provides. • My utility performs active customer and stakeholder outreach and education to understand concerns and promote the value of clean and safe water. 		

STEP 3 - PLOT RESULTS

To compare your results for each management area, you will plot each pair (rating, ranking) in Table B of Appendix I. For each management area, identify your high/medium/low rating in the green Step 1 box, and find the corresponding row in the table. Then, for the same management area, identify your high/medium/low ranking in the blue Step 2 box, and find the corresponding column in the table. The box where the row and column intersect is where you should place that management area (note abbreviations below for use in the plotting exercise). The example below shows how you should complete the Step 3 plotting exercise. The ranking and rating for each management area should be paired and placed into the corresponding box in the grid, based on the low/medium/high determinations given in Steps 1 and 2.

WA	Water Resource Adequacy	FV	Financial Viability
PQ	Product Quality	OO	Operational Optimization
CS	Customer Satisfaction	IS	Infrastructure Stability
CE	Community Sustainability & Economic Development	OR	Operational Resiliency
ED	Employee & Leadership Development	SS	Stakeholder Understanding & Support

Table B

Rating (Achievement)	High			
	Medium		Yellow	Yellow
	Low		Yellow	Red
		Low	Medium	High
Ranking (Priority)				

STEP 4 - ANALYZE RESULTS

The results of the Step 3 plotting exercise identify management areas that will benefit from improvement. Generally speaking, management areas that fall into the **red box** are both **very important and need improvement**. They should be seen as a top priority for improvement. Management areas that land in the **yellow boxes** are next on the list for improvement, and those in the **white boxes** may be considered for long-term improvement efforts, but likely do not need immediate action. The eventual goal for all utilities should be high achievement in all management areas, but at a pace consistent with the system’s priorities and resources.

QUESTIONS TO CONSIDER:

- Where is my utility strong?
- Where is there the most room for improvement?
- What should my areas of focus be?
- Why are these areas priorities?

APPENDIX II: SUSTAINABLE MANAGEMENT ACTION PLAN WORKSHEET

Instructions:

- ✓ List your top three priority management areas – these should be drawn from the self-assessment activity.
- ✓ List the improvement actions that you will undertake to address the priority management areas – you should have at least one action for each priority management area (actions may address multiple management areas).
- ✓ Fill out the details in the table below for each improvement action separately (i.e., one table per action).

Priority Management Areas:

- 1.
- 2.
- 3.

Improvement Action:
Description: <ul style="list-style-type: none"> ✓ Action ✓ Management Area(s) addressed ✓ Objective(s)
Timeline: <ul style="list-style-type: none"> ✓ Start date ✓ Milestones ✓ Target completion date
Responsible Party (or Parties):
Relevant Resources (on-hand or needed):
Challenges to Address:
Review Process: <ul style="list-style-type: none"> ✓ Performance indicators or measures ✓ Status reports and updates frequency/cycle
Other Notes:

APPENDIX III: RESOURCES FOR RURAL AND SMALL SYSTEMS

As a companion resource to this *Guidebook*, this list of resources offers additional information and guidance specific to small systems on the ten key management areas. Resources are identified in the table by the key management areas that they address (abbreviations in the table are identified in the key below). The majority of the resources listed are available free of charge.

WA	Water Resource Adequacy	FV	Financial Viability
PQ	Product Quality	OO	Operational Optimization
CS	Customer Satisfaction	IS	Infrastructure Stability
CE	Community Sustainability & Economic Development	OR	Operational Resiliency
ED	Employee & Leadership Development	SS	Stakeholder Understanding & Support

	WA	PQ	CS	CE	ED	FV	OO	IS	OR	SS
ArcGIS for Water Utilities http://solutions.arcgis.com/utilities/ <i>An industry specific configuration of ArcGIS designed to meet common needs of water, wastewater and stormwater utilities and is delivered as module of ArcGIS for Local Government. ArcGIS for Water Utilities is a free download that you can deploy on top of either the entire ArcGIS System or the individual components of the ArcGIS System that your organization licenses.</i>								✓		
ArcGIS for Water Utilities – Water Conservation Dashboard http://solutions.arcgis.com/utilities/water/help/water-conservation-dashboard/ <i>Allows operations managers to view the progress and results of green infrastructure verifications, watering violations, and service shutdown information. Helps managers to understand and ensure the completion of water conservation field operations.</i>	✓						✓			
Asset Management: A Handbook for Small Water Systems http://nepis.epa.gov/Exe/ZyPDF.cgi/2000261D.PDF?Dockey=2000261D.PDF <i>Presents basic concepts of asset management and provides the tools to develop an asset management plan. It is designed for owners and operators of small community water systems (CWSs). CWSs include all systems (both publicly and privately owned) with at least 25 year-round residential customers or 15 year-round service connections.</i>						✓	✓	✓		
AWWA Water Audit Software http://www.awwa.org/resources-tools/water-knowledge/water-loss-control.aspx <i>Free software to compile a preliminary audit.</i>										

	WA	PQ	CS	CE	ED	FV	OO	IS	OR	SS
<p>“Basic Training” for Drinking Water Board Members – Online Course Reference Guide http://www.newwa.org/Portals/0/Utility%20Resources/FINAL%202013-09-25_Wtr_Comm_Book-Low%20Res.pdf <i>A guide for new board members, developed by the New England Water Works Association with funding from EPA Region 1. Covers items such as roles and responsibilities, communications, board operations, working with operators, budgets and rate setting, planning for the future, and treatment and distribution basics.</i></p>	✓	✓			✓	✓		✓		
<p>The Basics of Financial Management for Small-community Utilities http://www.rcapsolutions.org/wp-content/uploads/2013/06/RCAP-Financial-Management-Guide.pdf <i>A basic guide that is ideal for a board member of a drinking water or wastewater utility who needs to understand the financial aspects of a utility's operations.</i></p>					✓	✓				
<p>The Big Guide for Small Systems: A Resource for Board Members http://rcap.org/wp-content/uploads/2016/03/Big-Guide-for-Small-Systems.pdf <i>A comprehensive desk reference that is ideal as an orientation and background for new members on a utility's board of directors. Designed for members of the board of a drinking water and/or wastewater system in a small community. In various parts of the guide, sample documents are provided that utilities can take and adapt for use in their own situations.</i></p>			✓		✓					✓
<p>Board Member Training http://msucares.com/water/waterboard/waterindex.html <i>Trains board members in the areas of laws and regulations, duties and responsibilities, ethics, operation and maintenance, management and finance, rate setting, and public relations and customer service.</i></p>										✓
<p>Building Water System Capacity: A Guide for Tribal Administrators http://www.epa.gov/sites/production/files/2015-04/documents/epa816k01006.pdf <i>Resource describes the process through which drinking water systems acquire and maintain the technical, financial, and managerial capabilities to consistently provide safe drinking water.</i></p>		✓	✓							
<p>Capital Improvement Plan (CIP) Tool for Water and Wastewater Utilities http://www.efc.sog.unc.edu/project/capital-planning-resources-water-and-wastewater-utilities <i>CIP tool with example data and tools to create easy-to-understand predictions on: financial reserves, rate increases, and capital investment.</i></p>								✓		
<p>Care and Conserve Sewer Line Repairs http://www.cleanwateratlanta.org/environmentaleducation/CareConserve.htm <i>Sample program for low income assistance.</i></p>						✓				

	WA	PQ	CS	CE	ED	FV	OO	IS	OR	SS
<p>Check Up Program for Small Systems http://www.epa.gov/dwcapacity/information-check-program-small-systems-cupss-asset-management-tool <i>Provides a simple, comprehensive approach based on EPA's highly successful Simple Tools for Effective Performance (STEP) Guide series. Use CUPSS to help you develop: a record of your assets, a schedule of required tasks, an understanding of your financial situation, and a tailored asset management plan.</i></p>						✓	✓	✓		
<p>Circuit Rider Program http://nrwa.org/initiatives/training-and-technical-assistance/ <i>Provides technical assistance for the operations of rural water systems. Rural Utilities Service through contracting, has assisted rural water systems with day-to-day operational, financial, and management problems. The assistance may be requested by officials of rural water systems or RUS. The program compliments the loan supervision responsibilities for RUS. The National Rural Water Association has entered into a contract with RUS to provide this service. National Rural Water Association - State Affiliates do the work in their states.</i></p>					✓	✓		✓	✓	
<p>Cross-Connection Control: A Best Practices Guide http://nepis.epa.gov/Exe/ZyPDF.cgi/2000ZZB8.PDF?Dockey=2000ZZB8.PDF <i>This guide discusses the importance of controlling cross-connections and preventing backflow occurrences from unprotected cross-connections in the water system.</i></p>		✓								
<p>Drinking Water Security for Small Systems Serving 3,300 or Fewer Persons http://nepis.epa.gov/Exe/ZyPDF.cgi/20017JWD.PDF?Dockey=20017JWD.PDF <i>Presents basic information and steps you can take to improve security and emergency preparedness at your water system.</i></p>									✓	
<p>A Drop of Knowledge http://rcap.org/resource/a-drop-of-knowledge/ <i>A Drop of Knowledge (formerly the eBulletin) is one of RCAP's main communications resources. It is an electronic newsletter delivered via email that provides tools focusing on issues facing water and wastewater systems and small, rural communities. A Drop of Knowledge is designed for staff of water systems/utilities, board members and elected officials. It provides helpful tips, guides and resources on practical subjects and is written in plain English. The information it contains will help you make informed decisions to benefit your community, keep your system in compliance, and maintain water quality in the most proactive way.</i></p>						✓	✓	✓	✓	
<p>EFC Financial Dashboard http://www.efc.sog.unc.edu/project/utility-financial-sustainability-and-rates-dashboards <i>Free, interactive rates dashboards that are designed to assist utility managers and local officials analyze water and wastewater rates against multiple characteristics.</i></p>						✓	✓	✓		
<p>eLearning – Leadership & Management Courses http://www.awwa.org/conferences-education/distance-learning/elearning.aspx <i>AWWA's online courses on leadership and management.</i></p>					✓					

	WA	PQ	CS	CE	ED	FV	OO	IS	OR	SS
<p>eLearning – “Water Basics for Decision Makers” http://www.awwa.org/store/productdetail.aspx?productid=6655 Document for decision makers in water or wastewater utilities, or for those who regularly interact with professionals but don't clearly understand how water is distributed and treated.</p>										✓
<p>Energy Efficiency in Water and Wastewater Facilities http://www3.epa.gov/statelocalclimate/documents/pdf/wastewater-guide.pdf A guide to developing and implementing greenhouse gas reduction programs.</p>							✓			
<p>Financial Management Courses http://www.newwa.org/NetCode/courseDescList.aspx Search under course category “Management.”</p>						✓				
<p>Financial Planning: A Guide for Water and Wastewater Systems http://www.nmenv.state.nm.us/dwb/Documents/Public%20Info/RCAC%20Financial%20guide%20final%206.pdf Guidebook that walks a utility through the annual budgeting process, the rate setting process, and creating a 6-year financial plan.</p>						✓				
<p>Formulate Great Rates: The Guide to Conducting a Rate Study for a Water System http://rcap.org/wp-content/uploads/2012/03/Formulate-Great-Rates.pdf A guide to developing a fair and equitable rate structure in a small drinking water or wastewater system.</p>		✓	✓			✓				
<p>Getting in Step: A Guide for Conducting Watershed Outreach Campaigns http://cfpub.epa.gov/npstbx/files/getnstepguide.pdf Provides some of the tools needed to develop and implement an effective watershed outreach plan. For a watershed practitioner trained in the sciences, this manual will help you address public perceptions, promote management activities, and inform or motivate stakeholders.</p>										✓
<p>Getting in Step: Engaging Stakeholders in Your Watershed (2nd Edition) http://cfpub.epa.gov/npstbx/files/stakeholderguide.pdf This guide is intended for federal, state, tribal, and local agency personnel, as well as nongovernmental organizations, that are involved in watershed management activities and are building a stakeholder group. Stakeholder groups are formal or informal assemblies that represent a variety of interest and points of view within a watershed.</p>										✓
<p>Getting Your Project to Flow Smoothly: A Guide to Developing Water and Wastewater Infrastructure http://rcap.org/wp-content/uploads/2016/01/RCAP-Getting-Your-Project-to-Flow-Smoothly.pdf A comprehensive guide on all the steps a project owner (governing body of a utility) should go through in planning, designing and constructing infrastructure.</p>	✓			✓		✓	✓	✓		✓

	WA	PQ	CS	CE	ED	FV	OO	IS	OR	SS
<p>Local Safe Disposal Programs: Ex. Safe Medicine Disposal for Maine http://www.safemeddisposal.com/ <i>The Safe Medicine Disposal for ME program provides Maine's residents with a safe disposal option for unused and unwanted medicine. Free medicine mail-back envelopes are available at participating sites.</i></p>										✓
<p>Moving Toward Sustainability: Sustainable and Effective Practices for Creating Your Water Utility Roadmap http://www.epa.gov/sites/production/files/2015-04/documents/sustainable_practices_utilities_roadmap_crwu.pdf <i>The purpose of this document is to assist utility leaders with implementing proven and effective practices over time to improve their operations and move toward sustainability, at a pace consistent with their needs and the needs of their communities.</i></p>	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
<p>Mutual Aid Networks http://www.epa.gov/waterutilityresponse/mutual-aid-and-assistance-drinking-water-and-wastewater-utilities or www.nationalwarn.org <i>Describes how small systems can participate in WARN to share resources with neighboring utilities during an emergency.</i></p>									✓	
<p>National Rural Water Association Job Network http://nrwa-jobs.careerwebsite.com/home/index.cfm?site_id=678 <i>Helps to connect the most skilled professionals in the fields of drinking water, wastewater, source water protection, utility management & engineering to potential employers.</i></p>										
<p>National Rural Water Association Technical Training and Assistance Program http://nrwa.org/initiatives/training-and-technical-assistance/ <i>Click on your state for contact information to obtain services under the Technical Assistance and Training Program. National Rural Water Association provides training and on-site technical assistance to waste water systems in the contiguous 48 states, Alaska, Puerto Rico, and Hawaii. The training is provided to help reduce exposure to waste related health and safety hazards and enhance the sustainability of wastewater systems in rural and small communities.</i></p>		✓					✓			
<p>National Rural Water Association www.nrwa.org <i>Website of the National Rural Water Association, the largest water and waste water utility membership association.</i></p>										
<p>Natural Disaster Preparedness Guidelines for Water and Wastewater Utilities http://rcap.org/resource/natural-disaster-preparedness-guidelines-for-water-and-wastewater-utilities/ <i>This checklist was developed to assist water and wastewater utilities in natural disaster readiness.</i></p>									✓	

	WA	PQ	CS	CE	ED	FV	OO	IS	OR	SS
<p>The Non-operator's Guide to Drinking Water Systems http://rcap.org/wp-content/uploads/2011/12/Non-operators-Guide-to-DRINKING-WATER-Systems_Small.pdf <i>Explains in simple, everyday language the technical aspects of drinking water utilities from source to tap. Helpful as an orientation and background guide for new small utility board members and small community decision makers.</i></p>										✓
<p>The Non-operator's Guide to Wastewater Systems http://rcap.org/wp-content/uploads/2016/01/RCAP-Non-operators-Guide-to-WASTEWATER-Systems.pdf <i>Explains in simple, everyday language the various components/operations of a small wastewater system from when the customer flushes his/her toilet through collection, treatment, and return to source. This guide and its companion on drinking water treatment systems are the perfect orientation and background guides for new small utility board members and small community decision makers.</i></p>										✓
<p>Only Tap Water Delivers Campaign http://www.awwa.org/resources-tools/public-affairs/communications-tools/only-tap-water-delivers.aspx <i>A public outreach campaign that is available to AWWA utility members free of charge. The materials are available in a CD toolkit, and can be adapted to meet local needs.</i></p>										✓
<p>Pipe Repair Checklist http://www.awwa.org/Portals/0/files/resources/water%20knowledge/rc%20small%20systems/piperepairchecklist.pdf <i>AWWA small systems pipe repair checklist.</i></p>							✓			
<p>Preventive Maintenance Card File for Small Public Water Systems Using Ground Water http://www.epa.gov/sites/production/files/2015-04/documents/booket_smallsystems_preventmaint.pdf <i>Schedules for maintenance tasks and checklists and logs for easily recording your findings.</i></p>							✓			
<p>Protecting Water Quality by Optimizing the Operations and Maintenance of Distribution Systems http://rcap.org/wp-content/uploads/2015/03/Distribution-Systems-guide.pdf <i>This guide provides background information on how to maintain water quality in drinking water distribution systems and treated-water storage facilities by concentrating on common problems and challenges and identifying potential improvements and solutions. This guide uses regulatory requirements and best practices of the drinking water community as the basis of its discussion of water distribution systems.</i></p>							✓	✓		
<p>Protecting Your Community's Assets: A Guide for Small Wastewater Systems http://www.nesc.wvu.edu/subpages/WW_manage_plan.cfm <i>Helps utility managers, operators, and local officials improve security and plan for emergency situations affecting wastewater treatment systems.</i></p>		✓						✓	✓	

	WA	PQ	CS	CE	ED	FV	OO	IS	OR	SS
Public Communications Toolkit http://www.awwa.org/resources-tools/public-affairs/communications-tools/public-communications-toolkit.aspx <i>Website with and online toolkit of various resources for water professionals related to public communication.</i>										✓
Quality On Tap! Public Relations Campaign http://nrwa.org/initiatives/quality-on-tap/ <i>A nationwide, grassroots public relations and awareness campaign designed especially for the drinking water industry. Quality On Tap is the first practical "hands-on" guide to better public relations for small water utilities. It contains the tools small water systems need to do the most important job of all - spreading the truth to the public of the quality of work they do and the quality water they produce.</i>										✓
Quick Reference Guides – Drinking Water Rule (EPA) http://www.epa.gov/dwreginfo/drinking-water-rule-quick-reference-guides#ssqrg <i>These documents provide a simple and straightforward description of the rule and requirements. They include critical deadlines for drinking water systems and states, in addition to monitoring requirements.</i>		✓						✓		
Record Keeping Rules: A Quick Reference Guide http://nepis.epa.gov/Exe/ZyPDF.cgi?Dockey=2000ZB2.txt <i>A rule-by-rule summary of requirements for keeping monitoring, public notice, and other records, as well as helpful tips on record maintenance and security.</i>		✓					✓			
Recruiting and Training Veterans Brochure: For Careers in the Water Sector http://www.workforwater.org/WorkArea/linkit.aspx?LinkIdentifier=id&ItemID=2147483686 <i>The Department of Veterans Affairs and Department of Labor administer programs to assist Veterans in their transition to civilian careers and oversee funding to pay for education and job training. The Environmental Protection Agency, American Water Works Association and Water Environment Federation are working with these agencies to promote water sector careers nationally.</i>					✓					
Revolving Loan Fund Program http://nrwa.org/initiatives/revolving-loan-fund/ <i>The NRWA Revolving Loan Fund was established under a grant from USDA/RUS to provide financing to eligible utilities for pre-development costs associated with proposed water and wastewater projects. RLF funds can also be used with existing water/wastewater systems and the short term costs incurred for replacement equipment, small scale extension of services or other small capital projects that are not a part of your regular operations and maintenance.</i>						✓				
Rural Community Assistance Partnership www.rcap.org <i>Aims to provide technical assistance and training services to rural communities develop and sustain critical infrastructure and promote economic opportunity.</i>										

	WA	PQ	CS	CE	ED	FV	OO	IS	OR	SS
Rural Utilities Service http://www.rd.usda.gov/about-rd/agencies/rural-utilities-service USDA's Rural Utilities Service (RUS) administers programs that provide much-needed infrastructure or infrastructure improvements to rural communities. These include water and wastewater treatment, electric power and telecommunications services.				✓		✓				
Rural Water Supply and Sewer Systems: Background Information http://nationalaglawcenter.org/wp-content/uploads/assets/crs/98-64.pdf CRS report for congress.										
Security and Emergency Management System (SEMS) http://semstechnologies.com/RAMCAP.asp Software to assist small water systems in completing a vulnerability self-assessment.								✓	✓	
Setting Small Drinking Water Rates for a Sustainable Future http://nepis.epa.gov/Exe/ZyPDF.cgi/2000D2NM.PDF?Dockey=2000D2NM.PDF A step-by-step rate setting guide for small utilities for assessing annual costs, revenue needs, and reserve requirements and setting appropriate rates.						✓				✓
Small System Guide to Safe Drinking Water Act Regulations http://nepis.epa.gov/Exe/ZyPDF.cgi/1000478A.PDF?Dockey=1000478A.PDF A resource for understanding current and anticipated drinking water regulations with which utilities need to comply.		✓								
Source Water Collaborative http://www.sourcewatercollaborative.org/ A web forum about where America's safe drinking water begins – the lakes, streams, rivers, and aquifers we tap for public water systems. The Collaborative is a web portal of 25 national organizations that have united to protect America's sources of drinking water.	✓	✓								
Survival Guide: Public Communications for Water Professionals www.wef.org/WorkArea/DownloadAsset.aspx?id=7120 A guidebook to help utilities learn how to communicate effectively with their community and customers. It provides an overview focused on the learning the basics of public communication and different public communication scenarios.										✓
Sustainable Infrastructure for Small System Public Services: A Planning and Resource Guide http://rcap.org/wp-content/uploads/2016/01/RCAP-Sustainable-Infrastructure-Guide.pdf Provides worksheets, examples, case studies and resources on water conservation, energy efficiency and renewable energy resources for small utilities.				✓		✓	✓	✓	✓	

	WA	PQ	CS	CE	ED	FV	OO	IS	OR	SS
<p>Sustainable Sanitation and Water Management http://www.sswm.info/ <i>"Linking up sustainable sanitation, water management, and agriculture." The SSWM Toolbox includes: background on environmental, economic, and socio-cultural issues; planning, processing, and implementation tools; "mini toolboxes" on specific topics; trainings on sustainable sanitation and water management; and many other resources geared toward small systems.</i></p>	✓		✓				✓	✓		
<p>Tabletop Exercise Tool for Water Systems http://yosemite.epa.gov/ow/SReg.nsf/description/TTX_Tool <i>A PC-based tool that contains materials to assist those interested in planning and facilitating tabletop exercises that focus on Water Sector-related issues. The updated TTX Tool contains fifteen scenarios that address an all-hazards approach to emergency preparedness and response, including natural hazards and manmade incidents, as well as introduces users to the potential impacts of climate change.</i></p>									✓	
<p>Taking Stock of Your Water System: A Simple Asset Inventory for Very Small Drinking Water Systems http://www.epa.gov/sites/production/files/2015-04/documents/epa816k03002.pdf <i>Helps very small water systems, such as manufactured home communities and homeowners' associations, assess their condition by preparing a simple asset inventory.</i></p>						✓		✓		
<p>Talking to Your Decision Makers: A Best Practices Guide http://nepis.epa.gov/Exe/ZyPDF.cgi/2000ZZB6.PDF?Dockey=2000ZZB6.PDF <i>Tips for working successfully with decision makers in your community to meet your water system's needs.</i></p>										✓
<p>Talking to Your Customers About Chronic Contaminants in Drinking Water: A Best Practices Guide http://nepis.epa.gov/Exe/ZyPDF.cgi/60000LWL.PDF?Dockey=60000LWL.PDF <i>Guidelines for effectively communicating with customers about the dangers of chronic contaminants and how water systems protect against contamination.</i></p>			✓	✓						✓
<p>Technitrain Program http://rcap.org/service/technitrain/ <i>Helps to protect public health and foster economic development in targeted rural communities throughout the United States and its territories by providing onsite, community-specific technical assistance and training that: identifies and evaluates solutions to water and waste disposal problems, assists communities in preparing funding applications for their water and waste projects, and improves operation and maintenance of existing water and waste-disposal facilities. It is part of RCAP's overall mission of working with small, rural communities to increase local capacity.</i></p>				✓	✓	✓				

	WA	PQ	CS	CE	ED	FV	OO	IS	OR	SS
<p>USDA Rural Utilities Service Borrower's Guide: A How-to for Water and Wastewater Loans from USDA Rural Development http://rcap.org/wp-content/uploads/2011/12/RCAPs-USDA-RUS-Borrowers-Guide.pdf Summarizes the managerial and financial requirements for communities that are receiving U.S. Department of Agriculture Rural Utilities Services (RUS) loan funds for their water or wastewater utility.</p>						✓				
<p>Vulnerability Self-Assessment Tool (VSAT) http://water.epa.gov/infrastructure/watersecurity/techtools/vsat.cfm A risk assessment software tool that assists drinking water and wastewater utilities in assessing security threats and natural hazards and updating utility Emergency Response Plans; appropriate for any water system size or type.</p>								✓	✓	
<p>WaterPro Conference Website http://www.waterproconference.org/ WaterPro is the annual conference of the National Rural Water Association. It takes place in even numbered calendar years. WaterPro is designed to bring together water and wastewater utility systems - large and small, municipal and rural - for sessions in operations, management, boardmanship and governance.</p>					✓	✓	✓	✓	✓	
<p>WaterSense http://www.epa.gov/WaterSense/ EPA's program to promote water efficiency and conservation. Provides information for consumers to identify products and practices that save water. Utilities and local governments can partner with EPA to receive access to a network of partners working on water conservation and promoting the value of water and using it wisely.</p>			✓							✓
<p>Water System Operator Roles and Responsibilities: A Best Practices Guide http://nepis.epa.gov/Exe/ZyPDF.cgi/2000ZZBE.PDF?Dockkey=2000ZZBE.PDF Helps to understand: (1) Roles and responsibilities in delivering safe drinking water to system's customers; (2) Additional responsibilities, which can vary depending on size, characteristics, managerial structure, and regulatory requirements.</p>		✓			✓				✓	
<p>Water System Owner Roles and Responsibilities: A Best Practices Guide http://nepis.epa.gov/Exe/ZyPDF.cgi/2000ZZBC.PDF?Dockkey=2000ZZBC.PDF A summary of system owners' key duties in protecting public health, overseeing system operation, and working with local officials.</p>					✓					✓
<p>Water Quality in Small Community Distribution Systems http://nepis.epa.gov/Exe/ZyPDF.cgi/P1000OY3.PDF?Dockkey=P1000OY3.PDF Assists the operators and managers of small- and medium-sized public water systems. Provides a comprehensive picture of the impact of the water distribution system network on distributed water quality.</p>		✓						✓	✓	

	WA	PQ	CS	CE	ED	FV	OO	IS	OR	SS
<p>Water University http://www.wateruniversity.org/ <i>The intent of Water University and the National Rural Water Association is to provide the highest level of instruction, education, training and discussion to the largest audience possible. To meet that goal, most of the webinar/lecture portions of these courses are presented at low or no cost. In addition to providing information to the entire water industry, Water University provides a method for licensed water professionals to earn their necessary Continuing Education Units through our advanced on-line educated modules. Access to these modules requires enrollment fees, but these fees are still very affordable compared to in-person training.</i></p>										
<p>Water & Wastewater Pricing http://nepis.epa.gov/Exe/ZyPDF.cgi/901U1200.PDF?Dockey=901U1200.PDF <i>EPA Website on water and wastewater pricing, explaining the concept of pricing and water conservation, as well as supplying tools, guides, and reports on pricing.</i></p>						✓				
<p>Work for Water Website http://www.workforwater.org/ <i>Materials to encourage careers in the water sector, where opportunities to protect and preserve water resources are virtually unlimited and the chance to make a difference is unmatched.</i></p>					✓					

ACKNOWLEDGEMENTS

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This product was developed with assistance from Rob Greenwood and Morgan Torres with [Ross Strategic](#) under Contract EP-C-11-009 with the Office of Wastewater Management at the U.S. Environmental Protection Agency.

Table A

Key Management Area	Management Area Description	Step 1: Rate Achievement (Low – High)	Step 2: Rank Priority (Low – High)
1. Water Resource Adequacy (e.g., water quantity)	<ul style="list-style-type: none"> My system is able to meet the water or sanitation needs of its customers now and for the reasonable future. My utility or community has performed a long-term water supply and demand analysis. (Applies to drinking water systems only.) My system understands its relationship to local water availability. (Drinking water utilities should focus on utilization rates relative to any local water stress conditions, wastewater utilities should focus on return flows.) 		
2. Product Quality (e.g., clean & safe water)	<ul style="list-style-type: none"> My system is in compliance with permit requirements and other regulatory or reliability requirements. My utility meets local community expectations for the potable water and/or treated effluent and process residuals that it produces. 		
3. Customer Satisfaction	<ul style="list-style-type: none"> Customers are satisfied with the services the system provides. My system has procedures in place to receive and respond to customer feedback in a timely fashion. 		
4. Community Sustainability & Economic Development	<ul style="list-style-type: none"> My utility is aware of and participating in local and regional community and economic development planning activities. My utility's goals also help to support overall watershed and source water protection, and community economic goals. 		
5. Employee & Leadership Development	<ul style="list-style-type: none"> Training programs are in place to retain and improve institutional knowledge. Opportunities exist for employee skills development and career enhancement. Job descriptions, performance expectations, and codes of conduct are established. 		
6. Financial Viability	<ul style="list-style-type: none"> The rates that my utility charges are adequate to pay our bills, put some funds away for the future, and maintain, repair, and replace our equipment and infrastructure as needed. (O&M, debt servicing, and other costs are covered.) My utility discusses rate requirements with our customers, board members, and other key stakeholders. 		
7. Operational Optimization (e.g., energy/water efficiency)	<ul style="list-style-type: none"> My utility has assessed its current energy usage and performed an energy audit. My utility has maximized resource use and resource loss (e.g., water loss, treatment chemical use). My utility understands, has documented, and monitors key operational aspects of the system (e.g., pressure, flow, quality). 		
8. Infrastructure Stability (e.g., asset management)	<ul style="list-style-type: none"> My utility has inventoried its current system components, condition, and cost. My system has a plan in place for repair and replacement of system components. 		
9. Operational Resiliency	<ul style="list-style-type: none"> My utility has conducted an all hazards vulnerability assessment (safety, natural disasters, environmental risks, etc.). My utility has prepared an all hazards emergency response plan. 		
10. Stakeholder Understanding & Support	<ul style="list-style-type: none"> My system actively engages with local decision makers, community, watershed (where relevant), and regulatory representatives to build support for its goals, resources, and the value of the services it provides. My utility performs active customer and stakeholder outreach and education to understand concerns and promote the value of clean and safe water. 		

STEP 3 - PLOT RESULTS

To compare your results for each management area, you will plot each pair (rating, ranking) in Table B of Appendix I. For each management area, identify your high/medium/low rating in the green Step 1 box, and find the corresponding row in the table. Then, for the same management area, identify your high/medium/low ranking in the blue Step 2 box, and find the corresponding column in the table. The box where the row and column intersect is where you should place that management area (note abbreviations below for use in the plotting exercise). The example below shows how you should complete the Step 3 plotting exercise. The ranking and rating for each management area should be paired and placed into the corresponding box in the grid, based on the low/medium/high determinations given in Steps 1 and 2.

WA	Water Resource Adequacy	FV	Financial Viability
PQ	Product Quality	OO	Operational Optimization
CS	Customer Satisfaction	IS	Infrastructure Stability
CE	Community Sustainability & Economic Development	OR	Operational Resiliency
ED	Employee & Leadership Development	SS	Stakeholder Understanding & Support

Table B

Rating (Achievement)	High			
	Medium		Yellow	Yellow
	Low		Yellow	Red
		Low	Medium	High
		Ranking (Priority)		

STEP 4 - ANALYZE RESULTS

The results of the Step 3 plotting exercise identify management areas that will benefit from improvement. Generally speaking, management areas that fall into the **red box** are both **very important and need improvement**. They should be seen as a top priority for improvement. Management areas that land in the **yellow boxes** are next on the list for improvement, and those in the **white boxes** may be considered for long-term improvement efforts, but likely do not need immediate action. The eventual goal for all utilities should be high achievement in all management areas, but at a pace consistent with the system’s priorities and resources.

QUESTIONS TO CONSIDER:

- Where is my utility strong?
- Where is there the most room for improvement?
- What should my areas of focus be?
- Why are these areas priorities?

APPENDIX II: SUSTAINABLE MANAGEMENT ACTION PLAN WORKSHEET

Instructions:

- ✓ List your top three priority management areas – these should be drawn from the self-assessment activity.
- ✓ List the improvement actions that you will undertake to address the priority management areas – you should have at least one action for each priority management area (actions may address multiple management areas).
- ✓ Fill out the details in the table below for each improvement action separately (i.e., one table per action).

Priority Management Areas:

- 1.
- 2.
- 3.

Improvement Action:
Description: <ul style="list-style-type: none"> ✓ Action ✓ Management Area(s) addressed ✓ Objective(s)
Timeline: <ul style="list-style-type: none"> ✓ Start date ✓ Milestones ✓ Target completion date
Responsible Party (or Parties):
Relevant Resources (on-hand or needed):
Challenges to Address:
Review Process: <ul style="list-style-type: none"> ✓ Performance indicators or measures ✓ Status reports and updates frequency/cycle
Other Notes:

EXHIBIT 5

Janet Cole

From: Roland, Veronica (EEC)
Sent: Thursday, March 07, 2019 2:18 PM
To: Janet Cole
Subject: RE: Class Code

Course Title	Date Requested	Hours & Type Approved	DCA Event ID#	Comments
Sustainable Management of Rural and Small Water & Wastewater System Workshop	TBD	DW - 6.0 Hours approved WW - 6.0 Hours approved	16297	Approval terminates on 10/18/2020
Chlorinator Systems & Chemical Handling	Online	DW - 10.0 Hours approved WW - 10.0 Hours approved	16295	Approval terminates on 10/18/2020
Basic Water Works Operations	Online	DW - 10.0 Hours approved	16299	Approval terminates on 10/18/2020
Pump and Motor Maintenance	Online	DW - 10.0 Hours approved WW - 10.0 Hours approved	16296	Approval terminates on 10/18/2020