# DRINKING WATER PROGRAM
# SFY 2007 & SFY 2008
# -West Virginia Guidance and Reporting Checklist-

April 2006

---

This Guidance and Reporting Checklist attempts to capture all of the tasks which make up a state's drinking water program. This includes all Primacy elements and other statutory requirements under the Safe Drinking Water Act, and those activities which could be funded with the DWSRF set-aside funds, Operator Certification Expense Reimbursement Grants (ERG) or the state Water Protection Coordination (Security) grants.

This Guidance attempts to capture activities for two years to assist those states wishing to develop two-year workplans and PWSS applications reflecting a two-year budget.

This Guidance links the various aspects of the drinking water program to EPA's Strategic Plan goals, objectives and subobjectives. Example Outputs and Outcomes have also be included, but states are encourage to identify as many Outputs and Outcomes under the various program components as possible.

**Table of Contents for Program Guidance and Reporting Checklist**


1. Focus Activities for SFY 2007-2008
2. Activities Required to Maintain Primacy and elements PWSS grant funds can be used for:
    - 2.1 Data Management
    - 2.2 Compliance and Enforcement, including Base Program Primacy requirements
    - 2.3 New Regulation Development
    - 2.4 Surveillance and Technical Assistance
    - 2.5 Program Management
3. DWSRF Activities including statutory requirements for the following three program areas:
    - 3.1 Capacity Development
    - 3.2 Operator Certification Programs
    - 3.3. Source Water Assessment and Protection Programs
4. Recommended Activities which are optional, but fundable under PWSS or DWSRF grants




Freedom_0005619_0001

5. Additional State Activities (optional)
6. State Water Protection Coordination (Security) Grant Activities
7. Expense Reimbursement Grant (ERG) Activities

**Attachments**

A. New Rule Adoption and Primacy Application Deadline Dates for States
B. PWSS Key Performance Measures
C. 2007 Calendar, (2008 to be provided at a later date)
D. Capacity Development Reporting Guidance
E. Source Water Program Reporting form

**All reporting is considered to be via the semi-annual self-assessments, unless noted otherwise.**

New Focus Activities for SFY '07-08

These are the activities which need special emphasis during the year due to their importance or due to a regulatory deadline. These are listed here to capture your attention. These activities should not reduce the focus placed on responding to acute health contaminants at all public water systems.

- Continuation of Emergency Preparedness/Increased Security Activities with both state staff and public water suppliers, including responding to threats and emergencies. Security integration and efforts related to the 14 Features of an active and effective security program are also high priorities.
- New Rule Development and adoption or submission of extension requests. Implementation of new federal rules to the extent possible under state regulations and as per Extension or Early Implementation Agreements.
- State Specific Activities
- Continuation of Operator Certification Programs and Expense Reimbursement for training
- Continue to improve Quality Systems and documentation of these systems, including revisions to QMPs and/or QAPPs as necessary due to the adoption of new regulations.
- Continue to improve data quality in SDWIS

**The reporting on these activities should be done in the corresponding section of the guidance and checklists.**

**Description of Joint Evaluation Process**



Freedom_0005619_0002

The joint evaluation process will include semi-annual progress reports by the state, including the elements of 40 CFR §§ 35.115 and 31.40-41. EPA will assist the state in the development of a reporting checklist tool, completing the status of any known items for the state. The state will further complete the reporting checklist tool and submit to EPA on a semi-annual basis. EPA will review and provide feedback on these progress reports as quickly as possible. EPA will meet with the state, typically planned for mid-year timeframe, to discuss progress under the grant, any obstacles or short comings and make recommendations to the state for corrective action. EPA will provide all findings in writing to the state and may require the submission of a corrective plan by the state. In the event that resources do not allow EPA to meet with the state, e-mail and telephone discussions will take place to complete this evaluation.

Consistent with the need to be accountable for grant funds, states should identify outputs and outcomes from grant and grant related activities.



Freedom_0005619_0003

# DRINKING WATER PROGRAM GUIDANCE AND REPORTING CHECKLIST

**Goal 2: Safe and Clear Water--Ensure drinking water is safe. Restore and maintain oceans, watersheds and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitat for fish, plants and wildlife.**

**Objective 1: Protect human health by reducing exposure to contaminants in drinking water (including protecting source water), in fish and shellfish, and in recreational waters.**

**Subobjective 1: Water safe to drink**

| | | | |
|---|---|---|---|
| **Workplan Component/ Program: PWSS Workyears: SFY'07/08** | **EPA Contacts:**<br>**Project Officer: Wanda F. Johnson**<br>**Team Leader: Anthony D. Meadows** | **State Contact: Walter Ivey, P.E., Dir. Environmental Engineering Division** | **PRC: 201B03E** |

| Task # | Activity (Also notes statutory/regulatory citations) | Progress Reporting and Additional Comments Outputs and Outcomes |
|---|---|---|
| **2. Activities Required to Maintain PWSS Primacy See elements of §§142.10, 142.12, 142.14, 142.15, and 142.16**<br>**Outcomes: Implementation of an effective drinking water program as described in the workplan, increasing the knowledge and awareness of water suppliers of drinking water regulations; improved public health protection; increased public awareness of drinking water quality; achievement of compliance with drinking water regulations; measureable progress toward achievement of all outputs.** | | |
| **2.1 Data Management**<br>**Outputs: ensuring accurate and complete data related to inventory, compliance and enforcement activities are provided to EPA in a timely manner, each quarter;** | | |
| **2.1.1** | Follow-up to previous EPA **Data Verification Audit findings.** State will address major findings of the report and report to EPA on its activities/plans to prevent future occurrences. | |
| **2.1.2** | **Maintain a data base management system that accurately tracks the inventory (including routine updates of system information), tracks water quality monitoring information, and calculates monitoring and reporting (M/R) and maximum contaminant level (MCL) violations for all rule implementation priorities. §142.14(c)** | |



Freedom_0005619_0004

| | | |
|---|---|---|
| **2.1.3** | **Report quarterly (within 45 days of the end of each quarter) all violations and inventory updates for all systems, and for all rule implementation priorities, to the Safe Drinking Water Information System (SDWIS)/Federal system (FED) Also report any problems in reporting to SDWIS/FED on time. §142.15(a) & (b)** | |
| **2.1.4** | **SDWIS/FED reporting includes the following activities. Particular emphasis should be placed on continuing efforts to improve data quality and reporting in the areas of Nitrate monitoring and reporting (M/R) and MCL violations; Lead and Copper Rule M/R violations; Total Coliform Rule violations and reporting of all enforcement actions.**<br><br>**a. Report all inventory updates with at least all of the mandatory reporting elements that determine grant eligibility. Refer to *Appendix A of the Consolidated Summary of State Reporting Requirements for the Safe Drinking Water Information System (SDWIS)* documentation, for the details on this reporting.** | |
| **2.1.4** | **b. Report all M/R, MCL, Public Notification (PN), and treatment technique violations for all rules including M/R violations for unregulated contaminant monitoring. This activity includes tracking monitoring results, and recording violations for all community water systems (CWS), non-transient non-community water systems (NTNCWS), and transient non-community water systems (TNCWS).** | |
| **2.1.4** | **c. Report all formal enforcement actions and successfully link them to all appropriate violations.**<br>**d. Report all variances and exemptions**<br>**e. Report all milestone information required under the regulations.**<br>**f. Report all required SWTR data (e.g., treatment codes for all surface water, purchased surface water, GUDI and purchased GUDI sources, seller's public** | |



Freedom_0005619_0005

| | | |
|---|---|---|
| | **water system identification (PWSID) number for purchased surface water and purchased GUDI sources, filtration reason codes, etc.)** | |
| **2.1.4** | **g. Report compliance achieved, identify and correct erroneous data, and submit deactivation data to SDWIS/FED for all applicable systems, especially Significant Non-compliers (SNCs).** | |
| **2.1.5** | **Plan for and make system programming changes to meet any changes to the reporting requirements that will be effective in FY 2006, FY 2007 or FY2008 (Appendix A of Document EPA-812-B-95-001 summarizes all of the current reporting requirements.) Specifically, plan for SDWIS Modernization, new regulation reporting requirements in sufficient time to meet reporting deadlines of these new rules. Also see Implementation Guidances for each new rule for details on data management/data reporting requirements. §142.15** | |
| **2.1.6** | **Verify and ensure the accuracy of SDWIS/FED data when SDWIS printouts are made available to the State.** | |
| **2.1.7** | **LCR unaddressed violations - Update data on PWSs that received a violation for monitoring or missed milestones and do not have a follow-up action reported for compliance achieved (i.e., SOX) that is linked to the violation. §142.16(c)(4)** | |
| **2.1.8** | **Report Public Notice (PN) violations on a routine basis where appropriate. §142.15(a)(1)** | |
| **2.1.9** | **For new rules, (CCR, PN, M/DBP, LCRMR, Rads, Arsenic, FBRR, IESWTR, and LT1) enter data into SDWIS. States not using SDWIS-State must develop the capability of reporting to SDWIS as per Extension/Implementation Agreements. For new rules which are in effect, but the state does not have Primacy, report information for EPA, Region III to make compliance determinations (see specific reporting needs in applicable Extension or Letter** | |



Freedom_0005619_0006

| | | |
|---|---|---|
| | **Agreements).** | |
| **2.1.10** | **Lead and Copper Rule Minor Revisions (LCRMR) – SDWIS-FED will no longer accept data which does not meet the new LCRMR reporting requirements. States not using SDWIS-State must report data in accordance with new requirements. States using SDWIS-State will-report in accordance with revised modules.** | |
| **2.2 Compliance and Enforcement including Implementation of all PWSS Program Activities required by 40 C.F.R. §§142.15 & 142.16. Activities are listed by general first and then by National Primary Drinking Water Regulation (NPDWR). Outputs: undertaking enforcement program with informal and formal actions; making compliance determinations consistent with federal regulations; developing and delivering training programs for staff and public water suppliers** | | |
| **2.2.1** | **Complete Annual Compliance Report by July 1st, for previous calendar year. Provide report to EPA Washington DC with copy to Region. SDWA Section 1414(c)** | Output: one compliance report |
| **2.2.2** | **Promote compliance with the regulations. Notifying all systems of regulatory requirements and responding to questions (this includes CWSs, NTNCWSs and TNCWSs), taking enforcement action against recalcitrant or noncompliant systems, providing technical assistance, and issuing waivers, variances and exemptions, where appropriate.** | # of technical assistance activities<br># of enforcement actions taken<br># actions taken to promote compliance (describe) |
| **2.2.3** | **Maintain records of pertinent State decisions (e.g., filtration decisions, waiver determinations, public notification provisions). Report to system files all responses to M/R and MCL violations in accordance with escalation procedures as negotiated in the State Compliance Strategy. Report to system files all documentation of informal enforcement activities. §142.14** | |
| **2.2.4** | **Provide responses on SNC systems, on a quarterly basis using the standard format supplied with quarterly lists, to the SDWA Branch. Work with EPA SNC Coordinator to determine why problems are occurring and take steps to correct.** | Output: 4 responses to quarterly SNC reports |
| **2.2.5 Government Performance and Results Act (GPRA) State Reporting Measures and Key PWSS Program Performance** | | |



Freedom_0005619_0007

| | | |
|---|---|---|
| **Indicators**<br>GPRA Measures: Reporting is met by reporting the required quarterly SDWIS compliance data or through other reporting already done under other initiatives such as the Source Water Matrix or Wellhead Protection Program reports. For information not already reported to EPA, **reporting frequency is semi-annual**. The following are the GPRA State Core Performance Measures and Associated Reporting Requirements: | | |
| **AEPA Region III PWSS Key Performance measures - FY'04 will serve as the baseline for the FY'07-'08 time frame. See Table in PWSS Guidance, Attachment B.** | | Compliance with many of these measures is tracked in SDWIS. Further reporting is required for measures relating to source water protection and sanitary surveys. |
| **2.2.6** | **SWTR: Implement the entire rule**<br>**Complete GUDI determinations for all CWS and all NCWS as <u>per negotiated 1998 Corrective Action Plan</u> since regulatory GUDI determination deadlines have past: CWS - June 29, 1994; NCWS - June 29, 1999**<br><br>**Report in semi-annual self assessment the <u>number of filtration evaluations</u> and the number of GUDI assessments completed and expected timeframe for completion of remainder. Source type changes should be recorded in SDWIS. Deadlines to install filtration must be met**<br><br>**Give status of %s for active/seasonal systems and unresponsive/orphan systems.** | Output: _____ filter evaluations completed on all Subpart H systems during this reporting period. |
| **2.2.7** | **TCR: Implement the entire rule for all system types. Implementation includes: enforcing routine and repeat monitoring, making compliance determinations, conducting sanitary surveys, and reviewing sample site plans. Enforce additional routine monitoring the month following a positive sample and PN requirements..**<br>**Report the number of sample site plans reviewed, and discuss any major TCR implementation issues or problems.** | |
| **2.2.8** | **Phase II and V Rule for nitrates and nitrites: Implement the entire rule for all system types.** | |



Freedom_0005619_0008

| | | |
|---|---|---|
| | **Implementation includes: enforcing initial and follow up monitoring, making compliance determinations, and following up on violations** | |
| **2.2.9** | **Phase II and V Rule for Chronic Contaminants: Implementation includes making compliance determinations for monitoring that has been conducted, enforcing follow-up monitoring where results are greater than the MCL, and follow-up on MCL violations. States are also encouraged to make development and implementation of waiver programs a priority implementation activity. Enforce follow-up monitoring requirements where results are less than the trigger level. Enforce initial monitoring, and enforce follow-up monitoring where results are between the trigger level and the MCL.** | |
| **2.2.10** | **Lead and Copper Rule (LCR)** including the **Minor Revisions** for all PWSs: Implement the entire rule for all systems. **Continue efforts to improve PWS's timely monitoring of lead and copper.** Enforce routine water quality parameter monitoring and additional lead and copper monitoring. Enforce public education for all systems. Report action level exceedances and milestone information to SDWIS | |
| **2.2.11** | **Stage I DBP:** Continue implementation of the Stage 1 DBP. Ensure that systems update their monitoring plan if they change any of their sampling locations or dates. | |
| **2.2.12** | **Interim Enhanced Surface Water Treatment Rule (IESWTR):** Continue implementation of IESWTR. Provide a list of systems that have had a sanitary survey completed during the previous year and an annual evaluation of your state's program for conducting sanitary surveys (§142.15(c)(5)). | |



Freedom_0005619_0009

| | | |
|---|---|---|
| **2.2.13** | **Rads: Implement the radionuclides rule. Work with PWS's, as needed, to ensure they are aware of their regulatory requirements.**<br><br>**Work with the appropriate state agency to identify systems designated as "contaminated" or "vulnerable to contamination" by nuclear effluents and monitor accordingly.** | |
| **2.2.14** | **Arsenic: Implement the Arsenic rule. Work with PWS's, as needed, to ensure they are aware of their regulatory requirements and can meet lower MCL effective January 22, 2006. Initiate compliance agreements with systems out of compliance.** | Outcome: report positive change in population protected by new MCL achievement. |
| **2.2.15** | **FBRR: Review plant recycling information during sanitary surveys.** | |
| **2.2.16** | **LT1: Continue to implement the LT1 activities as agreed upon in the EPA/State Extension Agreement until Primacy Revision Request is approved. (§142.12).** | |
| **2.2.17** | **All Other Currently Regulated Chemicals: Take enforcement actions for all arsenic MCL and M/R violations. Enforce total trihalomethane monitoring and MCL violations. Enforce current radionuclide standards. Enforce monitoring for other contaminants. Enforce against systems with other MCL violations** | |
| **2.2.18** | **PN Rule: Include public notification requirements in compliance assistance and enforcement actions that are taken on MCL, treatment technique, and M/R violations following all aspects of Revised PN Rule effective May 2002.** | |
| **2.2.19** | Revise the **State Compliance Strategy** to reflect changes in the State and Federal regulations, including revised Penalty Authorities, any new or revised State MCLs, any new SNC definitions, State procedural or organizational changes, and | Output: revised compliance strategy |



Freedom_0005619_0010

| | | |
|---|---|---|
| | State/U.S. EPA Enforcement Agreements. The revisions should also include updated timely and appropriate flow charts for TCR, total trihalomethane, Radionuclides, Phase 2 and 5, SWTR, Lead Ban, and LCR violations, the CCR rule, IESWTR and DDBP rule, LCRMR, Arsenic, FBRR, LT1, and other new rules when available. The charts should trace the State's response from identification of a violation through the State's most formal enforcement tools to final compliance. §142.11 | |
| **2.2.20** | **Screen data submitted by public water systems for evidence of data falsification, and take follow-up enforcement action as appropriate.** | |
| **2.2.21** | **Certify that the responsible State agency (if not the drinking water program) continues to enforce the Lead Ban, through inspections and State enforcement actions. §142** | |
| **2.2.22** | **Maintain records of tests, measurements, analyses, decisions, and determinations performed on each PWS to determine compliance with application drinking water regulations; sanitary surveys, enforcement actions, vulnerability determinations, Public Notice, etc.; make records available to the Regional Administrator upon request. §142.14** | |
| **2.2.23** | **Consumer Confidence Report**<br>**Implement the CCR Rule (§142.12)**<br>**Report on implementation of CCR Rule (§142.15, §142.16(f))**<br><br>**States must report violations and enforcement actions directly to SDWIS by 11/15** | |
| **2.2.24** | **Consider this a place holder for the Office of Enforcement and Compliance (OECA) reporting measures.** [As far as we know, there are no additional reporting requirements for the States. OECA primarily looks at SNCs, SNCs which have returned to compliance, and those SNCs which are Exceptions. OECA Priorities include implementation and enforcement of microbial rules and Federal enforcement of new rules] | |



Freedom_0005619_0011

| | | |
|---|---|---|
| **2.3 Regulation Development and Authority**<br>Adopt all rules on schedule as required by §142.12 and any Special Primacy requirements found at §142.16. States are strongly encouraged to adopt rules within the two years deadline to avoid a crunch in future years. Complete all primacy application packages as specified in any applicable memorandum of agreement or extension agreement. Report on any major implementation issues or problems. Apply for extension of time to adopt new regulations within two years of promulgation. Region III prefers **at least a 3 month lead time** to complete Extension Agreements by this deadline. Also see EPA Region III's Binders, mailed to each State as the Implementation Guidances become final (these contain the primacy revisions to specific rules and new primacy requirements to be added as per SDWA 1996).<br>**NOTE: All rule effective dates, primacy revision package/extension request dues dates are included in Appendix A of the PWSS Guidance Document**. | | |
| **2.3.1** | **Analytical Methods Rule Changes**<br>Revise the State rules so that these are as stringent as the analytical methods changes published on December 5, 1994, March 5, 1997, December 1, 1999, May 15, 2001, October 23, 29, 2002, in the Federal Register. §142.12 | |
| **2.3.2** | **Maintain required statutory and regulatory authorities (those upon which primacy approval was based). Report on the status of any State reorganizations, and their effects on statutory or regulatory authorities, and on implementation.**<br><br>**Report on any changes to statutory, regulatory or laboratory certification status of the State Primacy Agency. §142.12** | |
| **2.3.3** | **Reserved.** | |
| **2.3.4** | **Prepare for and adopt Ground Water Rule (GWR) Submit Primacy Revision Application or Extension Request to EPA by mid-2008 based on estimate of mid-2006 final rule promulgation.**<br>**§142.12 and §142.16** | |
| **2.3.5** | **Prepare for Radon Rule**<br>**Identify systems which may have elevated levels and work with systems to reduce risk of exposure**<br>**§142.12** | |
| **2.3.6** | **Prepare for other new regulations to be promulgated in 2006, 2007, and 2008 with State rule adoption due 2 years later; Specifically for LT2/Stage 2 DBP Rules,** | Output: Describe Implementation activities |



Freedom_0005619_0012

| | | |
|---|---|---|
| | **conduct early implementation activities as noted in checklists for these Rules.**<br>**§142.12 and §142.16** | |
| **2.4Surveillance and Technical Assistance**<br>**Outputs: Conduct # or % sanitary surveys and other inspections/visits of water systems; permitting of drinking water facilities to assure that the design and construction of facilities will be capable of compliance with drinking water standards**; | | |
| **2.4.1** | **Maintain an adequate sanitary survey program. Document deficiencies found in the surveys and follow-up to correct these deficiencies within the State's authority. Please provide the number of CWSs, NTNCWSs, and NCWSs which are scheduled for sanitary surveys in FYs 2006 and 2007 in the State's workplan and provide an update on the number of surveys completed. Please report on any key survey deficiencies or issues at SNC systems.**<br><br>**Report sanitary survey numbers and key survey deficiencies or issues in semi-annual self-assessment.**<br>**§142.16** | Output: # of sanitary surveys conducted at:<br>Ground Water CWS = _____<br>Surface or GUDI CWS = _____<br><br>NTNCWS = _____<br>TNCWS = _____ |
| **2.4.2** | **Maintain adequate plan and specification review program to assure that design and construction of new and modified drinking water system facilities will be capable of complying with the drinking water regulations.**<br><br>**Please provide an update on the number of reviews completed, or key problem areas in semi-annual self-assessment.**<br>**§142.10** | Outputs: # plan review/permits issued |
| **2.4.3** | **Maintain the capability to respond to emergency circumstances and to ensure provision of potable drinking water under emergency circumstances. Update Plans as necessary.**<br>**Please report on any ongoing emergency issues in self-assessment. §142.10** | Output: Describe efforts |
| **2.4.4** | Maintain documentation for and implement a Quality Management System which includes an adequate | |



Freedom_0005619_0013

| | | |
|---|---|---|
| | laboratory certification program. Update the State Quality Management Plan for the PWSS Program. The State **PWSS Quality Management Plan (QMP)** documents the Standard Operating Procedures (SOP) and QA/QC requirements for the laboratory and the PWSS quality assurance systems. The QMP will include management and organization regarding QA, descriptions of technical tools of QA for all program functions including: laboratory certification and SOPs; PWS compliance, inventory and monitoring data; personnel qualifications and training, and other information. This plan is mandatory for all PWSS grant recipients and must be updated annually or as needed.<br><br>Submit additional requested documentation for conditional approved plans to make QMPs approvable.<br>40 C.F.R. §30.54 and 31.45 and EPA Guidance–EPA QA/R-2 | |
| **2.4.5** | Develop, implement and update documentation for **Quality Assurance Project Plans (QAPP)** for collection, transport and analysis of samples intended for developing information or data to be used for implementation of the PWSS Program. QAPPs are to follow EPA guidance on plan development. QAPPs are not necessary if State PWSS Program staff do not collect any samples in the implementation of the PWSS program. These plans must be updated as needed.<br>40 CFR §§30.54 and 31.45, EPA Guidance EPA QA/R-5.<br><br>Review QAPPs of contractors. | |
| **2.4.6** | Establish and maintain a state program for the certification of laboratories conducting analytical measurements of drinking water; assure availability to the state of laboratory facilities certified and capable of performing analytical measurements of all contaminants.<br>§142.10(b)(3) & (4)<br>To the extent possible, place listing of labs on website. | |



Freedom_0005619_0014

| | | |
|---|---|---|
| **2.4.7** | **Unregulated Contaminant Monitoring Rule (UCMR) -** Carry out responsibilities under the mutually agreed upon Partnership Agreement (PA). Specifically those activities occurring in FY2007 & 2008<br>- Provide sampling and reporting assistance to those water systems performing monitoring of List 1 and List 2 contaminants;<br>- Assist EPA in obtaining water system compliance through follow-up contact with those systems non-complying. EPA will provide a list of such systems.<br>- Review monitoring data reported to SDWARS/UCMR.<br>- Work with Community water systems to include UCMR data in CCRs | |
| **2.4.8** | **Training** | |
| **2.4.8.1** | Leverage both PWSS and DWSRF grant set-aside funding to increase the amount of training made available to operators of public water systems. Training on regulations, treatment technologies (particularly small system treatment technologies), security and public education should be stressed. Report on the type and numbers of training courses given | Outputs # training sessions held.<br>Outcomes # individuals trained in (subject) leading to:<br>- improved compliance rates<br>- increased number of trainers |
| **2.4.8.2** | Train State and local PWSS program staff on new and current regulations and water treatment technologies with a focus on small system treatment technology. EPA Region III will assist wherever possible. | |
| **2.5Program Management** | | |
| **2.5.1** | Prepare DRAFT FY 2007 and FY 2008 grant application workplans which addresses all applicable required grant elements, and submit all required grant forms and supporting documentation.<br>40 C.F.R. Part 31 & 35 | Outputs: Submission of grant applications |
| **2.5.2** | **Prepare and submit a final FY 2007 and FY 2008 grant application which addresses all Region III comments on the preliminary draft plan, including all budget documentation and supporting information. 40 C.F.R. Part 31 & 35**<br>**Consider two-year applications** | Outputs: Submission of grant applications |



Freedom_0005619_0015

| | | |
|---|---|---|
| **2.5.3** | **Prepare and submit a semi-annual self assessment which reports State progress in meeting State program plan commitments to the Region. Entails reporting on all activities as identified in the work plan including those performed by the recipient, by contractors and through interagency agreements. Self assessment shall include: a progress summary, justification for any outputs not submitted in accordance with the agreed upon schedule, and a discussion of anticipated program problems in the upcoming quarter(s). The first status report should contain a listing of each milestone (output) and their schedule completion dates for all proposals.**<br><br>**It is expected that this document will also serve as a reporting tool. 40 C.F.R. §31.40 and §142.15** | Output: submission of 2 semi-annual progress reports in FY2007 |
| **2.5.4** | **All changes to the approved work plan must be discussed with the EPA State Program Manager prior to making the change in order to determine if this is a *significant program change* requiring an amendment or other written documentation for the grant award. 40 CFR Part 31 & 35** | |
| **2.5.5** | **Provide a Final Financial Status Report documenting FY 2006 and FY 2007 expenditures within 90 days of end of budget period. If State elects to apply for a two year budget and project period, FY 2007 FSR will be an interim submittal.**<br>**40 C.F.R. Part 31** | Output: submission of FSR for FY 2006 for FY 2007 |
| **2.5.6** | **Maintain records as per §142.14** | |

**3Activities Required to Receive Entire Drinking Water State Revolving Fund (DWSRF) Program Allocation**

**Note: Section 3 is included in this Generic Guidance for additional background information and to help describe the full breadth of the SDWA programs. If any state activity to meet requirements outlined here in Section 3 are funded under the DWSRF set-aside funds, they should NOT appear in the PWSS Program grant workplan. See additional National and Regional Guidance for more details on DWSRF applications/workplans.**



Freedom_0005619_0016

| |
|---|
| **The activities under Sections 3.0 General, 3.1 Capacity Development and 3.2 Operator Certification are required to receive the entire DWSRF Program Allocation. The activities under Section 3.3 Source Water Protection, are not required to receive DWSRF funds. However, if the State wishes to adopt alternative monitoring requirements, the State must have an approved source water protection program, and the State can use DWSRF funds to conduct source water assessments.** |
| **Goal 2: Safe and Clear Water--Ensure drinking water is safe. Restore and maintain oceans, watersheds and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitat for fish, plants and wildlife.** |
| **Objective 1: Protect human health by reducing exposure to contaminants in drinking water (including protecting source water), in fish and shellfish, and in recreational waters.** |
| **Subobjective 1: Water safe to drink** |

**3.0General Provisions**

State is required to prepare a plan that identifies the intended uses of the amounts available to the DWSRF Program annually, including Set-aside funds. SDWA 1452(b)(1)

This portion of the Checklist should be used to capture the 2%, 10% and 15% Set-aside funded activities only. The 4% Administrative set-aside and the loan portion of the program are handled by the MFAB in Region 3 and as such, as not covered here unless specifically identified.

Outputs as noted below with each set-aside

Outcomes: Improved operational and/or financial efficiency; improved compliance with NPDWR for systems receiving technical assistance or improved operator performance; attainment of Primacy for new rules (for states using program funds for this purpose); improved data quality (for states using program funds for this purpose); reduced treatment expenses for water systems due to source water protection efforts; improved customer and stakeholder satisfaction; improved efficiency through consolidation or regionalization.

| | | |
|---|---|---|
| **NOTE TO STATE** | **State is required to give "detailed" narrative of work being performed and <u>on the "progress" being made</u> under each funded set-aside. Listing activities in one or two sentences does not give a complete picture. State's narrative should tell a story, connecting the information from previous reports to current. EPA also suggests including numbers where ever it is feasible ( e.g. # of courses held) and discuss results or effectiveness of activities being performed.** | |
| **3.0.1** | **2% set-aside funded activities.** | |
| | **Report on status of contract with WVRWA to provide technical assistance to small systems since last report.** | |
| **3.0.2** | **10% set-aside funded activities.** | . |
| | **Report on Cross Connection Program. Supply number of Backflow Prevention Assembly Tester Courses held for the reporting period.** | Output: _____ Backflow prevention assembly tester courses held. |
| | **Implement SDWA Rules.** | |



Freedom_0005619_0017

| | | |
|---|---|---|
| | **Provide training and proper equipment to staff** | |
| | **Emphasize public information/outreach (i.e., CCR, public awareness, latest regs.).** | |
| | **Report on conducting CD Assessments and written reports and recommendations to correct deficiencies.**<br>**Report on the # of systems assessed based on priority.** | Output: _____ systems assessed based on priority. |
| | **Discuss any improvements and/or coordination involving the state and federal infrastructure needs assessments.** | |
| | **Complete and publish necessary capacity development program reports.** | |
| | **Report on activities of Data and Information System Planning and Policy Team. Status of SDWIS contract to expand use and provide state with ability to utilize the program fully.** | |
| | **Report on status of eliminating and consolidating independent individual data bases. Establish a common system inventory file.** | |
| | **Report on data and information system training provided to district office staff as well as new employees on as needed basis** | |
| | **Administer and direct an improved information management system for use by management, staff and other agencies.** | |
| | **Report on results of last committee meeting to review CEH courses. Report on # of courses reviewed and approved.** | Output: _____courses reviewed; _____ courses approved |
| | **Report on results of last evaluation of recertification procedures within EED.** | |
| | **Increase the number of courses and class sizes for Class I operator certification classes. Report on activities since last progress report.** | |
| | **Teach water related courses to outside organizations. Report on activities since last** | |



Freedom_0005619_0018

| | | |
|---|---|---|
| | **progress report.** | |
| | **Report on courses attended by staff for continuing education.** | |
| | **Participate in DWETC meetings. Report on any actions as a result of last meeting attended.** | |
| | **Produce and distribute water operator/capacity development calendar.** | |
| | **Purchase training aids, equipment, study guides and reference materials to assist in training.** | |
| | **Prepare and distribute Newsletter *Drips and Drops* and other information to water treatment operators.** | |
| | **Report on activities with AWWA in recognizing and promoting achievements of water operators since the last report.** | |
| | **Report on SWOC activities (i.e., Phases I, II & III)** | |
| **3.0.3** | **15% set-aside funded activities** | |
| | **Maintain and update SWA and WHP web page.** | |
| | **Establish and implement wellhead protection activities.** | |
| | **Report on activities of Water Awareness Symposium sponsorship** | |
| | **Complete Pump Yield & Drawdown Test Method pamphlet.** | |
| | **Complete and implement local WHPP management or contingency plans.** | |
| | **UIC WHPP Program Contract - targeting delineated source water protection areas.** | |
| | **WHP Grants - establish and develop local WHP programs for gw sources. Review proposed projects. Report # of grants awarded and potential projects under review.** | Output: _____ grants awarded; _____ projects reviewed |
| | **USGS Study - report on status.** | |
| | **Teacher GW Educational Workshop - Report on status.** | |
| **3.1Capacity Development**<br>**<u>Background Notes:</u>** | | |



Freedom_0005619_0019

| | | |
|---|---|---|
| **The State had until September 30, 1999 to obtain legal authority or other means to ensure that all new CWSs and new NTNCWSs that commence operation after October 1, 1999, demonstrate technical, managerial, and financial, (TMF) capacity with respect to the NPDWRs. If TMF demonstration not achieved, twenty percent of a State's DWSRF allotment would have been withheld beginning October 1, 1999 for FY'00 funds. In the fiscal years following a state's initial documentation of a fully functional program, a state must document that it is requiring a demonstration of technical, managerial, and financial capacity by every new CWS and every new NTNCWS to avoid withholding of 20% of its DWSRF allotment. 1452(a)(1)(G)(i) and 1420 (a), and page 15 of the February 28, 1997 DWSRF Guidelines.**<br><br>**The State had until August 6, 2000 to develop and begin implementing a strategy to assist existing PWSs in acquiring and maintaining technical, managerial, and financial capacity, otherwise 10% of the FY '01 DWSRF funds allocated to the State would have been withheld. In the fiscal years following a state's initial documentation of a fully functional program, a state must document that it is implementing its strategy to avoid withholding of 20% of its FY'03 DWSRF allotment and in each subsequent year. 1452(a)(1)(G)(i) and 1420 (c), and page 16 of the February 28, 1997 DWSRF Guidelines.** | | |
| **3.1.1** | **Capacity Development Authority <u>(New Systems)</u> SDWA Section 1420**<br>**The state's program will be evaluated annually as of October 1. The withholding occurs at the time of the DWSRF award for those FY funds.** | |
| **3.1.1.1** | **Annual Review and Reporting on New Systems Demonstration of TMF: A state must document that it is requiring a demonstration of technical, managerial, and financial capacity by every new CWS and every new NTNCWS.**<br><br>**Documentation could consist of summary statistics regarding the number of new CWSs and NTNCWSs and the results of their required capacity demonstrations. Documentation should also address methods used to evaluate and verify program implementation.**<br><br>**See Attachment D "U.S. EPA Region III Reporting Criteria for Annual State Capacity Development Program Implementation Report." The Attachment describes the reporting criteria for the Report.** | Output: 1 Annual Capacity Development Program Implementation Report (due by 11/30 of each year) |
| **3.1.2** | **Capacity Development Strategy <u>(Existing Systems)</u>**<br>**1452(a)(1)(G)(i) and 1420 (c), and page 16 of the February 28, 1997 DWSRF Guidelines.**<br>**Background Notes: A state must document that it is implementing its strategy to avoid withholding of 20% of its** | |



Freedom_0005619_0020

| | | |
|---|---|---|
| | **DWSRF allotment in subsequent years.** | |
| **3.1.2.1** | **Annual Review and Reporting for <u>Existing Systems</u> implementation:**<br>**• Each year, as a stand-alone submittal; as part of the semi-annual self assessment; or as part of the state's capitalization grant application, the state must provide documentation showing the ongoing implementation of their capacity development strategy.**<br>**• Such documentation may consist of a concise narrative description of the major activities being conducted and planned for under the state's capacity development strategy.** | Output: 1 Annual Capacity Development Program Implementation Report (due by 11/30 of each year) |
| **3.1.3Other Annual Reviews and On-going Reporting Requirements:** | | |
| **3.1.3.1** | **Submit, and periodically update, a list of CWSs and NTNCWSs that have a history of significant noncompliance (SNC) and, to the extent practicable, the reasons for their noncompliance.**<br>**Due August 6, 2009. (This activity repeats every three years) SDWA 1420(b)** | **NA, next List is due 8/6/2009** |
| **3.1.3.2** | **The State must submit a report to the Governor on the efficacy of the strategy and progress made toward improving the technical, managerial, and financial capacity of PWSs in the State. The report shall also be made available to the public. (This activity repeats every three years)** | **Report is Due 9/30/2008** |
| **3.2Operator Certification Programs** | | |
| **3.2.1** | **To avoid a 20% SRF withhold, States must continue to implement Programs that meet the baseline requirements of the Guidelines and provide Annual Program Reports as per EPA Guidance memo dated 10/15/2001. Reports due June 30th** | **Output: 1 annual program report due 6/30 each year** |
| **3.3Source Water Assessment and Protection Activities**<br>**<u>Background Notes:</u>**<br>**Source water assessments are required of primacy States, if the State chooses to adopt alternative monitoring requirements under 1428(b). DWSRF funds can be set aside to administer or provide technical assistance through source water protection programs.** | | |



Freedom_0005619_0021

| | | |
|---|---|---|
| **3.3.0** | **Implement State Source Water Assessment Program (SWAP) Plan, and report progress and relevant activities underway. Include copies of contract agreements, MOUs, etc. with other agencies and contractors as per DWSRF Grant Condition. Discuss any significant barriers to implementation with EPA as soon as possible.**<br><br>**The Strategic Measures are:**<br>**a) # and % of population and community water systems (or source water areas) that will achieve minimized risk to public health by substantial implementation, as determined by the state, of source water protection actions in a source water strategy.**<br><br>**b) # and % of community water systems (or source water areas) that have a protection strategy in place.**<br><br>**c) # and % of community water systems (or source water areas) that have implemented some aspect of a protection strategy.**<br><br>**Report this information using the Source Water Assessment and Protection Reporting matrix (Attachment E).**<br>**SDWA 1453(a)(3) & GPRA** | Outputs: number of assessments conducted<br>at CWS = _____<br>at NTNCWS = _____<br>at TNCWS = _____ |
| **3.3.1** | **Coordinate with Clean Water Act programs to promote development of TMDLs or WQS that protect drinking water sources.** | |
| **4.Recommended Activities (These are activities that do not affect PWSS Primacy or the receipt of Drinking Water State Revolving Funds Set-aside funds. However many of these activities could be funded under either program. Include only those activities which the state is committing to conduct in the specific grant workplan.)** | | |
| **Goal 2: Safe and Clear Water--Ensure drinking water is safe. Restore and maintain oceans, watersheds and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitat for fish, plants and wildlife.** | | |
| **Objective 1: Protect human health by reducing exposure to contaminants in drinking water (including protecting source water), in** | | |



Freedom_0005619_0022

| | | |
|---|---|---|
| **fish and shellfish, and in recreational waters.** | | |
| **Subobjective 1: Water safe to drink** | | |
| **4.1** | **Enter informal enforcement actions to SDWIS to present more complete picture of violation follow-up** | |
| **4.2** | **Enter or correct latitude/longitude information to SDWIS for any remaining systems. Enter or correct the information on surface water systems first. Priorities for entering data for the remaining systems are groundwater CWSs next, then groundwater NTNCWSs, followed by TNCWSs. Coordinate, as appropriate, with the EPA data management staff to ensure that all needed data storage capabilities for source water protection efforts are accounted for in the modernized EPA STOrage and RETrieval system (STORET), EPA's data management program for ambient water quality. Also coordinate with State Clean Water Act and EPA staff to strengthen State georeferencing capabilities to better track monitoring information for mapping and GIS applications. GIS tools, including the Reach File 3 system that assigns unique location identifiers to the waters of the U.S., will be valuable in source water assessments.** | |
| **4.3** | **Develop and maintain a cross connection control program §142** | |
| **4.4** | **Interact with other State programs, local governments, and other stakeholder groups that affect or are affected by the drinking water program (e.g., wellhead protection programs, watershed protection programs and the Potomac River Basin Drinking Water Source Protection Partnership).** | |
| **4.4.0** | **Plan for source water protection and source water assessment programs simultaneously. For example, use current information on the hydrology and hydrogeology of different regions of the State to** | |



Freedom_0005619_0023

| | | |
|---|---|---|
| | **determine the degree of detail appropriate for the source water assessments. These assessments are necessary to support the source water protection programs being considered. Protection programs will likely be necessary in order to provide local flexibility on monitoring relief, ground water disinfection, regulation of Class V underground injection control wells, and filtration.** | |
| **4.4.1** | **Participate in State implementation of the 305(b) guidelines for drinking water to elevate awareness of drinking water as a designated use within the 305(b) program, increase the percentage of waters assessed for drinking water use support, and enhance the accuracy and value of the assessments. Facilitate a working relationship between the State drinking water and clean water staff to provide the most accurate and representative assessment of source waters, based on available data which the State believes best reflects the quality of the resource. Adopt the Watershed approach. Work with State water quality standard staff to ensure that use designations under the Clean Water Act reflect the location of surface source water areas for drinking water intakes, and wellhead protection areas which may be influenced by surface water (i.e., induced infiltration of surface water into drinking water wells). Be sure upstream dischargers are aware of downstream drinking water intakes. Also, work cooperatively with State ambient monitoring staff, including the 305(b) staff, to ensure that duplication of monitoring efforts in source water assessment projects are not occurring, that existing data are recognized and used, and that any new data that are collected are appropriate. EPA Region III will assist in the use of STORET date as needed.** | |
| **4.5** | **Coordinate with national, State, and local agencies to encourage identification and reporting of** | |



Freedom_0005619_0024

| | | |
|---|---|---|
| | **waterborne disease outbreaks associated with drinking water.** | |
| **4.6** | **Encourage systems to optimize their treatment plant performance beyond current requirements. (Participation in Partnership for Safe Water and/or Area Wide Optimization Program)** | |
| **4.7** | **Perform public education responsibilities, such as responding to press inquiries, educating the general public, and conducting outreach.** | |
| **4.8** | **Obtain Internet access to improve communications with other agencies, and outreach to the public. Develop computer communications with field offices.** | |
| **4.9** | **Track the following compliance assistance activities: small system assistance programs, workshops, onsite assistance, guidance on State regulations and other outreach materials, hot lines or other responses to inquiries from individuals, trade shows, and conferences.**<br>**Note: The Office of Enforcement and Compliance Assistance at Headquarters is interested in State compliance assistance efforts. Please provide whatever information is easily available, or that does not require extensive time and resources to collect. (This type of information should also be included in the State's Annual Compliance Report, due each July 1 for the previous calendar year.)** | |
| **4.10** | **Water Conservation Guidelines: On August 6, 1998, EPA published a document entitled "*Water Conservation Plan Guidelines*." These voluntary guidelines will encourage conservation by water systems, particularly small systems, thereby extending the life of water treatment infrastructure and reducing costs.**<br><br>**The guidelines do not contain any federal requirements; however, after August 6, 1999 states** | |



Freedom_0005619_0025

| | | |
|---|---|---|
| | **and Indian Tribes may require water systems to submit a water conservation plan consistent with EPA's guidelines as a condition of receiving a loan from a State Drinking Water Loan Fund.** | |
| **4.11** | **Drought Contingency and Water Supply Assistance: Continue to monitor water systems affected by drought conditions to ensure an adequate supply of water. Assist water suppliers with obtaining alternate sources, handling any contamination associated with the drought, development of contingency plans and assisting with outreach efforts on water conservation.** | |

**5.Additional State Activities which are funded with PWSS Grant or DWSRF Set-aside fund monies:**

**Include here narrative on any additional projects funded under the PWSS Grant or with DWSRF Set-aside funds (e.g., lab certification issues and violations reported in annual compliance report). You may also use this area to give narrative on staffing and GUDI as per the 1998 Corrective Action Plan or do so on a separate page as in previous reporting periods.**

| Tasks | Activities | Reporting-State must report against all activities and specifically include progress in meeting outputs/outcomes |
|---|---|---|
| Action Item | Narrative on staffing vacancies | |
| Action Item | Narrative on activities to complete GUDI determinations (e.g., enforcement) | |

**6.Water Protection (Security) Coordination Grants**
**Separate Guidance is issued regarding these grants. This section of the checklist can be used to list the activities funded so that the Checklist can be used for reporting purposes.**

**Goal 2: Safe and Clear Water--Ensure drinking water is safe. Restore and maintain oceans, watersheds and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitat for fish, plants and wildlife.**

**Objective 1: Protect human health by reducing exposure to contaminants in drinking water (including protecting source water), in**



Freedom_0005619_0026

| | | |
|---|---|---|
| **fish and shellfish, and in recreational waters.**<br>**Subobjective 1: Water safe to drink**<br><br>**Outcomes: improved protection of critical infrastructure; increase state preparedness, response, and recovery capabilities; increased state coordination, communication and information sharing capabilities; changes in management and operation of water systems based on training; increased awareness of water utilities, general public, local police and emergency responders, and others of the areas of concern from public water system perspective.** | | |
| **NOTE TO STATE** | **State is required to give "detailed" narrative of work being performed and on the "progress" being made under each funded set-aside. Listing activities in one or two sentences does not give a complete picture. State's narrative should tell a story, connecting the information from previous reports to current. EPA also suggests including numbers where ever it is feasible ( e.g. # of courses held) and discuss results or effectiveness of activities being performed.** | |
| **Tasks** | **Activities/Outputs** | **Reporting-State must report against all activities and specifically include progress in meeting outputs/outcomes** |
| **6.1** | **S&T Emergency Preparedness** | |
| **6.2** | **STAG - Emergency Communications** | |
| **Action Item** | **Status of grant expenditures (See page 15 of EPA 2005 Evaluation Report)** | |
| **7.Operator Certification Expense Reimbursement Grants (ERG)**<br><br>**Separate Guidance has been issued for these grants. Use this space on the Checklist to capture the funded activities and use this tool for reporting purposes. NOTE: Environmental Results provisions do not apply to these grants. These grants were awarded prior to EPA Order.** | | |
| **Goal 2: Safe and Clear Water--Ensure drinking water is safe. Restore and maintain oceans, watersheds and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitat for fish, plants and wildlife.** | | |
| **Objective 1: Protect human health by reducing exposure to contaminants in drinking water (including protecting source water), in fish and shellfish, and in recreational waters.**<br>**Subobjective 1: Water safe to drink** | | |
| **NOTE TO STATE** | **State is required to give "detailed" narrative of work being performed and on the "progress" being made under each funded set-aside. Listing activities in one or two sentences does not give a complete picture. State's narrative should tell a story, connecting the information from previous reports to current. EPA also suggests including numbers where ever it is feasible ( e.g. # of courses held) and discuss results or effectiveness of activities being performed.** | |
| **Tasks** | **Activities** | **Reporting -State must report progress against all activities** |
| **7.1** | **e-Training; report on progress of trainings held for small system operators to receive CEH hours** | |
| **7.2** | **In-house internet training and Web CT review** | |
| **7.3** | **Backflow Prevention Assembly Test(s)** | |



Freedom_0005619_0027

| Action Item | Status of grant expenditures (See page 13 of EPA 2005 Evaluation Report) | |
|---|---|---|



Freedom_0005619_0028