



MAINE CDC DRINKING WATER PROGRAM

Department of Health & Human Services

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Technical, Financial, and Managerial Capacity Development Review Checklist

Water System Name _____

PWSID # _____ SRF Project Number _____

Project Description _____

Project Reviewer _____ Date _____

I	Technical	Yes	No	N/A
1	Does the system have a source protection plan or wellhead protection plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Does the system own or control the primary protection area? (e.g. 200 day time-of-travel or 300 foot radius)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	Does the system have a plan to acquire additional land within the protection area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Has the system obtained a list of facilities that store potentially hazardous substances within the wellhead protection area or within the watershed for the surface water body used by the system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4a	Has the system contacted facilities that store potentially hazardous substances to inform them of drinking water source protection concerns and to facilitate efficient communication in the event of an emergency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	Does the system know the maximum amount of water that can be pumped from the source(s)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6	Does the system know if water demands will be growing, declining, or remaining stable over the next 10 years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	Have all deficiencies from the last sanitary survey been corrected?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	Is there a SCADA system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

I	Technical	Yes	No	N/A
8a	Does the water system have an emergency plan if the SCADA system has a security breach? (unauthorized access)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8b	Can the system be operated remotely?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	Does the system maintain current and accurate maps of the distribution system? (locations and sizes of mains, service connections, valves, shutoffs, etc)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10	Does the system keep a log of the distribution system breaks to identify weak areas in the system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11	Can the system maintain adequate pressure in the distribution system under all conditions of flow?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12	Has a hydraulic model been performed on the system? (flow and pressure throughout the system)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13	Does the system have a master meter?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13a	Is the master meter calibrated annually?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14	Are all customers metered?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15	Are all customer meters read on a regular schedule?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16	Does your system have a meter calibration and/or replacement program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17	Do all commercial and industrial customers have backflow preventers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18	Are backflow prevention devices installed in all new residential services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19	Does the system have a cross connection control program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20	Is unaccounted-for water 10% or less?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21	Does the water system monitor water usage for possible leaks in the distribution system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22	Does the system have a leak detection program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23	Does the system flush water mains at least annually?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24	Does the system have a program to control the use of fire hydrants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25	Are valves regularly exercised?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26	Can the storage tank(s) be isolated from the system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

I	Technical	Yes	No	N/A
27	Does the system have at least 1 day of water storage under normal conditions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28	Has the storage tank(s) been inspected by a qualified inspector in the last 5 years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29	Are storage tank hatches locked?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30	Do ladders to the storage tank have restricted access?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31	Do the storage sites have restricted access? (e.g. locked fence)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32	Does the system have a backup water source that could be used in an emergency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
33	Does the system have an interconnection with a neighboring system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34	Does the system have an emergency generator at needed locations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34a	Is the generator regularly exercised under load?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34b	Can the generator operate the entire plant?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34d	Does the system have an agreement with a fuel supplier to be a priority customer during a power outage?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
35	Does the system have a contingency plan for water outages? (supply bottled water, bulk water haul, backup source)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36	Does the system maintain adequate equipment and repair components?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
II	Managerial	Yes	No	N/A
37	Does the water system have a written mission statement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
38	Does the system have a designated operator with Treatment and Distribution classifications meeting the system's classification?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
39	Is there enough staff to effectively maintain the water system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
40	Do all employees and/or contract personnel have written job descriptions that can help orient and/or train operators on rules and responsibilities of their positions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
41	Does the system encourage employees to obtain additional, job-related training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
42	Does the system have written standard operating procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

II	Managerial	Yes	No	N/A
43	Does the system have routine preventive operations and maintenance tasks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
44	Does the system have a defined procedure for recording and responding to customer questions, concerns, and complaints?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
44a	Does the system keep records of all customer complaints?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
45	Are work requests filled out prior to work?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
45a	Are completed work requests kept on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
46	Does the system have a sampling plan to assure compliance with monitoring requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
47	Is all required water quality monitoring current?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
48	Is the system in compliance with all Safe Drinking Water Act regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
49	Has the system reviewed and renewed its PUC terms and conditions in the last five years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
50	Does the system have a Comprehensive System Facilities Plan (Master Plan)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
50a	Has the Master Plan been updated in the last 10 years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
50b	Will the water system provide the DWP with a copy of the Master Plan (electronic format is preferred)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
51	Has your system had a risk and resilience assessment performed for total system operations in the past 3 years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
52	Does the system have an Emergency Response Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
52a	Is the Emergency Response Plan reviewed at least annually?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
52b	Does all necessary staff have a copy Emergency Response Plan or know where it is located?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
52c	Does the plan cover how the system will meet demand during a drought or shortage?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
52d	Does the plan cover emergency operation due to natural disasters, power outages, pump failures, chemical overfeed, etc?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
52e	Have system personnel been trained to the Emergency Response Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

II	Managerial	Yes	No	N/A
53	Does the system maintain an updated list of critical customers? (hospitals, nursing homes, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
54	Has staff been trained in the Incident Command System (ICS)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
55	Does the system have the requisite written safety programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
56	Does the system perform routine patrols of the water system's assets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
57	Are facilities secured? (locked, alarmed, checked)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
58	Has the system engaged in any succession planning in anticipation of an aging / retiring workforce?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
59	Has the system made plans for operating critical functions with a reduced staff in the event of a pandemic?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
59a	Does the system have a written Pandemic Influenza Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
60	Do local law enforcement officials know who to contact at the water system in the event that they see suspicious activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
61	Does the system have a working relationship with the local EMA? (fire chief, county EMA)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
62	Is the system a member of the Water/Wastewater Agency Response Network (WARN)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
63	Has the system had an energy audit performed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
64	Does the system consider energy efficiency a priority when selecting new equipment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
65	Does the system encourage water conservation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
66	Does the system engage in general public education activities beyond the required issuance of Consumer Confidence Reports?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
67	Are Board of Trustees meetings held at least monthly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
68	Are members of the public given time for comments at Board meetings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
69	Are accurate minutes of all the Board meetings and actions prepared and kept on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
70	Are the Bylaws/Charter regularly reviewed and updated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
71	Does the Board receive formal training and/or engage in board development activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

III	Financial	Yes	No	N/A
72	Does the system have a financial record-keeping system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
73	Does the system provide and use an annual budget?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
73a	Does the budget consider prior years' costs of operations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
73b	Does the budget anticipate likely changes in operations during the coming year?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
73c	Does the budget include all interest and principal repayments due on debts owed by the water system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
73d	Does the budget include, in detail, all operating and maintenance expenses, such as salaries, chemicals, repairs, supplies, power, etc.?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
73e	Does the water system budget provide funding for depreciation of existing plant in service and/or for the funding of reserves for system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
74	Does the system's annual revenues equal or exceed the system's annual expenses?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
75	Does the system generate financial reports at least quarterly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
75a	Does the report show past due customer accounts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
76	Are the system's finances audited annually by an independent auditor?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
77	Are controls exercised over expenditures? (i.e. board approval for purchases over certain amounts, dual signatures)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
78	Does the system have a written policy governing past due accounts, collections and conditions for shut-off and restoration of service?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
79	Does the system have written financial policies? (Who handles the money, purchasing procedures, checks and cash deposits, late payment or non-payment policies)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
80	Does the system review the rate structure annually?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
81	Are current rates covering current costs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
82	Does the system have reserve account for emergencies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
83	Does the system have a plan for what capital improvements will be made over the next 5-10 years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

III Financial

Yes No N/A

84 Has the system developed an Asset Management Plan? (asset name, location, condition, age, model, etc)

85 Does the system maintain adequate insurance coverage for general liability, extended fire and property damage?

IV Additional Comments

DWP Use Only			
	Yes	No	N/A
Technical			
Managerial			
Financial			
Total			