

MISSOURI DEPARTMENT OF NATURAL RESOURCES
 DIVISION OF ENVIRONMENTAL QUALITY
PUBLIC DRINKING WATER PROGRAM

TECHNICAL, MANAGERIAL AND FINANCIAL CAPACITY ASSESSMENT CHECKLIST
(Applicable to all existing public water systems)

Technical, managerial and financial (TMF) capacity is the demonstrated ability to continue to provide safe and dependable supply water. This worksheet is the definitive test of an existing water system's TMF capacity. However, your system may desire or require higher standards than are assessed in this checklist.

The items marked with an asterisk (*) are only required of water systems required to maintain TMF Capacity, but are recommended for all water systems. Systems required to maintain TMF Capacity include those that commenced operation after Oct. 1, 1999, systems that received an Administrative Order for Significant Non-Compliance with drinking water regulations, and systems that are applying for State Revolving Loan Funds.

All items in **bold** typeface are regulatory requirements. Although important and advisable, all other items are recommendations only.

Item	YES √	NO √	NA √		<u>TECHNICAL CAPACITY DEMONSTRATION</u>	<i>Pg. 1</i>
T1					During the one year period immediately prior to the review date above, did the system receive any of the following:	
T2					Boil orders	
T3					Notices of violation	
T4					Bilateral compliance agreements	
T5					Administrative order for significant non-compliance with drinking water regulations	
T6					If the system did receive such orders, notices or agreements, have they all since been resolved or making progress toward compliance to the satisfaction of the department?	
T7					Does the system have a valid Permit to Dispense Water to the Public?	
T8					Is the chief operator certified at the proper level? What is the classification of the water production system? oA oB oC oD What is the classification of the water distribution system? oDSIII oDSII oDS I	
T9				*	Is there an adequate number of additional properly certified operator(s) to properly operate the production and distribution systems?	
T10				*	Does the operations staff have all the equipment they need to safely perform their job duties?	
T11					Are all the operator(s) on track in their training programs to maintain their certifications?	

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Item	YES √	NO √	NA √		<i>TECHNICAL CAPACITY DEMONSTRATION (CONTINUED) Pg.2</i>
T12					Is the condition and capacity of the source water production facilities adequate to meet all flow demands and all pressure requirements?
T13					Is the condition and capacity of the treatment facilities adequate?
T14					Is the condition and capacity of the storage and distribution facilities adequate to meet water demands?
T15				*	Does the system maintain an updated set of maps of its distribution system?
T16				*	Are the distribution maps available during all business hours for viewing by department staff and by the public?
T17				*	Does the system have a written operation and maintenance plan?
T18				*	Does the chief operator know of and follow the written operation and maintenance plan?
T19				*	If there is no written operation and maintenance plan, does the chief operator understand how to properly operate and maintain the system?
T20					Is there a Cross-Connection Control Program in place?
T21					Is there an updated Emergency Operation Plan available for viewing by department staff (community systems only)?
T22					Can the system demonstrate that it is adequately maintaining its distribution system by carrying out the following:
T23					Flushing program?
T24					Meter and valve change out program?
T25					Annual individual valve exercising program?
T26					Main break and leak repair program?
T27					Leak detection and water loss reduction program?
T28					Backflow detection and prevention program?
T29					Is there adequate backup equipment on-site for use in emergency situations?
T30					Does the system maintain and make available water use data including present water consumption, water losses, projected demands, fire flow demand, present and future source yields, etc.?
T31					Does the system maintain a Source Water Protection Plan?
T32					Have all potential contaminant sources in the source water area been identified and delineated on a map?
T33					Are the storage facilities inspected for structural and sanitary defects at least once every five years? Date of last inspection: _____

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Item	YES √	NO √	NA √		<u>MANAGERIAL CAPACITY DEMONSTRATION</u>	<i>Pg. 3</i>
M1					Is there a continuing operating authority (COA) responsible for the management, operation, maintenance, replacement, and modernization of the facility and can the COA be located?	
M2				*	Is there a change in the COA, if yes, a permit review is necessary in accordance with 10 CSR 60-3.020 (update inventory system)?	
M3				*	Are the Written Rate Structure and Service Fees publicly Displayed in the principal business office?	
M4				*	Are public meetings held for changes in rate structure or service Fees with advanced notice to customers?	
M5				*	Is there an updated publicly displayed organizational chart with the name, position, business address and phone number of the legal owner(s) and all positions that provide drinking water functions, including elected officials?	
M6				*	Is there a customer complaint designated person with the name, title, business address, business telephone number, and office hours publicly displayed?	
M7				*	Are the Written Customer Complaint Procedures for receiving, investigating, resolving, and recording customer complaints publicly displayed ?	
M8				*	Is the designated compliance person to be contact for regulatory Issues and compliance actions up to date?	
M9					Did the system prepare a consumer confidence report for last calendar year and appropriately make it available to the public?	
M10					Are the following records being kept and made available to the department upon request and during sanitary surveys:	
M11					Coliform (5Yrs)?	
M12					Chemical (10Yrs)?	
M13					Operational testing (5Yrs)?	
M14					Notices of Violations/BACs/AOs (3Yrs)?	
M15					Backflow prevention testing records (5Yrs)?	
M16					Inspection reports (10Yrs)?	
M17				*	Complaints (5Yrs)?	
M18					Does the system have a water conservation ordinance in place (specifically recommended for drought susceptible systems or systems with only one source)?	
M19					Are there mutual aid agreements with nearby systems for alternative water supply, operator services, equipment services, etc.?	

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The Technical Assistance Program will perform a User Charge Analysis to assess Financial Capacity for all systems required to maintain TMF Capacity and for any other system upon request. Contact the Technical Assistance Program at (573) 526-6627 for Financial Capacity Analysis.

Item	OK √	NO √	NA √		<u>FINANCIAL CAPACITY DEMONSTRATION</u>	Pg. 4
F1				*	Is the system for water fee collection including measures to obtain payment for non-payment (i.e., disconnect service, late fee charge, etc.) being implemented?	
F2				*	Is there an annual budget of revenues and expenditures with an annual comparison of planned budget to actual budget?	
F3				*	Is there a written rate structure and service fees?	
F4				*	Does the budget and capital improvement plan include at least the following:	
F5				*	Annual operation & maintenance (O&M) costs?	
F6				*	Annual revenues?	
F7				*	Capital improvement costs?	
F8				*	Capital improvement sources of funds?	
F9				*	If the system has been permitted for 10 years or longer, is there an operating reserve at least equal to the total amount of the annual operating costs divided by 10?	
F10				*	If the system has been permitted for less than 10 years, is there an operating reserve at least equal to 1/10th of the total amount of the annual operating costs, established in at least equal payments over the number of years the system has been permitted?	
F11				*	If the system has been permitted for 10 years or more, is there an equipment repair and replacement reserve at least equal to the current replacement cost of the most expensive mechanical equipment item?	
F12				*	If the system has been permitted for less than 10 years, is there an equipment repair and replacement reserve at least equal to the current replacement cost of the most expensive mechanical equipment item established in at least equal payments over the number of years the systems has been permitted.	
F13				*	Is there any outstanding debt where the bonding agreement for that debt requires the system to maintain a debt service reserve?	
F14				*	If a debt service reserve is required, does the current balance satisfy the bonding agreement?	
F15					Do the annual revenues cover public water system costs;	

Assistance Resources

Missouri Department of Natural Resources Regional Offices:

Kansas City Regional Office
500 NE Colbern Rd.
Lee's Summit, MO 64086-4710
816-251-0700
816-622-7044 fax

St. Louis Regional Office
7545 S. Lindbergh, Suite
210 St. Louis, MO 63125
314-416-2960
314-416-2970 fax

Northeast Regional Office
1709 Prospect Dr.
Macon, MO 63552-2602
660-385-8000
660-385-8090 fax

Southeast Regional Office
2155 N. Westwood Blvd.
Poplar Bluff, MO 63901
573-840-9750
573-840-9754 fax

Southwest Regional Office
2040 W. Woodland
Springfield, MO 65807-5912
417-891-4300
417-891-4399 fax

Missouri Rural Water Association

901 Richardson Dr.
Ashland, MO 65010
573-657-5533
573-657-0533 fax