Water Utility Management

Third Edition

Water Utility Management, 2nd edition

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Acknowledgments

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# Acronyms and Abbreviations

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
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<tbody>
<tr>
<td>AMR/AMI</td>
<td>automated meter reading/advanced metering infrastructure</td>
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<tr>
<td>AMWA</td>
<td>Association of Metro Water Agencies</td>
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<tr>
<td>APD</td>
<td>alternative project delivery</td>
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<td>APQC</td>
<td>American Productivity and Quality Center</td>
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<tr>
<td>ASP</td>
<td>Association for Strategic Planning</td>
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<td>AWWA</td>
<td>American Water Works Association</td>
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<tr>
<td>BI</td>
<td>business intelligence</td>
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<tr>
<td>CAA</td>
<td>Clean Air Act</td>
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<tr>
<td>CCR</td>
<td>consumer confidence report (eCCR = electronic consumer confidence report)</td>
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<tr>
<td>CERCLA</td>
<td>Comprehensive Environmental Response, Compensation, and Liability Act</td>
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<tr>
<td>CIP</td>
<td>capital improvement plan</td>
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<tr>
<td>CIS</td>
<td>customer information system</td>
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<tr>
<td>CMMS/EAM</td>
<td>computerized maintenance management system/enterprise asset management</td>
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<tr>
<td>CPM</td>
<td>capital program management</td>
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<td>CSO</td>
<td>combined sewer overflow</td>
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<td>CSR</td>
<td>customer service representative</td>
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<td>CUPSS</td>
<td>Check Up Program for Small Systems</td>
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<tr>
<td>CWA</td>
<td>Clean Water Act</td>
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<tr>
<td>CWSRF</td>
<td>Clean Water State Revolving Fund</td>
</tr>
<tr>
<td>DCS</td>
<td>distributed control system</td>
</tr>
<tr>
<td>DHS</td>
<td>Department of Homeland Security</td>
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<tr>
<td>DWSRF</td>
<td>Drinking Water State Revolving Fund</td>
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<tr>
<td>EPCRA</td>
<td>Emergency Planning and Community Right-to-Know Act</td>
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<tr>
<td>ERP</td>
<td>enterprise resource planning</td>
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<tr>
<td>ETA</td>
<td>Employment and Training Administration</td>
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<td>EUM</td>
<td>effective utility management</td>
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<tr>
<td>FAQ</td>
<td>frequently asked question</td>
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<tr>
<td>FEMA</td>
<td>Federal Emergency Management Agency</td>
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<td>FERC</td>
<td>Federal Energy Regulatory Commission</td>
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<td>FIFRA</td>
<td>Federal Insecticide, Fungicide, and Rodenticide Act</td>
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<tr>
<td>FIS</td>
<td>financial information system</td>
</tr>
<tr>
<td>GIS</td>
<td>geographic information system</td>
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<tr>
<td>HMI</td>
<td>human-machine interface</td>
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<tr>
<td>HSE</td>
<td>health, safety, and environment</td>
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<tr>
<td>ICS</td>
<td>Incident Command System</td>
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<tr>
<td>ICS-CERT</td>
<td>Industrial Control Systems Cyber Emergency Response Team</td>
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<tr>
<td>I/I</td>
<td>infiltration and inflow</td>
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<tr>
<td>IoE</td>
<td>Internet of Everything</td>
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<tr>
<td>IoT</td>
<td>Internet of Things</td>
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<tr>
<td>IT</td>
<td>information technology</td>
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<tr>
<td>IWA</td>
<td>International Water Association</td>
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<tr>
<td>KM</td>
<td>knowledge management</td>
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<tr>
<td>LIMS</td>
<td>laboratory information management system</td>
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<tr>
<td>LIS</td>
<td>laboratory information system</td>
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</table>
LOS levels of service
MCL maximum contaminant level
NAAQS National Ambient Air Quality Standards
NACWA National Association of Clean Water Agencies
NCEES National Council of Examiners for Engineering and Surveying
NIMS National Incident Management System
NIST National Institute of Standards and Technology
NPDES National Pollutant Discharge Elimination System
ODMS operations data management system
PC personal computer
PLC programmable logic controller
PM preventive maintenance
POTW publicly owned treatment works
RCM reliability-centered maintenance
RCRA Resources Conservation and Recovery Act
RFID radio-frequency identification
ROI return on investment
RTU remote terminal unit
SaaS software-as-a-service
SCADA supervisory control and data acquisition
SDC system development charge
SDWA Safe Water Drinking Act
SIMPLE Sustainable Infrastructure Management Program Learning Environment
SMART specific measurable achievable relevant and time based
SSO sanitary sewer overflow
TSCA Toxic Substances Control Act
URI Utility Resilience Index
US DOL US Department of Labor
USEPA US Environment Protection Agency
UST underground storage tank
VA vulnerability assessment
WARN Water and Wastewater Agency Response Network
WaterRF Water Research Foundation
WEF Water Environment Federation
WERF Water Environmental Research Foundation
WIFA Water Infrastructure Financing Authority
Introduction

THE NEW M5: FACILITATING SUCCESS FOR WATER AND WASTEWATER UTILITY MANAGERS

Can you imagine a city without water and wastewater utilities? Imagine whole towns drinking untreated water. Can you imagine US households without access to functioning sewer systems? The simple truth is that our modern lives are built on the premise that we will have clean water and the ability to dispose of water 24 hours a day, every day of the year. The provision of water services is fundamental to us—a matter of public health.

North American water and wastewater managers are public health providers with unparalleled track records of success. Another simple truth—in the twentieth century alone, the applications of our industry’s science, tools, and trades saved more lives than any other single health development. The people who design and manage our water processes are nothing less than heroes and our target readers of the updated M5. The M5 update is here to help water and wastewater utility managers stay heroes in the twenty-first century.

Today, increasing demands, changing technologies, uncertain costs, and aging systems complicate every utility manager’s role. Whether a utility is large or small, successful utility management requires more than single-subject expertise. High expectations are placed on established managers to improve their range of functionality. M5 will help newly minted utility managers in North America and elsewhere broaden their perspectives. Newly minted utility managers will find here a means to untangling today’s multiple water–wastewater utility issues and to continue taking steps toward a fulfilling career.

A GO-TO REFERENCE FOR WHAT IS IMPORTANT TO YOU

Utility managers need a strategic process for establishing their vision, mission, and plan for achieving their most critical objectives. Chapter 3 is dedicated to utility strategy. Need a primer on performance measurement? See chapter 5. Where do you learn about establishing a cycle (a culture) of plan/do/check/act, and do that with an ethnically and educationally diverse workforce? Turn to chapter 4. Want to survey your employees in accord with the 10 attributes of the effective utility management (EUM) approach? Consider chapter 6. The updated M5 will help locate the best management resources.

This manual delivers approaches to the plans (and planning processes) that require more detail than overarching strategic planning. Managers also need to account for their specific responsibilities, which they may choose to do in a communication plan, a capital plan, a divisional business plan, and master planning of all varieties (see chapter 3). This update is designed as your road map to navigate the array of resources that are already available—in print, in electronic media, at conferences, and with peer utilities.
AWWA’s Strategic Management Practices Committee was tasked with updating M5. The committee began by studying the contemporary topics of water–wastewater utility managers, including workforce capability; fostering safety culture; managing assets and risk; the tricky balance of public support, scarce revenues, and aging infrastructure; and rapidly changing information management technology.

The committee built on the previous edition of M5, which documented the fundamentals of managing a utility from managing operations and maintenance to customer service, from communication to emergency planning, and from safety regulation to financial management. By focusing on the key contemporary topics of vital interest to water–wastewater managers, the committee has produced a new edition of M5 that goes beyond basic books on water–wastewater utility management. Additionally, the committee has included information on the vast resources that exist in AWWA on these well-established management topics. And it should be noted that books in the general management literature covering business strategy, leadership, and a variety of management techniques also have merit for utility managers. Finally, while the committee’s experience and strengths were gained from a North American perspective, utility managers will benefit no matter where they are based.

Since the most recent M5 update, there has been increasing demand for water and wastewater utilities to focus on continuous improvement. Improvement programs may include self-assessment, outside assistance (peer review or consultancy), and benchmarking tools. QualServe was an early example of a continuous improvement system designed specifically for water and wastewater utilities. Involving self-assessment, peer review, and benchmarking, this program provided the foundation for Effective Utility Management: A Primer for Water and Wastewater Utilities.

The EUM Primer defines attributes common to all water and wastewater utilities, covering a range of desired utility outcomes in the areas of operations, infrastructure, customer satisfaction, community welfare, natural resource stewardship, and financial performance. These attributes have proven useful and concise reference points for utility managers seeking to improve organizationwide performance. They can best be viewed as a continuum of, or a set of building blocks for, management improvement opportunities and are referenced throughout M5.
Utility Management and Regulation

This chapter is a high-level review of the legal basis of regulation and management approaches. The purpose is to describe fundamental regulatory considerations faced by a water or wastewater utility manager.

Wastewater and drinking water utilities are driven by a mission to ensure public health through water management of all kinds. A manager’s planning agenda is frequently dominated by working toward objectives associated with public health; compliance with legal obligations, including federal, state, and local; and environmental, health, and safety requirements. Failure to comply with many of these requirements may result in administrative, civil, and criminal penalties, in addition to unwanted attention from the media.

Utility managers are leaders of multitalented people out of necessity, because no one knows everything about water. Clean or dirty water management requires engineering, biological, chemical, design, financial, organizational, legal, and other subject matter expertise. Variations in regulatory requirements mean utility managers should have ready access to qualified professionals in nearly every field. Legal expertise is an important, even essential collaborating partner to a utility manager.

This manual is one of multiple resources of the American Water Works Association (AWWA) designed specifically for water and wastewater professionals. Importantly, AWWA creates standards addressing the entire industry spectrum of treatment plant operators and managers, scientists, environmentalists, manufacturers, academicians, regulators, and utilities. AWWA’s published standards cover hundreds of products and procedures.

LOOKING FOR LAW IN ALL THE RIGHT PLACES

Environmental legal obligations are numerous and complex. These obligations exist at the federal, state, and local levels. The nature of the legal obligations imposed on utilities ranges from broad statutes to complex regulations or policies. The legal obligations address the relationship of the utility’s operations to the health and safety of its employees and its impact on the environment. As a result, it is suggested that a leader of a water or
wastewater utility have access to a qualified environmental attorney or, as necessary, an environmental regulatory professional. In consultation with a qualified environmental attorney, it is likely that a water or wastewater utility will better address environmental legal obligations and attempt to prevent, detect, or correct any violations alleged by federal, state, or local authorities.

Utility managers must possess a fundamental understanding of the major environmental legal obligations impacting utility operations. Depending on geographic location and size of operations, water and wastewater utilities’ legal obligations to the variety of federal, state, or local environmental requirements may vary. These environmental legal obligations certainly include well-known statutory or regulatory provisions of the Safe Drinking Water Act (SDWA), which includes the provisions for National Pollutant Discharge Elimination System (NPDES). The NPDES addresses water pollution by regulating point sources that discharge pollutants to waters of the United States. This is a permit program authorizing state governments to perform many permitting, administrative, and enforcement aspects of the USEPA-administered program.

It should be recognized that many state and/or local environmental authorities have implemented and will enforce provisions either equal to or more stringent than those contained within the Clean Air Act (CAA), the Clean Water Act (CWA), the Resource Conservation and Recovery Act (RCRA), the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), the Emergency Planning and Community Right-to-Know Act (EPCRA), and the Toxic Substances Control Act (TSCA).

Drinking water and wastewater operation and treatment facilities are part of the utilities sector designated by the US Environmental Protection Agency (USEPA) in the North American Industry Classification System known as NAICS 22. Industries in this sector include water treatment plants, water supply systems, sewer systems, and/or sewage treatment facilities that collect, treat, and dispose of waste.

**HISTORY IN YOUR LIFETIME**

The Clean Water Act, a crucial law that protects the nation’s water from pollution, was passed at a time when much of US water was so contaminated by industrial waste and other pollutants that it was unfit for public use. By setting ambitious goals for the cleanup of contaminated waters, the Clean Water Act led to dramatic improvements in water quality and serious reductions in industrial pollution. Adoption of the Clean Water Act followed several high-profile disasters like Ohio’s Cuyahoga River catching on fire because of the contaminants in the water. The Clean Water Act strengthened the statutory framework and required mandatory pollution controls and meaningful enforcement mechanisms.

The Clean Water Act set a new national goal “to restore and maintain the chemical, physical, and biological integrity of the Nation’s waters.” It sought to ensure all waters be “fishable and swimmable” and provided the USEPA and states with the authority to set and implement the standards necessary to achieve these goals. Generally, states set water quality targets and standards that define specific cleanup measures or limit the amount of pollution that can be discharged into bodies of water; USEPA then reviews and approves these targets and standards. The Clean Water Act also established many different programs aimed at protecting wetlands, coastal waters, estuaries, and large ecosystems.

The year 2014 marked the fortieth anniversary of the SDWA. Utility managers know this as the law USEPA uses to establish and enforce national primary drinking water standards. These standards are known as the National Primary Drinking Water Regulations and set enforceable maximum contaminant levels (MCLs) for particular contaminants in drinking water or require ways to treat water to remove contaminants. Each standard also
includes requirements for water systems to test for contaminants in the water to make sure standards are achieved. USEPA has established MCLs or specific treatment techniques for more than 80 contaminants and has also developed (unenforceable) secondary drinking water standards to address the protection of the public welfare (e.g., taste-and-odor issues).

The SDWA was amended in 1986 and again in 1996, expanding both the list of contaminants to be monitored and the scope of activities required to protect public drinking water and its sources (including lakes, rivers, reservoirs, springs, and groundwater wells). The original SDWA focused primarily on treatment as the means of providing safe drinking water at the tap. The amendments enacted in 1996 greatly enhance the concept of protecting drinking water from source to tap. To accomplish this, the amendments call for additional attention to be paid to protecting source water, training certified operators, establishing funds for water system improvements, and using public information to ensure safe drinking water. For an excellent overview, see the USEPA fact sheet titled “Understanding the Safe Drinking Water Act” (USEPA 2004).

The SDWA applies to every public water system in the United States and its territories (e.g., Puerto Rico, the US Virgin Islands, and Guam) and provides the statutory and regulatory framework to ensure that the requirements are both completed and enforced. In most cases, oversight and enforcement of water systems are the responsibility of the respective state drinking water programs. To formally assume this responsibility, states can apply to the USEPA for primacy, which gives them the authority to implement the SDWA requirements within their jurisdictions. To do this, states must be able to show that they will adopt standards at least as stringent as USEPA’s and make sure water systems meet these standards. The Navajo Nation is the only tribal entity with SDWA primacy.

As of 2017, only Wyoming and the District of Columbia have not received primacy. States, or the USEPA acting as a primacy agent, make sure water systems test for contaminants, review plans for water system improvements, conduct on-site inspections and sanitary surveys, provide training and technical assistance, and take action against water systems not meeting standards.

**The State Perspective Matters**

Given the role of the state primacy agencies, it is essential for utility leaders to know all state-based requirements and to be familiar with the agency that is responsible for making sure a utility is in compliance. In most cases, the relationship between the water–wastewater utility and the state agency is well established. You should ensure managers and key operations staff get to know the state agency and the staff assigned to a given utility. Make sure you are aware of all required reports and communications and establish a regular dialogue with the key members of your state agency.

**Other Key Federal Statutes**

Another key federal statute usually enforced by states is the CWA of 1972. The purpose of this law is to address the pollution of water in the United States. Among other things, the CWA contains provisions regulating municipal wastewater treatment systems. Along the same lines as the SDWA, the USEPA has established and enforces requirements broadly prohibiting the discharge of pollutants into waters of the United States without a permit, referred to as an NPDES permit. For example, the discharge of treatment filter backwash residuals into an adjacent river either without an NPDES permit or in violation of a condition of a valid NPDES permit may likely result in an enforcement action by an appropriate authority. Notably, the CWA also addresses (1) the discharge or placement of dredged or fill material into waters of the United States (i.e., wetlands issues); and (2) the prevention of and responses to spills of oil and hazardous substances.
RCRA (1976) is another key federal statute. In general, RCRA is characterized as the federal statute providing “cradle-to-grave” management and tracking of hazardous waste (e.g., spent solvents). The USEPA has established enforceable standards for the identification, management, transportation, and disposal of hazardous waste. Other portions of RCRA address (1) used oil management and (2) underground storage tank (UST) systems.

Importantly, the CWA prohibits anybody from discharging pollutants through a point source into a water of the United States unless they have an NPDES permit. The permit will contain limits on what can be discharged, what can be monitored, what are the reporting requirements, and other provisions to ensure that the discharge does not hurt water quality or people’s health. In essence, the permit translates general requirements of the CWA into specific provisions tailored to the operations of each person discharging pollutants.

Another significant federal statute is the CAA (1970), which addresses air emissions from both stationary and mobile sources. The key component of the CAA is the National Ambient Air Quality Standards (NAAQS). Through the NAAQS program, USEPA regulates six ambient air pollutants determined to endanger public health and welfare (e.g., particulate matter). The CAA also addresses hazardous air pollutants and risk management planning. Drinking water utilities may possess certain operations requiring either CAA construction and/or operation permits (e.g., diesel generators) or risk management plans (e.g., chlorine cylinders).

Canada and Mexico

In Canada, the federal government has jurisdiction related to fisheries, navigation, federal lands, and international relations, including responsibilities related to the management of boundary waters shared with the United States and relations with the International Joint Commission. It also has significant responsibilities for agriculture, health, and the environment; plays a significant role supporting aquatic research and technology; and ensures national policies and standards are in place on environmental and health-related issues. Within the Canadian government, more than 20 departments and agencies have unique responsibilities for fresh water.

Water supply and sanitation in Mexico are characterized by achievements such as a significant increase in access to piped water supply in urban areas (88 percent to 93 percent) as well as in rural areas (50 percent to 74 percent) between 1990 and 2010. Additionally, a strong nationwide increase in access to improved sanitation (64 percent to 85 percent) was observed in the same period. Other achievements include the existence of a functioning national system to finance water and sanitation infrastructure with a National Water Commission as its apex institution, and the existence of a few well-performing utilities such as Aguas y Drenaje de Monterrey. In addition to ongoing investments to expand access, the government has embarked on a large investment program to improve wastewater treatment.

REFERENCES