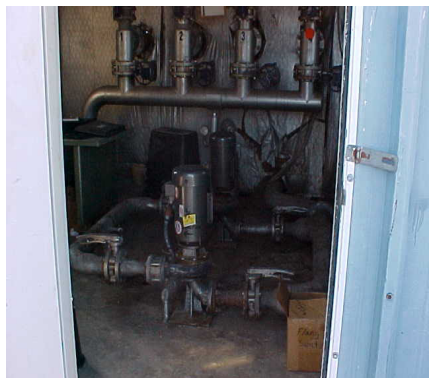




# Strategic Planning: A Handbook for Small Water Systems

One of the Simple Tools for Effective  
Performance (STEP) Guide Series



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# Is This Guide for Me?

This guide is designed to help owners and operators of community water systems (CWSs) and non-transient non-community water systems (NTNCWSs) serving 3,300 people or fewer learn more about the strategic planning process and begin to develop a strategic plan. CWSs include all systems (both publicly and privately owned) with at least 25 year-round residential customers or 15 year-round service connections. NTNCWSs include all systems (both publicly and privately owned) that are not CWSs and that serve at least 25 of the same people for more than six months a year. Typical systems that may find this guide useful include:

- Small Towns
- Rural Water Districts
- Tribal Systems
- Manufactured housing communities
- Homeowner's associations
- Factories, religious institutions, and schools with their own water supplies

This guide presents basic concepts on strategic planning for small water systems and explains how this process can help improve your technical, managerial, and financial capabilities. It provides background information on the process of strategic planning and a series of worksheets from which you can begin to develop a written strategic plan. Your State or Regional Tribal Capacity Development Coordinator can provide additional information and help you tailor your strategic planning process or written strategic plan to your specific circumstances. For a complete list of state and tribal contacts, see Appendices A and B.

Additional copies of this guide may be obtained by calling the Safe Drinking Water Hotline at (800) 426-4791. You may also download the guide from EPA's Safe Drinking Water Website at [www.epa.gov/safewater/smallsys/ssinfo.htm](http://www.epa.gov/safewater/smallsys/ssinfo.htm).

# What Will I Learn From this Guide?

The U.S. drinking water industry is facing many key challenges in the 21<sup>st</sup> century. These include replacing aging infrastructure, meeting extensive regulatory requirements, operating in an environment with increased competition and public expectations, and ensuring system security and safety.

To meet these challenges and continue to provide a safe and reliable water supply, systems will need to be prepared and ensure that technical, managerial, and financial structures can respond to changing circumstances. Strategic planning can help prepare your water system to meet challenges and maintain organizational and financial stability in an uncertain future.

This guide will:

- Explain the concept of strategic planning;
- Explain the benefits of strategic planning for small water systems; and,
- Illustrate the steps you can take to start the planning process and begin to develop a strategic plan.

This guide contains a series of worksheets to help guide you through the strategic planning process. Your State or Regional Tribal Capacity Development Coordinator can help you fill in the worksheets and develop, implement, and maximize the benefits of, strategic planning.



# What is Strategic Planning?

The idea of strategic planning is to ‘plan today for an uncertain tomorrow.’ It can help you address both problems that you know will arise in the future, and problems that you can’t predict. It can help your system succeed in a changing environment.

A written strategic plan can be the end result of the planning process. It is typically a short document that summarizes what your water system does, why it does it, what it is trying to accomplish, and how it will meet its goals and values.<sup>1</sup> Systems that do not develop a written plan should still engage in the strategic planning process.

There are 7 steps to strategic planning:

1. **Developing** a strategic roadmap.
2. **Defining** your area of service.
3. **Assessing** your system’s technical, managerial, and financial capabilities (i.e., its capacity).
4. **Identifying** your options for fulfilling your area of service.
5. **Analyzing and assessing** your options.
6. **Implementing** your options through an action plan.
7. **Evaluating** your options.



To plan strategically or to draw up a written strategic plan, you will need to look at all aspects of your system and develop values and goals. While this could lead to organizational, financial, or technical changes in the way your system operates, the benefits of strategic planning will make your efforts worthwhile.

<sup>1</sup> For more information on strategic planning, see: <http://www.allianceonline.org/faqs.html>

# How Will Strategic Planning Benefit My Water System?

In general, small water systems draw up formal plans for important capital improvements projects and when such plans are required (e.g., for permits, licenses, rate review processes, etc.). This kind of long-range planning typically involves developing a goal and a series of milestones that will be met over a certain period of time. However, it typically does not prepare systems to successfully respond to unknown or changing conditions, nor does it involve improving operations and management. Strategic planning on the other hand, will not only guide these infrastructure improvements, but will also focus the use of limited resources on previously defined priorities, improve decision making, and enhance responsiveness and performance of a system.

For example, system security has recently become a top priority for systems. Traditional long-range planning can provide a time frame and plan of action for systems to make needed security-related improvements or otherwise upgrade security measures. Strategic planning will not only provide a road map for accomplishing these tasks, but will also prepare your system to effectively respond to unexpected events, while accomplishing the overall goals and objectives of your system.

Strategic planning can:

- Help you understand what services your system currently provides and what services you would like to provide in the future to best serve your customers.
- Allow you to concentrate on making good decisions now so that your system will be successful in the future.
- Focus your energy and resources.
- Ensure that system employees, owners, and managers are all working toward the same goals.

“If it ain’t broke, don’t fix it” is not a sensible approach to planning. It does not allow your water system to prepare for and adapt to changing circumstances. Strategic planning will.



# STEP 1: Developing a Strategic Roadmap

The first step in learning how to plan strategically and create an effective strategic plan, is developing a strategic roadmap and defining your ideals, goals, and values. A strategic roadmap will help you determine the purpose of strategic planning for your system, and what you intend to gain from the process. Ultimately, your answers will provide a guide, or roadmap, by helping you shape your actions to meet your ideals, goals, and values. Consider the following questions:



## 1. What is your system trying to accomplish, and why?

Answering this question will help you understand what the day-to-day purpose of your system is, and the fundamental reasons for its existence.

## 2. How can this be accomplished?

Answering this question will help you understand how to achieve your purpose (defined by answering question 1).

Your answers to these questions should address both the practical operation of your system (e.g., achieving delivery of clean water to customers through proper treatment and storage methods), and the broader goals of which system personnel should be aware (e.g., public health protection). Your answers to these questions would also serve as a basis for vision and mission statements in a written strategic plan should your water system decide to do one. Once you have considered your answers to the above questions, the following worksheet will help you develop your own strategic roadmap by asking you to address your system's:

### ***Ideals***

An image of what your system should become.

### ***Goals***

The day-to-day and overall operation and management objectives or aspirations for your system.

### ***Values***

The beliefs you would like to guide your system's employees; explain what is most important to your system and your system's employees.

A completed example and a blank worksheet are provided. Once you have defined your goals and values, you will need to assess whether the way in which your system is currently being maintained, managed, and operated is helping to accomplish these goals or promote these values.



# Worksheet: Defining Your Ideal, Goals, and Values

Example - Strategic Roadmap	
<b>Ideals</b>	<i>The XYZ Water System will provide safe, clean drinking water to its customers by ensuring the safety and security of its supply and the system, meeting or exceeding existing and new federal and state regulations, and consistently evaluating and improving management and operations.</i>
<b>Goals (according to priority)</b>	<i>To meet or exceed all water quality standards and customer expectations, have an adequate and safe supply of water, and provide water at a reasonable cost.</i>
<b>Values</b>	<i>To conduct our business in a way that builds consumer confidence, promotes a supportive work environment, protects public health, and minimizes cost while still providing superior service and product.</i>

Strategic Roadmap	
<b>Ideals</b>	
<b>Goals (according to priority)</b>	
<b>Values</b>	

## STEP 2: Defining Your Area of Service

Defining your area of service involves deciding which functions or roles your system will or will not be responsible for. It is important to note that not every system is suited to provide every service. Defining your area of service will focus the strategic planning process and allow you to more effectively meet your goals and fulfill your values.

Water systems can provide a number of services in the areas of source water development and protection; drinking water treatment; treated water storage, transmission, and distribution; and retail customer services. Nowadays, security issues are also a major concern.<sup>2</sup> The following worksheet will allow you to define your area of service including your current roles and functions and provides space for you to list the services, roles, and functions you would like to provide in the future.

When filling in the worksheet, consider whether you have been successful in performing all of your roles or if there are services that you have had trouble providing effectively. Ultimately, you may decide to expand or limit your system's functions. For example, a system may choose to purchase treated water from a wholesale provider and concentrate its efforts on distribution and retail customer services. Both a completed example and a blank table are provided. The example is not exhaustive, but gives an indication of the things you might want to consider regarding expanding, reducing, or altering your system's roles.

### WATER SYSTEM ORGANIZATIONAL STRUCTURES

A water system's organization can be divided into three parts:

- *Governance* focuses on accountability and provides direction to and oversight of, the overall operation and management of the water system.
- *Management* focuses on responsibility and controls the day-to-day operation and management of the system. Strategic planning is a function of management.
- *Operations* focus on performance and must meet certain performance standards.



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<sup>2</sup> For more information on the measures you can take to assess and improve your system's security see ASDWA/NRWA's "Security Vulnerability Self-Assessment Guide for Small Drinking Water Systems," November 2002, and other security-related information on ASDWA's Web site (<http://www.asdwa.org/>) and EPA's Water Infrastructure Security Web site at <http://www.epa.gov/safewater/security/index.html>.

# Example Worksheet: Current and Future Areas of Service

Example		
Area of Service	Current Role	Future Role
Source water development & protection	<i>Conduct routine O&amp;M, compliance monitoring, well head protection; implement source water protection plan</i>	<i>Continue current role, address and finance security-related measures, and consider the development of a new source to meet future demand</i>
Water treatment	<i>Conduct routine O&amp;M, compliance monitoring, lab analysis, asset maintenance, operator training</i>	<i>Continue current role but consider optimizing treatment processes, purchasing treated water, or installing additional treatment to meet new regulations</i>
Treated water storage & distribution	<i>Conduct routine O&amp;M; compliance monitoring; leak detection and repair; storage tank inspection, repair, rehabilitation; corrosion control</i>	<i>Continue current role but consider contracting out for O&amp;M service or consolidating with nearby systems, and secure financing to replace pipes and mains on schedule</i>
Retail customer service	<i>Install new connections; conduct meter installation and rehabilitation; meter reading; billing and collections</i>	<i>Continue current role but consider partnerships with nearby systems to provide better retail customer services at a lower cost and begin to review rates on an annual basis</i>
Security issues	<i>Install and maintain fencing around critical system components</i>	<i>Maintain fencing; consider having staff patrol the system to discourage trespassing and tampering; work with local and state officials to develop an Emergency Response Plan (ERP); conduct a vulnerability assessment</i>

# Worksheet: Current and Future Areas of Service

Area of Service	Current Role	Future Role
Source water development & protection		
Water treatment		
Treated water storage & distribution		
Retail customer service		
Security issues		

# STEP 3: Assessing Your System's Technical, Managerial, and Financial Capacity

An important part of strategic planning involves assessing your system's capabilities. You may already have some of this information in the form of self-assessments, sanitary surveys, and loan and permit application data. Assessing your capabilities includes an assessment of your:

- Physical infrastructure<sup>3</sup> and operational abilities (*technical capacity*). This includes deciding whether processes need to be changed or improved upon, and assessing the technical knowledge and qualifications of your system's operators. For example, consider the number of Continuing Education credits earned by operators, their understanding of new and upcoming regulations, and their level of certification.
- Institutional and administrative abilities (*managerial capacity*) and deciding whether your system's affairs are conducted in a manner that enables you to maintain compliance, operate efficiently, and meet customer expectations.
- Ability to acquire and manage financial resources (*financial capacity*) and deciding whether you will be able to continue current operations, make necessary repairs and replacements, and afford upgrades.



Knowing your strengths and weaknesses in these three areas will help you refine your goals to focus on areas that need improvement, and capitalize on your strengths. The following worksheet provides space for you to note your strengths and weaknesses in the three components of capacity. Both a completed example and a blank table are provided.

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<sup>3</sup> Assessing your system's capabilities should involve an in-depth inventory of your system's infrastructure. This can be completed through the development of an **asset management plan**. Asset management is a planning process that ensures that you get the most value from each your assets, and have the financial resources to repair and replace them when necessary. Successful asset management depends on knowing about the condition and value your system's assets and regularly communicating with management and customers about future needs. This understanding is key to developing a thorough and useful strategic plan. For more information on Asset Management, see EPA's Asset Management Guide (EPA 816-R-03-016), which can be obtained by calling the Safe Drinking Water Hotline (1-800-426-4791).

# Worksheet: Assessing Your System's Capacity<sup>4</sup>

Capacity	Strengths	Weaknesses
Technical	<i>Reliable source of drinking water; little trouble meeting SDWA standards; system operator is properly certified.</i>	<i>Outdated asset inventory and no asset management plan; have not addressed needed security upgrades.</i>
Managerial	<i>Good relationship with customers and regulators; operator properly trained.</i>	<i>Part time operator; board members not trained on upcoming regulatory requirements.</i>
Financial	<i>Books and records are maintained according to generally accepted accounting principals; budget reviewed annually.</i>	<i>Lacking detailed valuation of assets; reserve account not fully funded; rates have not been reviewed since rate setting hearing.</i>

Capacity	Strengths	Weaknesses
Technical		
Managerial		
Financial		

<sup>4</sup> Remember to consider:

- For technical capacity - the adequacy of your source water, physical infrastructure, operator expertise and knowledge, and overall operations and maintenance.
- For managerial capacity - your system's ownership structure; staffing and organization; and relationships with customers, regulators, and technical assistance providers.
- For financial capacity - your system's revenues, credit worthiness, and fiscal management and controls.

# STEP 4: Identifying Your Options

At this point in the strategic planning process, you have defined your current services and roles and decided what services you would like to provide in the future. You should also have a good understanding of the strengths and weaknesses in your technical, managerial, and financial capabilities. This information will allow you to identify a range of options to best fulfill your goals and values.

One goal of strategic planning is to fully consider the widest possible range of alternatives over a long-term time frame and not just choose the “quick fix”. This involves thinking about options that can be implemented within your system’s current structures, and options that may require reorganizing or fundamentally changing your system’s ownership, managerial, operational, and physical structures.

The worksheet on the next page provides space for you to list options for your system. List as many options as you can think of even if they do not seem feasible. An option that does not seem feasible in the near term may be more feasible in the longer term and other options may be more feasible when implemented in combination. You will assess each option in Step 5.

Some examples of strategic options appear in the box to the right. For additional ideas talk to your State or Regional Tribal Capacity Development Coordinator. Contact information appears in Appendices A and B.

## Strategic Options Examples

- ★ Purchase wholesale treated water while continuing to serve as a distributor
- ★ Build stakeholder involvement and community interest in source water protection program
- ★ Physically interconnect with another system
- ★ Develop an asset management plan and capital improvement plan, and research potential funding sources for infrastructure improvements
- ★ Contact local authorities to discuss working with system staff to conduct frequent patrols of the system and developing an Emergency Contact List



# Worksheet: Identifying Options

Area of Service	Options
<b>Source water development and protection</b>	
<b>Water treatment</b>	
<b>Treated water storage and distribution</b>	
<b>Retail customer services</b>	
<b>Security issues</b>	

## STEP 5: Analyzing and Assessing Your Options

In order to thoroughly assess your options and determine their feasibility, you must consider the long-term economic, regulatory, and implementation impacts the options will have on your system. Options can impact a technological aspect of your system (source water development and protection, treatment, storage and distribution) or an organizational aspect (retail customer services, operation and management, ownership).

Pursuing an option, or combination of options, could result in reorganization or a change to your ownership or management. Other options may be easily worked into the current structure and operating environment. The **optimal choice** is one that will achieve your goals at the lowest possible cost and allow you to succeed in a dynamic environment.

To fully assess each option, consider the following questions:

- How will this option affect the technical, managerial, and financial capacity of the system?
- Is the option consistent with your system's goals and values?
- Will implementing the option ensure continued compliance with current and future regulatory standards?
- Is the total cost of choosing and implementing this option within your system's current or potential financial means?
- Will the option be accepted by the governing board, town managers, the community, and regulators?
- Will the option increase the quality or reliability of service and be accepted by customers?
- Will the option positively or negatively impact system security?
- Can this option be practically implemented by water system managers and operators?



The following worksheet provides space for you to consider the pros and cons for each option you identified in the previous step. Remember to consider future challenges that your system may encounter such as increasing regulatory requirements and customer expectations, replacement and major rehabilitation of physical assets, and maintaining and upgrading security measures. Both a completed example and a blank table are provided.

Once you have made your choices, you may wish to go a step further and write up a formal strategic plan. Businesses typically develop formal strategic plans as a management tool to: develop goals towards which all employees can work; ensure that the company is achieving the highest performance standards possible; and guarantee success and adaptability in a changing business environment.<sup>5</sup>

<sup>5</sup> <http://www.allianceonline.org/faqs.html>

# Example Worksheet: Assessing Your Options

Area of Service	Options	Pros	Cons	Optimum Solution
Source water development and protection	Implement source water protection plan	Will lead to a better understanding of quality or safety concerns; ensures safe supply	Gathering community/system support could be difficult; costly and time-consuming; unknown contamination sources	Develop inventory of known and potential sources for contamination; build stakeholder involvement and community interest in source water protection program
	Develop alternative source of supply	Will lead to a better understanding of quality or safety concerns; ensures safe supply	System has had no significant water quality issues to date; up-front capital expenditures	
Water treatment	Continue with disinfection only	Least expensive option; effective to date	May not be sufficient for compliance with new regulations	Continue to use disinfection only; new source water protection measures will keep the system in compliance
	Purchase treated water	Option for complying with new regulations; will eliminate treatment costs and required plant modifications	Significant change to system's area of service; may increase costs	
Treated water storage and distribution	Increase storage capacity	Continued delivery to customers even if supply is disrupted	Need updated asset management plan to assess need; would require up-front capital expenditures	Complete asset management plan and capital improvement plan; research funding sources
Retail customer services	Partner with nearby system(s) for operation and management services	Potential cost savings for customers; no change in ownership	Loss of some autonomy for system managers, operators, and community	Use partnerships to increase efficiencies and reduce costs; develop oversight board to ensure autonomy and needed decision making authority
Security issues	Develop and implement a vulnerability assessment (VA) and ERP; begin frequent system patrols	Immediate response in emergency situations; discourages trespassing on system property or tampering with system infrastructure; eliminates threats to system security	Understaffed local authorities may not be able to patrol; with limited system staff, frequent patrols and proper system operation could be difficult; completing ERP/VA may require outside (e.g., consultant) assistance and up-front expenditure	Contact State Coordinator for more information on ERPs; meet with local authorities and system staff to discuss sharing patrol responsibility

# Worksheet: Assessing Your Options

Area of Service	Options	Pros	Cons	Optimum Solution
Source water development and protection				
Water treatment				
Treated water storage and distribution				
Retail customer services				
Security issues				

# STEP 6: Implementing Your Options

Strategic planning takes time and effort. It is important to realize however, that implementing the options you have selected will involve additional on-going commitments. You may need to gather additional technical, managerial, and financial resources which may require additional planning. You need to make sure that everyone involved in implementing the options (managers, operators, governing board, etc.), and everyone who will be affected by it (your customers, regulators, etc.), is committed to its success.

Implementing your options involves identifying challenges that could arise during and after implementation, and developing an action plan to address these challenges. This can include developing a time line of upcoming regulations; a schedule for monitoring and evaluating your system's technical, managerial, and financial progress; and plans for continuous improvement.

## To implement your chosen options, you need to develop an action plan. YOU MAY NEED TO:

- Provide special training for technical staff or management.
- Make personnel changes.
- Address new regulatory and legal requirements.
- Inform relevant parties of changes and garner support from regulators, system staff, managers, consumers, and the community.



- Obtain approvals, permits, and certifications from relevant authorities (e.g., from a PUC for a rate change).
- Re-examine your system's revenue-raising mechanisms.
- Find outside public or private sources to fund changes.

The following worksheet is designed to help identify potential challenges and develop an action plan to address obstacles to successful implementation. It provides space for describing your challenges and your plans for overcoming them. This worksheet will also help you set out a schedule for implementing your options. A completed example and a blank worksheet are provided.

# Example Worksheet: Implementation Action Plan and Challenges

Chosen Option	Required Actions <sup>1</sup>	Proposed Start/End Date <sup>2</sup>	Related Challenges <sup>3</sup>	Plans to Address Challenges <sup>4</sup>
Develop source water protection plan	Conduct and assess results of source water inventory	11/1/03 to 1/1/04	Limited staff resources to complete inventory; limited by personnel knowledgeable on potential security/contamination threats	Use available state resources (technical or financial assistance); look into possibility of countywide program or cooperation with nearby systems
	Identify potential contaminants and threats			
	Discuss follow-up actions	1/1/04 to Ongoing	Gathering stakeholder interest in follow-up actions; limited financial resources	Publicize source water protection efforts to gain community support for involvement in the program; investigate available state resources
	Meet with regulators and affected land owners			
Develop asset management plan	Train staff	1/1/04 to 3/1/04	Considerable time commitment; new process for system staff	Use existing guides to fully understand the process before getting started
	Conduct inventory			
	Secure additional funding			
Review current rates	Meet with public utility agency	3/1/04 to 4/1/04	Any rate changes will require PUC approval; rate-review process is cumbersome and expensive; rate increases will be unpopular	Consider alternatives like consolidation with another system, further reducing area of service, or seeking state or federal assistance
	Hold public meetings			
	Meet with neighbor system			
Begin frequent system patrols	Contact local authorities	11/1/03 to Ongoing	Limited financial resources and available time of authorities and system staff; familiarizing local law enforcement with critical system components	Contact State Coordinator for available resources on system security to educate local authorities and system staff on the importance of security; look into alarm system installation if system patrols cannot be conducted as often as desired
	Set up meeting with local authorities and system staff			
	Develop patrol schedule			

<sup>1</sup>Describe the steps that are required for implementation of each option. These might include key meetings, financing approvals, or any construction projects, for example. If there are multiple stages to completing your chosen option, you may want to group these actions accordingly.

<sup>2</sup>Enter the date on which you hope to start and finish the required action. If there is no specific date set, enter in a month or day by which you would like to have this part of the plan set in motion.

<sup>3</sup>Summarize any potential problems related to each required action. Think about these before the project begins, and make any changes or updates as the project progresses.

<sup>4</sup>Enter any ideas for overcoming potential problems or any problems already encountered. As your options are implemented and new or different challenges arise, edit your plans accordingly.

# Worksheet: Implementation Action Plan and Challenges

Chosen Option	Required Actions <sup>1</sup>	Proposed Start and Date <sup>2</sup>	Related Challenges <sup>3</sup>	Plans to Address Challenges <sup>4</sup>

<sup>1</sup>Describe the steps that are required for implementation of each option. These might include key meetings, financing approvals, or any construction projects, for example. If there are multiple stages to completing your chosen option, you may want to group these actions accordingly.

<sup>2</sup>Enter the date on which you hope to start and finish the required action. If there is no specific date set, enter in a month or day by which you would like to have this part of the plan set in motion.

<sup>3</sup>Summarize any potential problems related to each required action. Think about these before the project begins, and make any changes or updates as the project progresses.

<sup>4</sup>Enter any ideas for overcoming potential problems or any problems already encountered. As your options are implemented and new or different challenges arise, edit your plans accordingly.



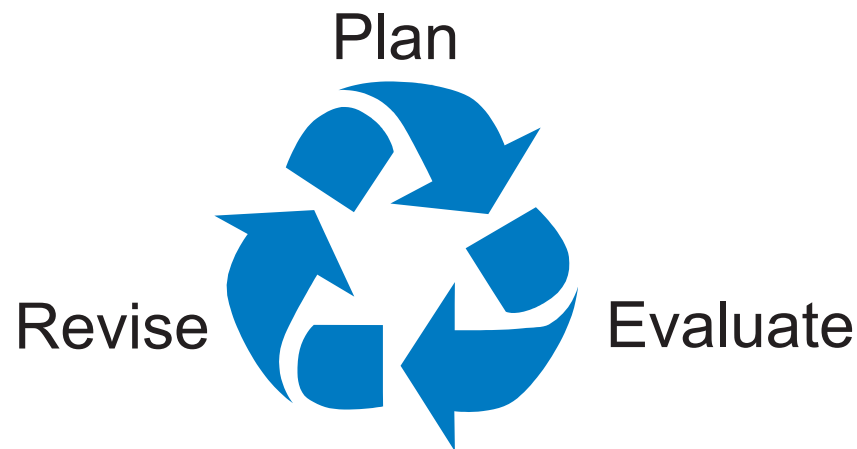
## STEP 7: Assess and Evaluate

Strategic planning helps you face an unpredictable future successfully. This does not mean that your current plan will address every circumstance or provide a solution for every challenge. There may be elements that don't work, or problems that arise that need additional analysis and action. Or, you may want to make changes if the results are not serving your system's or your customers' best interests.

On-going monitoring and evaluation will help you assess whether your system is operating the way you want it to. The worksheets in this guide should be reviewed, revised, and updated on no less than an annual basis to reflect any financial, managerial, technical, or strategic changes affecting your system.

Remember, strategic planning is a continuous process that can result in continuous improvements. The planning process and the values and goals that define your system should allow you to respond more effectively, quickly, and creatively in the future.

There are numerous tools and resources that can make strategic planning easier. The following Appendices provide a list of State and Regional Tribal Capacity Development Coordinator contacts and additional EPA resources that will help you navigate through the strategic planning process.



## Appendix A: Safe Drinking Water Act Primacy Agencies

For additional information or to learn more about the laws in your own state, please contact your EPA Regional Coordinator or State Drinking Water Agency.

<b>EPA Region 1</b>	<b><a href="http://www.epa.gov/region1/eco/drinkwater/index.html">www.epa.gov/region1/eco/drinkwater/index.html</a></b>	<b>(617) 918-1584</b>
<b>Connecticut</b> Department of Public Health: Drinking Water Division	<a href="http://www.dph.state.ct.us/BRS/water/dwd.htm">www.dph.state.ct.us/BRS/water/dwd.htm</a>	(860) 509-7333
<b>Maine</b> Maine Department of Human Services: Division of Health Engineering	<a href="http://www.state.me.us/dhs/eng/water/index.htm">www.state.me.us/dhs/eng/water/index.htm</a>	(207) 287-2070
<b>Massachusetts</b> Department of Environmental Protection: Drinking Water Program	<a href="http://www.state.ma.us/dep/brp/dws/dwshome.htm">www.state.ma.us/dep/brp/dws/dwshome.htm</a>	(617) 292-5770
<b>New Hampshire</b> Department of Environmental Services: Water Supply Engineering Bureau	<a href="http://www.des.state.nh.us/wseb/">www.des.state.nh.us/wseb/</a>	(603) 271-2513
<b>Rhode Island</b> Department of Health: Office of Drinking Water Quality	<a href="http://www.healthri.org/environment/dwq/Home.htm">www.healthri.org/environment/dwq/Home.htm</a>	(401) 222-6867
<b>Vermont</b> Department of Environmental Conservation: Water Supply Division	<a href="http://www.vermontdrinkingwater.org">www.vermontdrinkingwater.org</a>	(802) 241-3400

<b>EPA Region 2</b>	<b><a href="http://www.epa.gov/region02/water/drinkingwater/">www.epa.gov/region02/water/drinkingwater/</a></b>	<b>(212) 637-3879</b>
<b>New Jersey</b> Department of Environmental Protection: Bureau of Safe Drinking Water	<a href="http://www.state.nj.us/dep/watersupply/safedrnk.htm">www.state.nj.us/dep/watersupply/safedrnk.htm</a>	(609) 292-5550
<b>New York</b> Department of Public Health: Bureau of Public Water Supply Protection	<a href="http://www.health.state.ny.us/nysdoh/water/main.htm">www.health.state.ny.us/nysdoh/water/main.htm</a>	(518) 402-7650
<b>Puerto Rico</b> Department of Health: Public Water Supply Supervision Program	<a href="http://www.epa.gov/region02/cepd/prlink.htm">www.epa.gov/region02/cepd/prlink.htm</a>	(787) 977-5870
<b>Virgin Islands</b> Department of Planning and Natural Resources: Division of Environmental Protection	<a href="http://www.epa.gov/region02/cepd/vilink.htm">www.epa.gov/region02/cepd/vilink.htm</a>	(340) 773-1082

<b>EPA Region 3</b>	<a href="http://www.epa.gov/reg3wapd/">www.epa.gov/reg3wapd/</a>	<b>(215) 814-2300</b>
<b>Delaware</b> Delaware Health and Social Services: Division of Public Health	<a href="http://www.state.de.us/dhss/dph/hsp.htm">www.state.de.us/dhss/dph/hsp.htm</a>	(302) 739-5410
<b>District of Columbia</b> Environmental Health Administration: Water Resources Management Division	<a href="http://www.dcwasa.com/">www.dcwasa.com/</a>	(202) 535-2190
<b>Maryland</b> Department of the Environment: Public Drinking Water Program	<a href="http://www.mde.state.md.us/aboutmde/reports/index.asp">www.mde.state.md.us/aboutmde/reports/index.asp</a>	(410) 537-3002
<b>Pennsylvania</b> Department of Environmental Protection: Bureau of Water Supply Management	<a href="http://www.dep.state.pa.us/dep/deputate/watermgt/wsm/wsm.htm">www.dep.state.pa.us/dep/deputate/watermgt/wsm/wsm.htm</a>	(717) 787-5017
<b>Virginia</b> Department of Health: Division of Water Supply Engineering	<a href="http://www.vdh.state.va.us/ddw/index.htm">www.vdh.state.va.us/ddw/index.htm</a>	(804) 786-5566
<b>West Virginia</b> Bureau for Public Health: Environmental Engineering Department	<a href="http://www.wvdhhr.org/oehs/eed/">www.wvdhhr.org/oehs/eed/</a>	(304) 558-2981

<b>EPA Region 4</b>	<a href="http://www.epa.gov/region4/water/">www.epa.gov/region4/water/</a>	<b>(404) 562-9345</b>
<b>Alabama</b> Department of Environmental Management: Water Supply Branch	<a href="http://www.adem.state.al.us/WaterDivision/WaterDivisionPP.htm">www.adem.state.al.us/WaterDivision/WaterDivisionPP.htm</a>	(334) 271-7773
<b>Florida</b> Department of Environmental Protection: Drinking Water Section	<a href="http://www.dep.state.fl.us/water/drinkingwater/index.htm">www.dep.state.fl.us/water/drinkingwater/index.htm</a>	(850) 487-1762
<b>Georgia</b> Department of Natural Resources: Water Resources Branch	<a href="http://www.dnr.state.ga.us/dnr/environ/">www.dnr.state.ga.us/dnr/environ/</a>	(404) 656-4087
<b>Kentucky</b> Department of Environmental Protection: Drinking Water Branch	<a href="http://water.nr.state.ky.us/dw/">water.nr.state.ky.us/dw/</a>	(502) 564-3410
<b>Mississippi</b> Department of Health: Division of Water Supply	<a href="http://www.msdh.state.ms.us/watersupply/index.htm">www.msdh.state.ms.us/watersupply/index.htm</a>	(601) 576-7518
<b>North Carolina</b> Department of Environment and Natural Resources: Public Water Supply Section	<a href="http://www.deh.enr.state.nc.us/pws">www.deh.enr.state.nc.us/pws</a>	(919) 733-2321
<b>South Carolina</b> Department of Health and Environmental Control: Bureau of Water	<a href="http://www.scdhec.net/water/html/dwater.html">www.scdhec.net/water/html/dwater.html</a>	(803) 898-4300
<b>Tennessee</b> Department of Environment and Conservation: Division of Water Supply	<a href="http://www.state.tn.us/environment/dws/">www.state.tn.us/environment/dws/</a>	(615) 532-0191

<b>EPA Region 5</b>	<a href="http://www.epa.gov/r5water/">www.epa.gov/r5water/</a>	<b>(312) 886-4239</b>
<b>Illinois</b> Environmental Protection Agency: Division of Public Water Supplies	<a href="http://www.epa.state.il.us/water/index-pws.html">www.epa.state.il.us/water/index-pws.html</a>	(217) 785-8653
<b>Indiana</b> Department of Environmental Management: Drinking Water Branch	<a href="http://www.ai.org/idem/owm/dwb/index.html">www.ai.org/idem/owm/dwb/index.html</a>	(317) 308-3282
<b>Michigan</b> Department of Environmental Quality: Drinking Water and Radiological Protection Division	<a href="http://www.michigan.gov/deq">www.michigan.gov/deq</a>	(517) 335-9216
<b>Minnesota</b> Department of Health: Drinking Water Protection Section	<a href="http://www.health.state.mn.us/divs/eh/index.html">www.health.state.mn.us/divs/eh/index.html</a>	(651) 215-0770
<b>Ohio</b> Environmental Protection Agency: Division of Drinking and Ground Water	<a href="http://www.epa.state.oh.us/dsw/">www.epa.state.oh.us/dsw/</a>	(614) 644-2752
<b>Wisconsin</b> Department of Natural Resources: Bureau of Water Supply	<a href="http://www.dnr.state.wi.us/org/water/dwg/index.htm">www.dnr.state.wi.us/org/water/dwg/index.htm</a>	(608) 266-2299

<b>EPA Region 6</b>	<a href="http://www.epa.gov/region6/water">www.epa.gov/region6/water</a>	<b>(214) 665-2757</b>
<b>Arkansas</b> Department of Health: Division of Engineering	<a href="http://www.healthyarkansas.com/eng/index.html">www.healthyarkansas.com/eng/index.html</a>	(501) 661-2623
<b>Louisiana</b> Office of Public Health: Division of Environmental and Health Services	<a href="http://www.dhh.state.la.us/OPH/safewtr.htm">www.dhh.state.la.us/OPH/safewtr.htm</a>	(225) 765-5038
<b>New Mexico</b> Environment Department: Drinking Water Bureau	<a href="http://www.nmenv.state.nm.us/dwb/dwbttop.html">www.nmenv.state.nm.us/dwb/dwbttop.html</a>	(505) 827-7536
<b>Oklahoma</b> Department of Environmental Quality: Water Quality Division	<a href="http://www.deq.state.ok.us/WQDnew/index.htm">www.deq.state.ok.us/WQDnew/index.htm</a>	(405) 702-8100
<b>Texas</b> Texas Commission on Environmental Quality: Water Supply Division	<a href="http://www.tnrc.state.tx.us/permitting/waterperm/pdw/pdw000.html">www.tnrc.state.tx.us/permitting/waterperm/pdw/pdw000.html</a>	(512) 239-6096

<b>EPA Region 7</b>	<a href="http://www.epa.gov/region7/water/dwgw.htm">www.epa.gov/region7/water/dwgw.htm</a>	<b>(913) 551-7030</b>
<b>Iowa</b> Department of Natural Resources: Water Supply Section	<a href="http://www.state.ia.us/epd/wtrsuply/wtrsup.htm">www.state.ia.us/epd/wtrsuply/wtrsup.htm</a>	(515) 725-0275
<b>Kansas</b> Department of Health and Environment: Public Water Supply Section	<a href="http://www.kdhe.state.ks.us/pws/">www.kdhe.state.ks.us/pws/</a>	(785) 296-5514
<b>Missouri</b> Department of Natural Resources: Public Drinking Water Program	<a href="http://www.dnr.state.mo.us/wpscd/pdwp/homepdwp.htm">www.dnr.state.mo.us/wpscd/pdwp/homepdwp.htm</a>	(573) 751-5331
<b>Nebraska</b> Department of HHS Regulation and Licensure	<a href="http://www.hhs.state.ne.us/enh/enhindex.htm">www.hhs.state.ne.us/enh/enhindex.htm</a>	(402) 471-2541

<b>EPA Region 8</b>	<a href="http://www.epa.gov/region08/water/">www.epa.gov/region08/water/</a>	<b>(303) 312-7021</b>
<b>Colorado</b> Department of Public Health and Environment: Drinking Water Program	<a href="http://www.cdphe.state.co.us/wq/wqhom.asp">www.cdphe.state.co.us/wq/wqhom.asp</a>	(303) 692-3500
<b>Montana</b> Department of Environmental Quality: Public Water Supply Section	<a href="http://www.deq.state.mt.us/wqinfo/index.asp">www.deq.state.mt.us/wqinfo/index.asp</a>	(406) 444-3080
<b>North Dakota</b> Department of Health: Division of Municipal Facilities	<a href="http://www.ehs.health.state.nd.us/ndhd/environ/mf/i/index.htm">www.ehs.health.state.nd.us/ndhd/environ/mf/i/index.htm</a>	(701) 328-5211
<b>South Dakota</b> Department of Environment and Natural Resources: Drinking Water Program	<a href="http://www.state.sd.us/denr/des/drinking/dwprg.htm">www.state.sd.us/denr/des/drinking/dwprg.htm</a>	(605) 773-3754
<b>Utah</b> Department of Environmental Quality: Division of Drinking Water	<a href="http://www.deq.state.ut.us/eqdw/Index.htm">www.deq.state.ut.us/eqdw/Index.htm</a>	(801) 536-4200
<b>Wyoming</b> EPA Region VIII: Wyoming Drinking Water Program	<a href="http://www.epa.gov/region08/water/dwhome/wycon/wycon.html">www.epa.gov/region08/water/dwhome/wycon/wycon.html</a>	(303) 312-6312

<b>EPA Region 9</b>	<a href="http://www.epa.gov/region9/water/index.html">www.epa.gov/region9/water/index.html</a>	<b>(415) 744-1884</b>
<b>American Samoa</b> Environmental Protection Agency: American Samoa	<a href="http://www.epa.gov/Region9/cross_pr/islands/samoa.html">www.epa.gov/Region9/cross_pr/islands/samoa.html</a>	(415) 744-2170
<b>Arizona</b> Department of Environmental Quality: Drinking Water Monitoring and Assessment Division	<a href="http://www.adeq.state.az.us/environ/water/dw/index.html">www.adeq.state.az.us/environ/water/dw/index.html</a>	(602) 207-4644
<b>California</b> Department of Health Services: Division of Drinking Water and Environmental Management	<a href="http://www.dhs.cahwnet.gov/org/ps/ddwem/">www.dhs.cahwnet.gov/org/ps/ddwem/</a>	(916) 323-6111
<b>Guam</b> Guam Environmental Protection Agency	<a href="http://www.epa.gov/region09/cross_pr/islands/guam.html">www.epa.gov/region09/cross_pr/islands/guam.html</a>	(671) 472-8863
<b>Hawaii</b> Department of Health: Environmental Management Division	<a href="http://www.hawaii.gov/health/eh/sdwb/index.html">www.hawaii.gov/health/eh/sdwb/index.html</a>	(808) 586-4258
<b>Nevada</b> Department of Human Resources: Bureau of Health Protection Services	<a href="http://www.health2k.state.nv.us/bhps/phe/sdwp.htm">www.health2k.state.nv.us/bhps/phe/sdwp.htm</a>	(775) 687-6615

<b>EPA Region 10</b>	<a href="http://www.epa.gov/region10/">www.epa.gov/region10/</a>	<b>(206) 553-1389</b>
<b>Alaska</b> Department of Environmental Conservation: Drinking Water and Wastewater Program	<a href="http://www.state.ak.us/dec/deh/safewater.htm">www.state.ak.us/dec/deh/safewater.htm</a>	(907) 269-7653
<b>Idaho</b> Department of Environmental Quality: Water Quality Division	<a href="http://www2.state.id.us/deq/water/water1.htm">www2.state.id.us/deq/water/water1.htm</a>	(208) 373-0502
<b>Oregon</b> Department of Human Resources: Drinking Water Program	<a href="http://www.ohd.hr.state.or.us/dwp/index.htm">www.ohd.hr.state.or.us/dwp/index.htm</a>	(503) 731-4317
<b>Washington</b> Department of Health: Drinking Water Division	<a href="http://www.doh.wa.gov/ehp/dw/">www.doh.wa.gov/ehp/dw/</a>	(360) 236-3096

## Appendix B: Tribal Contacts

For additional information or to learn more about the laws governing your Tribe, use the contact information provided in this Appendix.

US EPA Headquarters		
American Indian Environmental Office	<a href="http://www.epa.gov/indian">www.epa.gov/indian</a>	(202) 564-0303
US EPA Regional Tribal Capacity Development Coordinators		
EPA Region 1	<a href="http://www.epa.gov/region01/topics/government/tribal.html">www.epa.gov/region01/topics/government/tribal.html</a>	(888) 372-7341
EPA Region 2	<a href="http://www.epa.gov/region02/nations/index.html">www.epa.gov/region02/nations/index.html</a>	(212) 637-3600
EPA Region 4	<a href="http://www.epa.gov/region04/ead/indian/index.htm">www.epa.gov/region04/ead/indian/index.htm</a>	(404) 562-6939
EPA Region 5	<a href="http://www.epa.gov/region5/water/stpb">www.epa.gov/region5/water/stpb</a>	(312) 353-2123
EPA Region 6	<a href="http://www.epa.gov/region06/6xa/tribal.htm">www.epa.gov/region06/6xa/tribal.htm</a>	(800) 887-6063
EPA Region 7	<a href="http://www.epa.gov/region07/government_tribal/index.htm">www.epa.gov/region07/government_tribal/index.htm</a>	(913) 551-7030
EPA Region 8	<a href="http://www.epa.gov/region08/tribes">www.epa.gov/region08/tribes</a>	(303) 312-6116
EPA Region 9	<a href="http://www.epa.gov/region09/cross_pr/indian/index.html">www.epa.gov/region09/cross_pr/indian/index.html</a>	(415) 744-1500
EPA Region 10	<a href="http://yosemite.epa.gov/r10/tribal.NSF/webpage/tribal+office+homepage?opendocument">yosemite.epa.gov/r10/tribal.NSF/webpage/tribal+office+homepage?opendocument</a>	(206) 553-4011
Other Contacts		
Administration for Native Americans	<a href="http://www.acf.dhhs.gov/programs/ana/">www.acf.dhhs.gov/programs/ana/</a>	(877) 922-9262
Bureau of Indian Affairs	<a href="http://www.doi.gov/bureau-indian-affairs.html">www.doi.gov/bureau-indian-affairs.html</a>	(202) 208-3710
Indian Health Services	<a href="http://www.ihs.gov">www.ihs.gov</a>	(301) 443-3024
Native American Water Association	<a href="http://www.nawainc.org">www.nawainc.org</a>	(775) 782-6636



## Appendix C: Other STEP Guide Documents

This brochure is one in a series of Simple Tools for Effective Performance (STEP) documents for small drinking water systems. The STEP documents can be obtained from EPA by calling the Safe Drinking Water Hotline at (800) 426-4791 and requesting the document by its publication number. The documents can also be found at [www.epa.gov/safewater/smallsys/ssinfo.htm](http://www.epa.gov/safewater/smallsys/ssinfo.htm).

### AVAILABLE NOW

#### *A Small Systems Guide to the Total Coliform Rule (TCR)*

This workbook is designed to help small systems understand the TCR and the mandatory monitoring required under the rule. The workbook provides sample worksheets to help systems organize and track TCR monitoring data, and provides appropriate follow-up actions should monitoring show a positive presence of coliform.

Publication number EPA 816-R-01-017A

Published: June 2001

#### *Safe Drinking Water Act (SDWA) Regulation Overview Brochure for Small Systems*

This brochure summarizes SDWA regulations that currently exist, are proposed, or are under development that affect or will affect small water systems. The brochure emphasizes how the regulations relate to each other, and explains the multi-barrier approach to microbial and chemical/radiological risks and how SDWA regulations fit into this type of framework.

Publication number EPA 816-R-03-017

Published: September 2003

#### *Complying With the Revised Drinking Water Standard for Arsenic: Small Entity Compliance Guide*

This workbook is designed to help systems understand and achieve compliance with the Arsenic Rule. The workbook provides sample worksheets to help systems organize data, and provides guidance for small systems on their selection of appropriate compliance options.

Publication number EPA 816-R-02-008A

Published: August 2002

#### *Asset Management Workbook*

This workbook will guide small systems through the process of developing an asset management plan and includes worksheets on completing a thorough asset inventory; prioritizing the rehabilitation and replacement of your assets; developing a simple asset management plan; and carrying out the plan. The workbook also provides information about how asset management can help improve your system's financial health and ability to provide safe drinking water.

Publication number EPA 816-R-03-016

### UNDER DEVELOPMENT

#### *Disinfectants/Disinfection By-Products (D/DBP) Rule Workbook*

#### *Rate-Setting: A Handbook for Small Systems*

#### *Restructuring: A Handbook for Small Systems*