

*Florida's Strategy to Improve Public Water Supply*

**Division of Water Resource Management**

**Florida Department of Environmental Protection**

**September 2017**



**Table of Contents**

<b>Executive Summary .....</b>	<b>1</b>
<b>Introduction.....</b>	<b>2</b>
<b>Public Drinking Water System Supervision Program Implementation .....</b>	<b>5</b>
Capacity Development Program for New Public Water Systems .....	5
Public Water System Supervision Program Enhancements Relating to the Capacity Development Strategy for Existing Public Water Systems.....	7
Water System Inspection Program .....	7
Technical Assistance - Florida Rural Water Association .....	9
DEP Drinking Water and Aquifer Protection Program (DWAP) Capacity Development: 2013 Revitalization Initiative .....	14
<b>Recommendations and Conclusions.....</b>	<b>15</b>
<b>Appendix A: Contact Information .....</b>	<b>16</b>
<b>Appendix B: DEP Form 62-555.900(20) – New Water System Capacity Development Financial and Managerial Operations Plan .....</b>	<b>19</b>
<b>Appendix C: Florida Rural Water Association Activities.....</b>	<b>22</b>

## ***Executive Summary***

As part of its responsibility as the U.S. Environmental Protection Agency's (EPA) local administrator of the federal Safe Drinking Water Act (SDWA)<sup>1</sup>, the Florida Department of Environmental Protection (DEP) is required to submit a report to the Governor that describes how the agency has been implementing an assistance program called the Capacity Development Program for drinking water facilities in the state. This report is intended to demonstrate the efficacy of DEP's Capacity Development Strategy, as well as to highlight the progress made toward improving the technical, managerial and financial capacities of public water systems in Florida.

One component of the Capacity Development Program examines proposed new facilities and their potential technical, managerial and financial capacity to successfully operate and maintain a system, and deliver clean drinking water to the public they serve. Permit approval for new facilities is based upon each system's ability to demonstrate adequate capacity development.

Another main component of the Capacity Development Program is assistance to small drinking water systems to improve their ability to operate in compliance with the federal and state<sup>2</sup> SDWA. For instance, the Department is responsible for performing sanitary surveys and compliance inspections on all public water systems to ensure each system is (1) running efficiently; and (2) providing safe, quality drinking water to residents and visitors in Florida. Based on observations made during these inspections, follow-up actions may include a combination of enforcement and referral to technical assistance providers that, in turn, work with the individual utilities to bring the systems back into compliance.

DEP utilizes several sources to serve as technical assistance providers, including working closely with certified operators, professional engineers, and training professionals from the Florida Rural Water Association (FRWA). These individuals visit hundreds of small drinking water plants each year to assist in identifying and eliminating potential problems *before* they affect the facility's performance, and work with facilities to improve the operation of their systems so that they may achieve compliance.

For more information, please visit [DEP's website](#) and [EPA's website](#).

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<sup>1</sup> 40 C.F.R. §§ 141-149 (2017).

<sup>2</sup> Fla. Stat. §§ 403.850-403.854.

## ***Introduction***

Pursuant to the Safe Drinking Water Act Amendments of 1996, Section 1420(c)(3)<sup>3</sup>, states are required to, "...submit to the Governor a report that shall also be available to the public on the efficacy of the strategy and progress made toward improving the technical, managerial, and financial capacity of public water systems in the State." The first such report was delivered to Governor Jeb Bush in 2005. The second report was submitted to Governor Charlie Crist in 2008. The third and fourth reports were submitted to Governor Rick Scott in 2011 and 2014, respectively. This is the fifth report of this series, and is due September 30, 2017.

Technical capacity refers to the provision and operation of source, treatment, storage, pumping, and distribution structures. Managerial capacity includes the institutional and administrative capabilities enabling a water system to conduct its affairs such that the system achieves and maintains compliance with requirements. Managerial capacity can be assessed by evaluating such issues as: adequacy of maintenance of equipment and records, operating procedures, staffing, and relationships with customers and other outside entities. Financial capacity is the ability of a water system to acquire and manage sufficient financial resources to enable the system to achieve and maintain compliance with requirements.

EPA defines "capacity development" as "a process for water systems to acquire and maintain adequate technical, managerial and financial (TMF) capacity."<sup>4</sup> TMF capacity enables water systems to have the capability to consistently provide safe drinking water to the public."

The 1996 amendments to the SDWA also provided for two categories of effort involving capacity development: New Systems Capacity Development and the Capacity Development Strategy for Existing Systems. New Systems Capacity Development is described in the Capacity Development Program for New Public Water Systems subsection of this report and is part of Florida's overall Capacity Development Strategy for new and existing systems.

The Public Water System Supervision (PWSS) Program within DEP submitted its Capacity Development Strategy to EPA in May 2000 and it was approved in September 2000. Florida's strategy involves a wide-ranging set of programs and activities to help ensure that public water systems improve

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<sup>3</sup> Pub.L. 104-182, 110 Stat. e. "Safe Drinking Water Act Amendments of 1996." (1996).

<sup>4</sup> EPA, *Building the Capacity of Drinking Water Systems*, <https://www.epa.gov/dwcapacity/learn-about-small-drinking-water-systems> (last visited Sept. 22, 2017).

their technical, managerial and financial capabilities. Many of the organizations and programs included in the strategy existed before the formal Capacity Development Program was established. The following organizations and programs have been instrumental in implementing Florida's Capacity Development Strategy since initial EPA approval:

- Florida Department of Health (DOH) Public Drinking Water Program
- Florida Rural Water Association (FRWA)
- DEP Drinking Water State Revolving Fund Program (DEP-DWSRF)
- DEP Certification and Restoration Program
- Florida Public Service Commission (PSC)
- Florida's Water Management Districts
- Florida Department of Economic Opportunity, Small Cities Community Development Block Grant Program
- Florida Division of Emergency Management
- DEP Plant Operations Excellence Awards

Contact information for the above entities is included in Appendix A. Additional information is available on DEP's Division of Water Resource Management web page: <https://floridadep.gov/water>.

Some of Florida's actions to assist existing systems are described in the "Public Water System Supervision Program Enhancements Relating to the Capacity Development Strategy for Existing Public Water Systems" subsection of this report.

For the purposes of this report, the term "Department" refers to the organizations that administer the PWSS Program: DEP's Drinking Water and Aquifer Protection Program, DOH's headquarters office, and the eight approved DOH County Health Departments that have received delegation to administer the program in their counties.

Systems referred to as "Subpart H" systems are those regulated under 40 CFR § 141.3 and use surface water or groundwater under the direct influence of surface water. In general, water under the direct influence of surface water is not sufficiently protected from contamination by surface water. Direct

influence is determined for individual sources in accordance with criteria established by DEP in Rule 62-555.817 Florida Administrative Code (F.A.C.).

## ***Public Drinking Water System Supervision Program Implementation***

### **Capacity Development Program for New Public Water Systems**

Capacity development is an initiative to ensure that drinking water systems acquire and maintain adequate technical, managerial and financial capabilities to enable them to consistently provide safe drinking water.

When amending the SDWA in 1996, Congress mandated that states set up programs to ensure the capacity of new community water systems (CWSs) and new non-transient, non-community water systems (NTNCs).<sup>5</sup> In general, CWSs serve year-round residents, and NTNCs typically serve businesses and schools. Florida's program fulfills the congressional requirement.

Consistent with the EPA definition of "new system," paragraphs 62-555.525(1)(a) and (b), F.A.C. define "new systems" for purposes of capacity development as follows:

- Entirely new CWSs or NTNCWSs constructed, or commencing operations, on or after October 1, 1999; and
- Water systems that previously did not meet the definition of a CWS or NTNC, but that grow to become a CWS or NTNC through an infrastructure expansion constructed, or placed into operation, on or after October 1, 1999. Water systems that previously did not meet the definition of a CWS or the definition of an NTNCWS but that grow to become a CWS or NTNCWS by adding users without expanding their infrastructure are not considered "new systems" for the purposes of capacity development.

Florida's program requires that new NTNCs and new CWSs undergo a capacity assessment by the Department. Affected systems must demonstrate acceptable capacity in order to receive a construction permit or clearance for use.

The following excerpt from subsection 62-555.525(3), F.A.C., includes the fundamental requirements that new water systems must meet for purposes of the Capacity Development Program:

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<sup>5</sup> 42 U.S.C. § 300g-9 (2017).

*(3) Demonstrations of financial, managerial, and technical capacity for “new systems” shall contain the following:*

*(a) Documentation that the owner of the “new system” holds, or will hold, an operator license sufficient to fulfill the staffing requirements in Chapter 62-699, F.A.C., or that the “new system” employs, or will employ, licensed operators to fulfill the staffing requirements in Chapter 62-699, F.A.C.*

*(b) A demonstration that the “new system” has, or will have, the capability to conduct the monitoring and reporting required under Chapter 62-550, F.A.C., and the capability to maintain the records required under Chapter 62-550, F.A.C.*

*(c) A demonstration that the “new system” has, or will have, the capability to meet the operation and maintenance requirements in this chapter.*

*(d) A demonstration of financial and managerial capacity.*

A summary of the requirements of Florida's New Systems Capacity Development Program<sup>6</sup> for typical cases follows:

- New CWSs and NTNCs are subject to an assessment of their capacity as part of the permitting process. Technical capacity is assessed through review of engineering documentation during the construction permitting process. The Department will deny the permit application of any system that does not document acceptable technical capacity. Financial and managerial capacities are assessed through review of a required Financial and Managerial Operation Plan. (A copy of the form used to prepare this Plan is included in this report as Appendix B).
- The Department inspects each newly constructed CWS and NTNC for compliance with drinking water rules before allowing it to begin operation; no system is allowed to operate until any deficiencies are corrected.
- CWSs and NTNCs that began operating on or after October 1, 1999, were required to submit an updated Capacity Development Financial and Managerial Operation Plan to the Department

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<sup>6</sup> Florida Dept. of Env. Protection, *Capacity Development*, <https://floridadep.gov/water/source-drinking-water/content/new-systems-capacity-development-program> (last visited September 22, 2017).



three years after operations begin.

- Systems regulated by the PSC, which already imposes equivalent financial requirements, are not required to complete additional financial information for the Department.

As noted above, the Department will deny the construction permit for a drinking water system, or will not otherwise allow that system to operate, if it fails to demonstrate acceptable capacity. New systems must submit an updated Financial and Managerial Operation Plan three years after the commencement of operations to demonstrate that it has maintained adequate capacity.<sup>7</sup> DEP's rules also require a capacity demonstration by new systems that change ownership.<sup>8</sup> Systems not meeting capacity requirements will be subject to enforcement.

## **Public Water System Supervision Program Enhancements Relating to the Capacity Development Strategy for Existing Public Water Systems**

### **Development Strategy for Existing Public Water Systems**

As of June 22, 2017, there were 5,216 active public water systems in Florida: 1,628 CWSs; 768 NTNCs; and 2,820 transient, non-community water systems (TNCs). The Department conducts activities to assist all of Florida's public water systems in complying with rules and regulations. These activities include water system inspections, technical assistance by both the Department and the FRWA, and the EPA Region 4 Area-Wide Optimization Program.

### **Water System Inspection Program**

DEP's sanitary survey process aids public water systems in achieving and maintaining capacity. In accordance with the federal and state SDWAs and grant conditions,<sup>9</sup> the Department is responsible for performing sanitary surveys on CWSs and NTNCs every three years, and on TNCs every five years. As a programmatic PWSS goal, the Drinking Water and Aquifer Protection Program strives to conduct a compliance inspection every year during the years between sanitary surveys.

40 CFR § 142.16(b)(3) contains requirements for enhanced sanitary surveys for Subpart H systems. Again, these are systems that use or treat surface water either directly or from groundwater wells

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<sup>7</sup> Rule 62-555.345, F.A.C.

<sup>8</sup> Rule 62-555.357(3), F.A.C.

<sup>9</sup> Rule 62-550.817, F.A.C.

deemed “under the direct influence” of surface water. The first round of enhanced sanitary surveys began in September 2002.

During a sanitary survey, Department inspectors are required to inspect and address the following eight elements:

1. Source;
2. Treatment;
3. Distribution system;
4. Finished water storage;
5. Pumps, pump facilities, and controls;
6. Monitoring and reporting and data verification;
7. System management and operation; and
8. Operator compliance with state requirements.

The Department’s sanitary survey inspections for groundwater systems are regulated under 40 CFR § 142.16(o)(2)(iii), and by the Drinking Water State Revolving Fund grant conditions. Surveys are performed using a format that now includes these eight federally-specified elements. To formalize ground water survey requirements, DEP has adopted and incorporated the federal Ground Water Rule<sup>10</sup> into Rule 62-550.828, F.A.C. The Drinking Water and Aquifer Protection Program has also identified deficiencies deemed to be “significant,” and administers, where appropriate, the rigorous corrective action procedures specified in 40 CFR § 141.31(d).

The elements of the Department’s compliance inspections differ from system to system, dependent upon system type, size, complexity, and compliance history. Generally, they are conducted in less depth than a sanitary survey, and include an assessment of at least the following:

1. Compliance issues;
2. Sanitary hazards;
3. Wells and pumps;
4. Treatment (primarily disinfection);
5. Operations and maintenance; and

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<sup>10</sup> 71 FR 65574 (2006).

## 6. Water quality.

The Department furnishes the system with a record of the inspection results along with recommendations. If there are deficiencies, the length of time the system is given to correct those deficiencies is stated. If the system does not correct the stated deficiencies within the allotted time, the Department begins enforcement to ensure the deficiencies are corrected. In most cases, systems correct deficiencies soon after they are notified. Systems use the inspection results and the Departments' technical and regulatory expertise and recommendations as resources as they continually improve. For instance, Department representatives may provide advice on water quality sampling or other topics, or refer the system to FRWA for assistance in setting rates, board member training, or how to use management tools such as the Check Up Program for Small Systems Asset Management, a software program for small systems.

The inspection program, which is continually being improved, is a significant tool the Department uses to ensure the capacity of public water systems. This system is. Week-long training sessions, including on-site work, are held annually for all interested inspectors. The sanitary survey forms are regularly revised with capacity development in mind. Internal audits of each office's inspection programs are performed annually.

In relation to DEP's capacity development efforts, guidance has been developed that systems whose sanitary survey inspection results are "out of compliance" must be referred to the FRWA if the inspector determines that the system might benefit from technical assistance.<sup>11</sup> This requirement helps ensure that the FRWA will have the opportunity to assist the systems most in need.

### **Technical Assistance - Florida Rural Water Association**

Since 1990, FRWA has been under DWSRF grant or contract to DEP to provide technical assistance to public water systems serving less than 10,000 persons. Originally, there were only three FRWA Drinking Water "Circuit Riders" providing this technical assistance. Over the years, additional positions have been added and FRWA currently serves these small systems with six Circuit Riders, one Professional Engineer, an Assistant Engineer, one Trainer, a State Source Water Technician, a State Ground Water Technician, and supporting financial/managerial staff. Appendix C includes a description

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<sup>11</sup> Florida Dept. of Env. Protection, *New Water System Capacity Development Planning Manual*, at <https://floridadep.gov/water/source-drinking-water/documents/new-water-system-capacity-development-manual> (last visited Sept. 22, 2017).

of activities performed for DEP by FRWA under a grant agreement. This summary demonstrates that FRWA makes many important contributions to DEP's permitting, compliance, and enforcement activities. For example, systems have the opportunity to work with FRWA to resolve potential compliance problems before they impact the environment or the safety of Florida's residents.

The services provided under a grant agreement with DEP are free to public water systems, with a few exceptions, such as loaning of equipment. Systems may request assistance directly from FRWA, FRWA may volunteer to help systems, or DEP may refer systems to FRWA for assistance. It is not necessary for a system to be a member of FRWA to receive assistance under DEP's grant agreement.

Each month, the FRWA Circuit Riders travel to water systems throughout the state. Circuit Riders are certified operators and the assistance they provide usually relates to the technical aspects of water system operations. They also provide assistance with rate studies and other financial or managerial matters. Most Circuit Rider technical assistance visits are related to helping water systems remain in or achieve compliance. From June 2016 through May 2017, the Circuit Riders made 3,343 technical assistance visits.

The FRWA Water Trainer position provides comprehensive technical assistance and training to water systems using surface water and groundwater systems with complex treatment. From June 2016 through May 2017, this position has:

- Developed, established, and held more than 96 in-person water treatment plant operator sessions for ground water and surface water plants, with 3,674 attendees earning Continuing Education Units for 1,662 operators to help them maintain their operator licenses. These sessions help reduce the shortage of effective, water treatment operators at facilities and support protection of public health.
- Developed, established and held 10 water distribution operator training sessions, including four Drinking Water Certification Review classes.
- Developed an initial plan to train operators on how to evaluate and calculate compliance with the new disinfection requirements in subsection 62-555.350(6), F.A.C.
- Assisted DEP in the evaluation of disinfection byproducts compliance issues.

FRWA's Financial and Managerial staff provide assistance with financial and managerial capacity development. From June 2016 through May 2017, this staff has:

- Certified seven utility professionals under the [Water University/National Rural Water Association Utility Management Certification Program](#) for improving managerial capacity, competency, and effectiveness among utility managers (Note: this program was established in 2010).
- Utilized experienced and effective professionals to provide in-person training for board members to increase their competency and understanding of fiduciary responsibilities necessary to provide the public with safe and reliable drinking water.
- Developed and held five asset-management workshops to increase knowledge of preventative maintenance and prudent safeguarding of public infrastructure.
- Developed, established and published standard utility management policies for setting policies and procedures that enable utilities to fulfill their missions.
- Assisted numerous systems in setting rates and impact fees that account for actual cost of services and provided for continuing preventative maintenance without relying on governmental grants/loans to replace infrastructure.
- Prepared water audits (analyses of water losses and unaccounted-for water) at 27 systems to reduce the potential for lost revenues.
- Assisted systems in finding dependable sources for grants and loans for utility projects, including short-term, interim and long-term financing options. Project sponsors may fax a completed Drinking Water Project Request Form (available on the FRWA website) to FRWA staff. FRWA leads a funding group comprised of representatives from funding authorities, such as the Florida Small Cities Community Development Block Grant (CDBG) Program, DEP-DWSRF, U.S. Department of Agriculture Rural Development (USDA-RD), and FRWA. The FRWA Loan Program provides interim construction funding for communities that have received a permanent loan commitment from USDA-RD or DEP-DWSRF. The funding entities meet quarterly, then the appropriate entity contacts each applicant.
- Assisted with long-range planning/capacity analysis for seven systems. This is the evaluation of

remaining treatment capacity as a management tool to address timing of future expansions, regulatory compliance, impact fees, planning, funding, engineering design, permitting and construction.

- Provided assistance with a myriad of utility operation and compliance assistance concerns to help utilities stay effective, including:
  - Customer relations/services;
  - Public notices;
  - Consumer confidence reports;
  - Operation and maintenance manuals;
  - Emergency response planning; and
  - New management tools and software.

From June 2016 through May 2017, FRWA's source and ground water technicians encouraged water conservation and implementation recommendations through source water and wellhead plans at 115 systems. They provide in their plans: Best Management Practices (BMPs) for contaminants that are in source water protection areas; proper septic tank preventative maintenance information; information on household hazardous materials; information on the best fertilizers to prevent pollution of our waters; assistance and information for motor oil recycling days; assistance and information for prescription drug take-back days; and how to properly dispose of unused prescription drugs.

Two engineering positions assist approximately 104 water systems statewide annually. They face challenges related to minor permitting, compliance, water quality, security, health, environmental issues, capacity analysis, areas of operation, maintenance and management, and issues related to providing safe, ample, and reliable water to all people in Florida.

Activities include:

- Assisting with water resource development, alternative water supply projects, and water supply and treatment issues.
- Assisting in compliance with SDWA and federal and state rules, including providing regulatory updates and assistance.
- Designing and permitting projects for small drinking water systems to correct capacity development

or compliance problems.

- Reviewing plans and specifications submitted to DEP-DWSRF for cost effectiveness and efficiency.
- Providing technical advice on water treatment, water quality, and hydraulics, and troubleshooting system problems.
- Assisting with utility capital improvement planning, feasibility, cost estimates, emergency response planning, asset management, preventative maintenance, operation and maintenance, conservation and customer relations/services.

As an indication of their workload, the two FRWA engineers assisted systems on 132 projects from June 2016 through May 2017, including completing multiple projects for the same system.

Between June 2016 and May 2017, the FRWA held 96 in-person training sessions with 3,674 attendees. Available training sessions are listed on the [FRWA website](#). Examples of training session currently provided include: Financial Resiliency for Small Water Systems; Effective Utility Management; Water Distribution Certification; and Comprehensive Safety Training. Examples of online courses currently offered for operators include: Advanced Math; Applied Confined Space Safety, Basic Environmental Chemistry; Chemical Feed Systems and Pump Calibrations; Chlorinator Maintenance; Corrosion Control Treatment Optimization; Disinfection Byproducts; Drinking Water Filtration; Hazard Communications; Maintaining Water Quality in the Distribution System; Small Water Systems; Surface Water Treatment; and Valve and Hydrant Maintenance. Examples of other online courses currently offered include: Basic Board and Council Training and Basic Clerk Training. In addition to providing training itself, FRWA also partners with industry associations, universities, and other agencies to develop and provide additional training.

FRWA coordinates with DEP staff to produce the annual “Focus on Change” seminar series. This series of single-day conferences held throughout the state provides an expanse of information for attendees. DEP representatives present information on the latest regulatory changes and provisions, and representatives from DEP and other entities hold both joint and break-out sessions on pertinent topics, such as disaster preparedness and disinfection calculation. The 2017 Focus on Change seminars took place in six cities (Pompano Beach, Punta Gorda, Ocala, Haines City, Lake City, and Panama City) and drew 1,245 attendees.

FRWA helps water systems improve their capacities through work performed under funding from entities other than DEP. DEP occasionally recommends that the FRWA provide capacity development related services through these alternate funding sources. Entities other than DEP providing funding to FRWA include various FRWA members, National Rural Water Association, EPA, and USDA-RD.

FRWA also employs a Training/Technical Assistance Specialist, funded by EPA, who conducts training sessions on compliance subjects throughout the state. An excerpt from a [September 2016 letter of appreciation](#) from the Chairman of FRWA member Alligator Point Water Resources District states, "We can never say thank you enough for everything that FRWA does for Alligator Point. Our FRWA dues are some of the best money that we spend each year. We certainly get a very high return on that investment."

### **DEP Drinking Water and Aquifer Protection Program (DWAP) Capacity Development: 2013 Revitalization Initiative**

As a follow-up to the April 2013 Capacity Development Revitalization Initiative by DWAP to improve the capacity of both existing and new systems, a workgroup was formed including representatives from DEP district offices and DOH County Health Departments, FRWA, PSC, DEP-DWSRF, and DWAP's Operator Certification staff. The group was charged with making and implementing improvements to DEP's Capacity Development Strategies.

Workgroup meetings were held in April, July, and August of 2013. The group's final recommendations (listed in the 2014 triennial report) included:

1. Modification to permit specific conditions for new systems;
2. Modification to the construction permit capacity development form, demonstrating a new system has the required technical, managerial and financial capacity;
3. Modification to the referral system of problem systems to the FRWA;
4. Development of checklists for new systems dealing with the SDWA minimum requirements;
5. Development of frequently asked questions and answers;
6. Development of new reference materials for systems on burden reduction opportunities;
7. Publication of several articles in DEP's *Floridan* newsletter about burden reductions and the CD changes noted above;



8. Development of an automated three-year reminder system for Department field offices for the follow-up capacity development demonstrations required under the SDWA;
9. Initiation of working with organizations to promote opportunities for Florida's veterans of the U.S. Armed Forces in the water arena; and
10. Enhancement of DEP's website to make many of the programs and documents easily available to systems and the public.

As of December 2015, all 10 initiatives have been completed, except for initiative (8). Development of the automated system did not move forward due to limited information technology resources, and a low volume of data. It was determined that appropriate field offices will continue to track this manually.

### ***Recommendations and Conclusions***

DEP's Capacity Development Strategy is working effectively to ensure the capacity of public water systems; however, to improve the strategy, DEP plans to continually refine the components described above. Examples of successful strategy components include the programs discussed in this report.

The inspection program helps systems achieve and maintain capacity through regular inspections, follow-up actions, and technical assistance.

The DEP-monitored, grant-funded technical assistance provided by the FRWA enables systems to improve their viability through non-regulatory means. DEP monitors the work. These services are free to the public, cover a wide range of technical, managerial, and financial topics, and are provided on-site at the water system.

DWAP plans to continue these programs, as they are directly related not only to capacity development, but also to the program's core mission to provide safe drinking water and effectively manage water resources, thus protecting public health. Each program element listed in this report is a part of a framework of capacity development-related efforts. This framework of initiatives results in many opportunities for systems to improve their capacity. Florida's Capacity Development Strategy is continually improving the abilities of public water systems to manage their resources, operate their systems, and protect the health of Florida's residents and visitors.

## ***Appendix A: Contact Information***

### **Florida Department of Environmental Protection**

Division of Water Resource Management

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### **Florida Department of Health**

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### **Florida Department of Environmental Protection**

Division of Water Restoration Assistance

Drinking Water State Revolving Fund Program

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**Northwest Florida Water Management District**

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**Suwannee River Water Management District**

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**St. Johns River Water Management District**

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***Appendix B: DEP Form 62-555.900(20) – New Water System Capacity Development  
Financial and Managerial Operations Plan***

[See next two pages for form]



# NEW WATER SYSTEM CAPACITY DEVELOPMENT FINANCIAL AND MANAGERIAL OPERATIONS PLAN

**INSTRUCTIONS:** This operations plan shall be completed and submitted for the following public water systems, which are defined as "new systems" for the purposes of capacity development and which are hereinafter referred to as "new systems": entirely new community or non-transient non-community water systems constructed, or commencing operations, on or after October 1, 1999; and water systems that previously did not meet the definition of a community water system (CWS) or the definition of a non-transient non-community water system (NTNCWS) but that grow to become a CWS or NTNCWS through an infrastructure expansion constructed, or placed into operation, on or after October 1, 1999 (water systems that previously did not meet the definition of a CWS or the definition of an NTNCWS but that grow to become a CWS or NTNCWS by adding users without expanding their infrastructure are not considered "new systems" for the purposes of capacity development). Complete and submit one copy of this operations plan, including all required attachments, to the appropriate Department of Environmental Protection District Office or Approved County Health Department at the following times:

- with the construction permit application for the "new system" or for the infrastructure expansion creating the "new system;" or if the construction permit for the "new system" or infrastructure expansion creating the "new system" was issued by the Department prior to the effective date of Rule 62-555.525, F.A.C., (9-22-99), with the certification of construction completion for the "new system" or for the infrastructure expansion creating the "new system"; or, if a construction permit is not required for the "new system," within 90 days after commencing operations as a CWS or NTNCWS;
- within 90 days after the third anniversary of the "new system" commencing operations as a CWS or NTNCWS; and
- within 90 days after a change in ownership of the "new system" if the change in ownership occurs after the effective date of this form.

Complete all parts of this operations plan for "new systems" that will not be regulated by the Florida Public Service Commission (FPSC), and complete only Parts I, IV, V, VI, and VII of this operations plan for "new systems" that will be regulated by the FPSC. All information provided in this operations plan, including all attachments to this plan, shall be typed or printed in ink. Refer to the *New Water System Capacity Development Planning Manual* as adopted in Rule 62-555.335, F.A.C., for recommended formats to use when preparing attachments to this operations plan. The *New Water System Capacity Development Planning Manual* includes criteria the Department uses to evaluate information in operations plans and includes a description of how the Department uses information in operations plans.

I. General Information		
Public Water System (PWS) Name:		
PWS Identification Number:*		
PWS Type:	Community Water System (CWS)	Non-Transient Non-Community Water System (NTNCWS)
Number of Service Connections:†	Total Population Served: †	
PWS Owner:		
Contact Person:	Contact Person's Title:	
Contact Person's Mailing Address:		
City:	State:	Zip Code:
Contact Person's Telephone Number:	Contact Person's Fax Number:	
Contact Person's E-Mail Address:		

\* This information is required only if the PWS has already commenced operations as a PWS (i.e., only if the PWS is an existing PWS).

† At the time the PWS commences operations as a CWS or NTNCWS or, for a PWS that has already commenced operations as a CWS or NTNCWS, at the time of submittal of this operations plan.

## II. Projected or Actual Expenses

Attach an expenses plan showing all projected or actual water system expenses for a five-year planning period. If this operations plan is being submitted with a construction permit application or with a certification of construction completion or within 90 days after the "new system" commences operations as a CWS or NTNCWS, the five-year expenses plan shall start at the date the "new system" is expected to, or did, commence operations as a CWS or NTNCWS. If this operations plan is being submitted as an updated plan after the third anniversary of the "new system" commencing operations as a CWS or NTNCWS, the five-year expenses plan shall start at the date of said third anniversary. If this operations plan is being submitted as an updated plan after a change in ownership of the "new system," the five-year expenses plan shall start at the date ownership of the "new system" changes. Include only the following two types of information: (1) the nature of the expense (e.g., salary of an operator); and (2) the dollar amount of the expense. Show only expenses pertaining to the water system. Include expenses for operators, persons maintaining the water system between operator visits, purchased utilities, water treatment chemicals, supplies for routine upkeep, and analytical testing. Other expenses under 10% of the total projected or actual amount must be listed but need not be described.

**III. Projected or Actual Income**

Attach an income plan showing projected or actual income and funds used to pay for all water system expenses for a five-year planning period. If this operations plan is being submitted with a construction permit application or with a certification of construction completion or within 90 days after the "new system" commences operations as a CWS or NTNCWS, the five-year expenses plan shall start at the date the "new system" is expected to, or did, commence operations as a CWS or NTNCWS. If this operations plan is being submitted as an updated plan after the third anniversary of the "new system" commencing operations as a CWS or NTNCWS, the five-year income plan shall start at the date of said third anniversary. If this operations plan is being submitted as an updated plan after a change in ownership of the "new system," the five-year income plan shall start at the date ownership of the "new system" changes. Show only income and funds used to pay for water system expenses. Include only the following two types of information: (1) the nature of each source of income or funds (e.g., revenue from the sale of water to customers, interest income, funding from a city, receipt of a loan or grant, or a personal bank account); and (2) the dollar amount to be provided by each source of income or funds. Report all projected or actual amounts; however, a description of each amount under 10% of the total projected or actual amount is not necessary.

**IV. Management Capacity**

Attach a list of positions and employees, including position titles and responsibilities, licensure requirements for the positions, and employee names and qualifications. If a position is vacant, indicate the projected hiring date. Include the license class and number for operators. Indicate the positions/employees who are responsible for acting on behalf of the water system in case of emergency, to spend money, or to make other decisions. Provide telephone numbers and addresses for these responsible positions/employees. Show only position/employee information pertaining to the watersystem.

**V. Plans, Manuals, and Programs**

Depending upon type and size, water systems may be required to have written plans, manuals, and programs as described in Department rules or in the *New Water System Capacity Development Planning Manual*. Contact the State Emergency Response Commission (SERC) regarding Risk Management Plans, and contact the appropriate Department of Environmental Protection (DEP) District Office or Approved County Health Department (ACHD) regarding all other plans, manuals, and programs listed below.

Indicate below which plans, manuals, and programs the SERC or the appropriate DEP District Office or ACHD says will be required for your water system and the due dates for the required plans, manuals, and programs.

Plan, Manual, or Program	Required? (Y/N)	Initial Due Date (MM/YY)
Bacteriological Monitoring Plan	<input type="checkbox"/>	
Cross-Connection Control Program	<input type="checkbox"/>	
Disinfectants/Disinfection Byproducts Monitoring Plan	<input type="checkbox"/>	
Emergency Preparedness/Response Plan	<input type="checkbox"/>	
Operation & Maintenance Manual	<input type="checkbox"/>	
Risk Management Plan	<input type="checkbox"/>	
Sampling Plan for Lead and Copper Tap Samples and Water Quality Parameters	<input type="checkbox"/>	

**VI. Alternate Means of Providing Water Service**

Attach an explanation of why you are proposing to provide water service instead of connecting to another public water system. Include a list of the alternatives considered and the financial, managerial, and technical reasons for deciding to provide water service.

**VII. Certification**

I am duly authorized to sign this operations plan on behalf of the PWS identified in Part I of this operations plan. I certify that the information provided in this operations plan and on the attachments to this operations plan is true and accurate to the best of my knowledge and belief. I also certify that, for the five-year planning period covered by this operations plan, the PWS expects to collect, or already has, sufficient funds to equal or exceed its forecasted expenses, enabling the PWS to deliver drinking water meeting regulatory standards.

Signature and Date

Printed or Typed Name

Title

## Appendix C: Florida Rural Water Association Activities

### Drinking Water Permitting Program

PROGRAM AREA	TYPICAL RELATED SERVICES PROVIDED BY FRWA
Education for systems about Department requirements	Provides Individualized on-site training in topics such as bacteriological sampling
Completion of permitting documents - FRWA Engineers provide simple permitting for many projects each year related to drinking water compliance	<ul style="list-style-type: none"> <li>Provides assistance with completion of renewals of water management district consumptive use permits and DEP construction permits</li> <li>Provides assistance with completion of permit applications related to the operations of drinking water systems</li> <li>Provides assistance with completion of permit applications for certain projects in which the sanitary survey states that a part of the facility is in use without the proper permit</li> <li>Provides assistance in compliance-related project permitting, preliminary engineering reports (PERs), and engineering related to effective and affordable projects to attain compliance and receive project funding.</li> </ul>
Water source planning	Provides assistance, using non-Department sources of funding, to communities in the planning process to find new sources of water to replace sources that are no longer desirable
Under the Direct Influence of Surface Water technical assistance and well evaluation	Identifies well maintenance and rehabilitation methods for wells that the Department has determined to be Under the Direct Influence of Surface Water
Obtaining SRF and other funding	Provides assistance for systems apply for such funding

### Drinking Water Compliance Program

PROGRAM AREA	TYPICAL RELATED SERVICES PROVIDED BY FRWA
Education for systems about Department requirements, including maximum contaminant level (MCL) and treatment technique requirements	<ul style="list-style-type: none"> <li>Provides individualized on-site training in topics such as bacteriological sampling</li> <li>Conducts small-group training; FRWA Trainer holds at least a minimum number of such training sessions each month</li> <li>Coordinates and Sponsors Focus on Change seminars, the annual seminar series for operators and other interested persons held at several cities throughout Florida; seminar topics include those pertinent to drinking water and wastewater rules and operations</li> <li>Provides training using funding from non-Department sources: Small-group training sessions for operators and other interested persons on an as-needed basis throughout the state; subjects of past sessions include operator certification review, water conservation and beneficial use, water chemistry, introduction to operations, how to prepare for a Department sanitary survey inspection, and corrosion control</li> </ul>



PROGRAM AREA	TYPICAL RELATED SERVICES PROVIDED BY FRWA
Education for systems about Department requirements, including maximum contaminant level (MCL) and treatment technique requirements  <i>(continued from previous page)</i>	<ul style="list-style-type: none"> <li>• Conducts annual technical conference and joint technical conferences with other states; open to FRWA members and nonmembers</li> <li>• Consumer confidence reports (CCRs): Provides individual assistance and training workshops held in addition to the Department workshops</li> <li>• Lead and copper: Provides individual training on measuring water quality parameters, conducting desktop studies using software, and making corrective action recommendations to systems; in some cases, FRWA has also assisted systems with permit applications, as mentioned above under "Drinking Water Permitting Program" section (this includes an emergency grant program for installing treatment)</li> <li>• Provides assistance with other compliance-related concerns, including Disinfection Byproduct Rule, Ground Water Rule, and other DEP and SDWA regulations</li> </ul>
Long-term viability of water systems	<ul style="list-style-type: none"> <li>• Conducts rate reviews; management assistance/training and reviews to improve water system viability</li> <li>• Provides assistance with obtaining SRF and other funding – refer to information above under permitting</li> <li>• Performs asset management plan projects for over 20 systems per year</li> </ul>
Sanitary surveys	Provides assistance for systems with sanitary survey deficiencies, referred by the Department to FRWA to correct the deficiencies through training; in addition, training classes provided for water system operators on how to best prepare for a sanitary survey
Groundwater protection and source water assessment program	Develops Wellhead Protection Plans/Source Water Plans for systems throughout the state (FRWA Groundwater Specialists); this is provided for in the groundwater protection component of the FRWA/DEP grant agreement, and helps ensure a number of sources of drinking water are better protected from contamination
Short-term viability of water systems	Provides individualized on-site assistance and training

***Drinking Water Enforcement Program***

PROGRAM AREA	RELATED SERVICES PROVIDED BY FRWA
Sanitary survey deficiencies	Provides assistance for systems that have sanitary survey deficiencies under enforcement, referred to FRWA by Department representatives to correct the deficiencies through training
Monitoring problems/other	Provides assistance for systems that have failed to monitor, referred to FRWA by Department representatives to correct the deficiencies through training about rule requirements and field sampling procedures; provision of on-site services to help address problems which have systems on the Department Return to Compliance (RTC) list

***Emergency Management Program***

<b>PROGRAM AREA</b>	<b>RELATED SERVICES PROVIDED BY FRWA</b>
Drinking water drought management	Provides assistance for systems that have water shortages due to excessive well drawdown, referred to FRWA by Department representatives to assist the water management districts identify systems in need of special assistance by taking field measurements of well pumping levels to establish regional trends; FRWA performs water audits, leak detection, conservation plans and other water use reduction activities
Hurricane damage at drinking water and wastewater facilities	Provides assistance for systems that have suffered storm damage through on-site inspections and helping systems to maintain operational status; this can be from widespread storms or local storm systems

***Drinking Water/Domestic Wastewater Operator Certification and Staffing Program***

<b>PROGRAM AREA</b>	<b>RELATED SERVICES PROVIDED BY FRWA</b>
Operator Certification	Provides operator certification review training (see listing above under "Drinking Water Compliance Program" section) <ul style="list-style-type: none"> <li>• Allows operators to earn continuing education units required for maintaining certification</li> <li>• Provides education for prospective operators to pass operator certification exams; this is a high-demand workforce in Florida</li> </ul>
Operator Capability	Enables operators to improve in their abilities to operate water systems through provision of many services listed above under "Drinking Water Permitting Program," "Drinking Water Compliance Program," and "Drinking Water Enforcement Program" sections above