

# Table of Contents

## Small System Technical Assistance Set-Aside Annual Report July 1, 2004 to June 30, 2005

I.	Funding .....	3 of 30
II.	Full Time Equivalents (FTEs) .....	3 of 30
III.	Goals and Objectives .....	3 of 30
	Ohio Rural Community Assistance Program .....	4 of 30
	Ohio EPA Technical Assistance Pilot Program .....	6 of 30
IV.	Outputs and Deliverables .....	7 of 30
	Rural Community Assistance Program .....	7 of 30
	Monthly Reports .....	7 of 30
	Quarterly Reports .....	7 of 30
V.	Schedule for Completion of Activities .....	9 of 30
VI.	Agency Responsibility for Small System Technical Assistance Program ..	9 of 30
	Agreement Manager Responsibilities .....	9 of 30
	Payments .....	9 of 30
	Report Evaluation .....	9 of 30
VII.	Evaluation Process for Small System Technical Assistance Program ...	10 of 30
	Report Evaluation .....	10 of 30
	Monthly SRF Coordinator Meetings .....	10 of 30
Attachment A		
	RCAP Work Done .....	11 of 30
Attachment B		
	NEDO Small Systems Technical Assistance Activities .....	14 of 30

Attachment C	
RCAP Summary of Activities	
4th Quarter and	
Final Report .....	15 of 30
4th Quarter: 4/01/2005-6/30/2005 .....	16 of 30
FINAL: 7/01/2004-6/30/05 .....	19 of 30
Attachment D	
RCAP Expenditures	
for PY2005 .....	23 of 30
EXPENDITURES thru 6/30/2005 .....	23 of 30
Attachment E	
Water Board Training Summary .....	24 of 30
Attachment F	
RCAP Highlights .....	25 of 30
Ohio RCAP Success Stories for Communities Receiving	
RCAP Assistance Under Ohio EPA Grant .....	26 of 30
Racine .....	26 of 30
Water System Deficiencies .....	27 of 30
Basis of Racine's Success .....	27 of 30
Successes To Date .....	27 of 30
Funding Breakdown .....	27 of 30
Racine Water Treatment Plant clearwell .....	28 of 30
Brown County (Green Township) Service Plan .....	29 of 30
Bishopvile Water District Service Plan: .....	29 of 30
Utility Board Training .....	30 of 30

## **I. Funding**

Ohio EPA set-aside \$505,158, which is 2 percent (2%) of the Federal Fiscal Year (FFY) 2005 federal capitalization grant. This set-aside will serve to provide technical assistance to public water systems serving populations of 10,000 or less. During PY2005 Ohio EPA was still using funds available from the 1999, 2000 and 2001 set-asides (Grant account number FS985954-00) to fund technical assistance services. In PY2006, funds from the 2002 capitalization grant will begin to be used.

An agreement with the technical assistance provider, Ohio Rural Community Assistance Program (RCAP), ran from July 1, 2004 through June 30, 2005. Invoices were paid from the remaining funds of FFY1999, FFY2000 and FFY2001 Capitalization Grant: Technical Assistance set-asides. Of these funds, a total of \$243,287 was used to pay for the technical assistance grant. The small systems technical assistance position at the Northeast District Office also used the same capitalization grant funds to pay personnel costs for this position.

## **II. Full Time Equivalent (FTEs)**

In PY2005, RCAP operated a technical assistance program to help small systems and rural areas comply with the Safe Drinking Water Act regulations and protect public health and safety. RCAP maintained three (3) technical assistance coordinators who supplied technical, managerial and financial training to Ohio public water systems serving populations of 10,000 or fewer.

In late June of 2003, a pilot program to provide technical assistance to small systems (<250 pop.) was started in the Ohio EPA Northeast District Office. This program was continued throughout PY2005. The person implementing this program is an experienced Ohio EPA inspector familiar with the problems inherent in operation and maintenance of small systems. One full time equivalent has been allocated to this program, with funding drawn from the Small System Technical Assistance Program (SSTAP) set-aside not allocated to RCAP.

## **III. Goals and Objectives**

The goals and objectives for the Small System Technical Assistance Program for PY2005 were as follows:

- Help insure an adequate supply of clean, safe drinking water to the residents of Ohio.
- Increase the number of systems in compliance on a long term basis.
- Increase conservation of Ohio water resources.

- Increase source water protection efforts.
- Increase the operational knowledge of system personnel and water boards.
- Increase the professionalism of the water supply industry through the dissemination of informational literature, provided by Ohio EPA, covering pertinent programs and regulations.

### Ohio Rural Community Assistance Program

A grantee providing services under the Technical Services Set-Aside is the Ohio RCAP. Their services are aimed at public water systems with 10,000 population or fewer. Attachment A (Summary of Activities Completed), contains information taken from RCAP quarterly reports; it details what activities and which sites were aided through RCAP for PY2005. The goals and objectives for the RCAP Grant Agreement for PY2005 were met, as follows:

- *Assist small systems with the preparation of applications for the DWSRF including determining the ability to repay.*

During this year RCAP prepared two pre-applications for the project priority list (PPL), four planning and design loan applications, and four construction loan applications. At year end there were a total of thirty-one loans in progress.

- *Assist in meeting state and other crosscutting requirements of the application.*

Twelve systems were assisted with meeting State and other Cross-Cutting Requirements.

- *Assist with locating and procuring sources of funding in addition to the DWSRF.*

RCAP coordinates financing packages for systems including: Ohio Department of Development CDBG program, Ohio Water Development Authority, Ohio's Issue 2 Program, and the Rural Development grant/loan program for water infrastructure development. There were 16 systems assisted in procuring some or all funding from sources other than the WSRLA.

- *Assist with determining what is the most affordable option for a Public Water Supply to access safe drinking water, e.g. line extension from another community, restructuring, regionalization, retail purchase of water from another source, new wells, etc.*

There were two systems aided by RCAP in selecting the most cost effective and affordable option to obtain safe drinking water.

- *Assist systems with readiness to proceed issues; including hiring an engineer, developing project schedules, obtaining cost estimates, completing data collection for project, defining the need and obtaining supporting documentation, description of the proposed project, project alternatives considered and why rejected.*

Although there were only six systems identified as requesting assistance in making readiness to proceed decisions, in a sense nearly all of the systems working with RCAP required decisions about some aspect of readiness to proceed issues.

- *Assist systems in the development and/or completion of all components of the capability assurance documentation. Grantee is to offer the service of providing Capability Assurance, Financial Capability, Management and Technical Plans for a project.*

Capability Assurance technical assistance focused on financial management of systems. This included issues related to: utility planning, identifying both direct and indirect O&M costs, developing budgets, cost recovery, types of financing resources, financial plan development and marketing utility products and services to customers.

Management and technical assistance were also provided, these focused on the responsibilities of the governing board and operations personnel. In addition, RCAP worked with Ohio EPA to facilitate public involvement in the state's Capability Assurance strategies.

Throughout PY2005, there were 3 Capability Assurance Plans completed, with 11 plans in progress as the year ended.

RCAP has the task of providing managerial and financial assistance to water systems of 10,000 or fewer population. In order to accomplish these goals RCAP has been directed to use the Project Priority List (PPL) provided in the Intended Use Plan (IUP) and contact each of the systems beginning with the highest ranking sites. In this way Ohio EPA addressed those sites that have been identified as having the most serious problems or representing the most danger to public health and welfare. (At the end of the program year fourteen systems remain on the PPL that have not expressed interest in proceeding with projects at this time; primarily because these systems have identified startup dates after the PY2005 time frame.) Often a public water system will misunderstand the amount of time necessary for completion of a loan package and preparation for project implementation, thus causing a "last minute" situation to arise.

There were fifty-four systems that were in some way direct recipients of services offered through RCAP. Attachment A, indicates the activities undertaken throughout the year for each system assisted. However, services provided by RCAP are so basic to obtaining loans that many systems eventually funded by other programs were in some way aided by RCAP. The total amount of funds awarded to 17 water systems that were assisted by RCAP on behalf of Ohio EPA, totaled \$21,135,093.

Of this, \$6,253,862 was WSRLA funding, the remainder came from other loan and grant programs such as the Ohio Water Development Authority (OWDA), United

States Department of Agriculture (USDA), Ohio Public Works Commission (OPWC), Water Pollution Control Loan Fund (WPCLF) and Community Development Block Grants (CDBG).

Systems that were visited but did not opt for any assistance obtaining a loan, or were not in need of other services under RCAP, were not included in this report.

In addition to the duties mentioned above, this year RCAP was asked to increase their emphasis on providing training courses to water boards and system operators. To this end, RCAP held ten sessions throughout the state to provide water board training. This training was aimed at; giving water boards a better appreciation of planning for operational expenses, emergency measures, replacement of equipment, laws and regulations, funding sources, rate setting, and other aspects of operating a successful water supply. This course was a one day presentation with resource materials in a take-home binder, plus a CD of functional programs with examples for accounting use. Since the composition of water boards change often, and there are no mandated educational requirements for board members, these courses were met with some enthusiasm. Requests have been made for more detailed educational opportunities aimed at the actual nuts and bolts of financing and accounting necessary for continued operation. More in-depth courses covering rate setting and asset management will be offered as adjuncts to the basic course.

A report of activities for the PY 2005 time period is included as Attachment A.

#### Ohio EPA Technical Assistance Pilot Program

The State of Ohio has recently instituted a requirement that the operator of any community or non-transient non-community public water system serving a population of no more than 250, or a transient non-community public water system which serves a population of greater than 250, be classified as a "Class A" system. This requires the operator to obtain a Class A operator's license. If these systems have a serious public health or environmental hazard associated with their operation then they are classified as a "Class 1" system requiring a higher grade of operator licensing. These small systems historically have a high number of water quality violations due to poor monitoring, low funding, and lack of technical expertise. Throughout Ohio there have been 1,000 such systems identified to date. A pilot program to provide technical assistance to small systems serving a population less than 250 has been started in the Northeast District Office of Ohio EPA. As stated above in Section II, this field representative is to be paid from the SSTAP set-aside.

This small system assistance program was implemented during the PY2004 year and continued through the PY2005 year. Activities undertaken by this field operative included:

- Assistance provided to local systems with priority on public health-based issues using the water use advisory list, Significant Non-Compliers (SNC), and Ground Water Under the direct Influence of surface water (GWUI) lists,
- A primary goal is removal of systems with long term boil advisories.
- The secondary focus is working with public water systems that have multiple Monitoring and Reporting (MR) violations in consecutive quarters using the violation database as a reference.

- Visits to individual water systems for training and direction,
- Provide assistance with sample siting plans, contingency plans, detail plan process, consumer confidence reports and corrosion control recommendations.
- A formalized monthly reporting to Central Office, detailing actions taken under set-aside activities by our NEDO operative, was developed during this reporting period.

The field representative has provided assistance to a total of 246 water systems. Of these, eleven were as a result of water advisories through the Ohio EPA, Ohio Department of Health, or County Department of Health. There were 407 phone contacts with various systems both with the general public and professional organizations. A total of ten boil advisories were resolved and removed from the lists. A summary of activities for the SSTAP in NEDO is included as Attachment B.

#### **IV. Outputs and Deliverables**

##### Rural Community Assistance Program

The Outputs and Deliverables specified in the RCAP agreement were, as follows:

- **Coordination:** Kristin Woodall and John Rauch are the points of contact for program issues. The Ohio EPA program manager can also contact individual technical assistance providers regarding specific projects as deemed necessary. RCAP has set up group e-mail access by all pertinent representatives of the Division of Environmental and Financial Assistance (DEFA). Also, the program manager is copied with relevant information on projects that are sent to RCAP technical assistance providers working under the Ohio EPA agreement. Ohio EPA includes RCAP in the monthly meetings between DDAGW Central Office, DDAGW District staff, and DEFA on the DWSRF.

- **Monthly Reports**

Specific items included in the quarterly and/or monthly reports are as follows:

1. Dates of contact
2. Name of Public Water Supply contacted
3. Name of RCAP Representative
4. Name of Public Water Supply contact
5. Summary of discussion or meeting
6. Next activity expected

- **Quarterly Reports**

In addition, the quarterly reports included a summary of the following:

1. Expenditures, including a comparison to the projected budget
2. Number of applications and preapplications completed
3. Number of Capability Assurance Plans completed and in progress
4. Assistance in meeting State and other crosscutting requirements of the Application
5. Assistance with locating and procuring sources of funding in addition to the DWSRF
6. Assistance with determining what is the most affordable option for a community

to access safe drinking water

7. Assistance with systems regarding readiness to proceed issues for funding

- A copy of the RCAP 4<sup>th</sup> Quarter Report and the Final Report Summary is provided as Attachment C to this report. A copy of the 4<sup>th</sup> Quarter Financial and Final Financial statements are also included as Attachment D.

RCAP contacted sites identified on the PPL and initiated discussions concerning proposed projects. RCAP worked with Water Boards, City or County representatives, and small system owners, to identify what options were available for addressing their problems. An evaluation of the ability to operate the system, finance improvements, and maintain a functional water system that meets regulations, was completed as part of the application procedure leading up to a loan.

Assistance in procurement of funding sources was another service provided by RCAP. Ohio EPA recognizes that the WSRLA may not be the best source of funding for some systems. Other funds were available through the State of Ohio or Federal programs and grants. Often a mix of loans and grants were used in funding a project.

RCAP assisted eligible public water systems (10,000 or fewer population), in preparation of application forms and development of supporting documentation for loans and capability assurance documents necessary for consideration of a loan through the Water Supply Revolving Loan Account Program (WSRLA).

During the year, RCAP visited systems and provided help with planning and design, preapplications, construction loans, crosscutting requirements, locating funding, determining affordability options, determining readiness to proceed, and capability assurance plans.

In PY2005, RCAP worked with new small systems to prepare Capability Assurance Plans (CAP). It was decided that since RCAP already works to assist systems with financial and administrative problems, it was a natural step to gather data to determine their ability to repay loans by completing a CAP.

By having RCAP work with system administrators and engineers to complete preapplications, applications and capability assurance plans, Ohio EPA believes many systems obtained a loan earlier than they may have if working completely on their own. Also, by assisting with "readiness to proceed" issues, more loans were completed and fewer systems on the PPL were bypassed.

## **V. Schedule for Completion of Activities**

Relative to our agreement with RCAP, priority assistance was given to small systems on the PY2005 lists who anticipated funding during that year. Second priority was given to systems on the PPL with funding targeted after 2005. Following the above, as resources

allowed, RCAP worked to address readiness to proceed issues and continue building a database of projects to be included in future priority lists. Also, RCAP worked with OEPA Districts in obtaining referrals. Utility Board Training, as a course, was deemed a high priority due to requests for the subject and a perceived need for such training by both RCAP and OEPA personnel. Ten of these courses were offered throughout the year. An additional ten or more courses will be offered the coming year aimed at furthering subjects introduced in the initial water board training. See Attachment E.

Once communities were enrolled under the program, RCAP continued to work with them in meeting their compliance needs even though they may have been “dropped” from the PPL funding list. This is done on a limited basis only and reported to the Ohio EPA program manager.

## **VI. Agency Responsibility for Small System Technical Assistance Program**

Ohio EPA has the responsibility to draft grant agreements, evaluate the grantee’s performance and issue payments. These responsibilities are discussed below for small system technical assistance providers.

### Agreement Manager Responsibilities

The Ohio EPA agreement manager was responsible for coordinating performance of duties and obligations under the grant agreement, including but not limited to: evaluation of service provider performance, and issuance of payments to the service provider.

### Payments

The Agreement stipulates that the first payment shall not be made unless all named parties have executed the grant agreement. Each succeeding payment shall not be made unless the Agreement Manager determines that the service provider has demonstrated satisfactory fiscal and technical performance, as demonstrated by the quarterly Fiscal and Technical Reports required under the grant agreement, or upon such other review as may be performed by the Agreement Manager.

### Report Evaluation

Ohio EPA evaluated all reports (monthly, quarterly, closing) submitted by the service provider to ensure that progress achieved by the project was consistent with the goals, objectives and schedule of activities set forth in the project work plan.

## **VII. Evaluation Process for Small System Technical Assistance Program**

Ohio EPA has implemented multiple methods to evaluate our small system technical assistance program. These methods include evaluation of monthly, quarterly and end agreement reports, discussion and evaluation of efforts at monthly SRF Coordinator

Meetings, and site visits with the providers.

### Report Evaluation

RCAP was required to submit monthly activity reports which discussed which systems were visited, and what particular problems were addressed. A quarterly report covered this information plus a listing of expenditures related to WSRLA activities. A quarterly invoice accompanied this report. Both the reports and invoices were reviewed and approved once they were deemed acceptable.

### Monthly SRF Coordinator Meetings

Ohio EPA holds monthly SRF Coordinator meetings. Here, representatives of Ohio EPA have an opportunity to discuss and evaluate new and continuing projects with RCAP, clarify responsibilities as needed, give RCAP referrals of systems in need of assistance, and have ongoing communication between Ohio EPA divisions and providers. Members include Ohio EPA's five district SDF coordinators, the four members of the SRF Unit at Ohio EPA Central Office, Planners and Coordinators from the Division of Environmental and Financial Assistance and a representative from Ohio Rural Community Assistance Program. This meeting also functions as an initial discussion forum for pre applications from systems that would like to be placed on the Ohio PPL.

# Attachment A

## RCAP Work Done





# Attachment B

## NEDO Small Systems Technical Assistance Activities

**NEDO Small Systems Technical Assistance Activities**  
**1 July, 2004 to 30 June, 2005**

Activity	July	August	Sept.	Oct.	Nov.	Dec.	January	February	March	April	May	June	Total s
Advisories >8 weeks for previous month	3	4	3	5	3	3	5	5	5	6	6	2	<b>N/A</b>
Newly added >8 week advisory list	1	1	3	2	1	2	0	0	1	0	0	0	<b>11</b>
Resolved >8 weeks	0	0	1	4	1	0	0	0	0	0	4	0	<b>10</b>
Number remaining for the month >8 weeks	4	3	5	3	3	5	5	5	6	6	2	2	<b>N/A</b>
New well sites reviewed	0	0	0	0	0	0	0	0	0	0	0	0	<b>0</b>
Complaint investigations	0	0	0	0	0	0	0	0	0	0	0	0	<b>0</b>
MCL Technical Assistance	15	14	28	18	30	20	18	16	25	24	16	12	<b>236</b>
Follow-up Site visits/inspections	0	0	0	0	0	0	0	0	0	0	0	0	<b>0</b>
Emergencies	0	0	0	0	0	0	0	0	0	0	0	0	<b>0</b>
CPE Type activities	0	0	0	0	0	0	0	0	0	0	0	0	<b>0</b>
PWS Geo-located	0	0	0	0	0	0	0	0	0	0	0	0	<b>0</b>
Phone Calls (Professional)	25	22	15	15	10	15	22	16	18	16	20	35	<b>229</b>
Phone calls (General Public)	20	22	15	12	12	13	10	12	12	17	18	15	<b>178</b>

Attachment C  
RCAP Summary of Activities  
4th Quarter and  
Final Report

**SUMMARY OF ACTIVITIES COMPLETED  
BY GREAT LAKES RCAP/WSOS CAC, INC. UNDER  
DWSRF TECHNICAL ASSISTANCE GRANT**

**4th Quarter: 4/01/2005-6/30/2005**

**This report is written to reflect the work completed against the grant objectives. RCAP had a total of 34 entities enrolled during the quarter. A brief listing of communities served follows each objective. For more detailed information on the community problem and what RCAP did to help solve that problem see attached individual community progress reports.**

**Objective 1:** Assist small systems with the preparation of applications for the DWSRF, including determining the ability to repay.

(32 communities assisted)

**Planning and Design Applications Completed (0)**

**Construction Loans Completed (1):**      Buckeye Water District

**Preapplications Completed for new Priority List (0)**

**Loans in Progress (31)**

Antrim	
Antwerp	
Attica	Milford
Bainbridge	Navarre
Barnesville	New Washington
Beaver Creek Water Assoc.	Oberlin
Buckeye Water District	Perry Township
Caldwell	Portersville East Branch
Clearview MHP	Racine
Deavertown	Ripley
Dillonvale	Rocky Ridge
Dillionvale Jug Run	Spencerville
Hoytville	Spruce Tree
Kettlersville	West Alexandria
Laugh and Learn	West Jefferson
Lindsey	West Malta Rural WD
Lisbon	

**Objective 2: Assist in meeting State and other cross-cutting requirements of the application.**

(7 communities assisted)

- Bainbridge – OWDA Quarterly Planning Report
- Barnesville – worked on income survey
- Buckeye Water District – provided t.a. to Columbiana County Engineer's office re: STAG app, Environmental Assessment worksheet, and income surveys for the SR 30/454 extension
- Perry Twp. – Income Survey completed
- Racine – Environmental Assessment Worksheet completed, provided USDA/RD spreadsheet for tracking drawdowns
- Ripley – OWDA quarterly planning report
- Spencerville – income survey complete

**Objective 3: Assist with locating and procuring sources of funding in addition to the DWSRF.**

(5 communities assisted)

- Bainbridge – ARC Application
- Barnesville – working on CDBG application (conducted 2 public hearings and prepared 2 resolutions)
- Deavertown –ARC Pre-app, Formula App
- Racine – Governors Office of Appalachia Flood Recovery Grant and STAG completed
- Spencerville – working on CDBG application

**Objective 4: Assist with determining what is the most affordable option for a community to access safe drinking water.**

(2 communities assisted)

- Caldwell – miscellaneous t.a. re: alternatives for project
- Perry Twp. – Facilitated meeting w/ Perry Twp. Trustees, Highland Co. Water, & Western Water to discuss who is best suited to serve area

**Objective 5: Assist systems with readiness-to-proceed issues for funding, including hiring and engineer, developing a project schedule, obtaining cost estimates, completing data collection for project, defining the need and obtaining supporting documentation, description of the proposed project, project alternatives considered and why rejected.**

(3 communities assisted)

- Racine – Coordinated with engineer regarding bidding
- Rocky Ridge – conducted public hearing re: project status and need to collect user fees.
- West Malta – miscellaneous t.a. regarding readiness to proceed issues

**Objective 6: Capacity development technical assistance will focus on the management of the system. This will include issues relating to: utility planning, identifying both direct and indirect O&M costs, developing budgets, cost recovery, types of financing resources, financial plan development, and marketing utility products and services to consumers. Management assistance will also be provided and will focus on the responsibility of the governing board. In addition, RCAP will work with the Ohio EPA to facilitate the public involvement process in the state's capacity development strategies.**

(13 communities assisted)

**CAPs completed (1 completed & 1 revision)**

Buckeye Water District (update)

Lindsey

**CAPs in progress (11)**

Beaver Creek Water Assoc.

Clearview MHP

Laugh and Learn

Milford (rev)

Navarre

Oberlin

Rutland

Spencerville

Spruce Tree

West Alexandria

West Jefferson

**Objective 7: Provide Utility Board Member Trainings (3 trainings held):**

- Twinsburg, 4/13/05, 47 participants
- Logan, 5/3/05, 20 participants
- Fremont, 5/17/05, 23 participants

-

**Leveraged Funds – 2004/2005 year to date:**

**Total - \$21,135,093**

Attica	\$ 360,000 (USDA)
	\$ 241,280 (OPWC)
	\$ 67,000 (USDA)
	\$ 360,000 (OWDA Interim Financing)
Bainbridge	\$ 32,150 (OWDA)
	\$ 59,500 (CDBG)
Buckeye Water Dis	\$1,852,722 (OEPA)
Countryside	\$ 120,771 (OEPA)
Geneva	\$6,762,000 (OWDA)
Hoytville	\$ 15,000 (OWDA)
Jefferson W&S	\$3,040,000 (USDA)
Lisbon	\$ 684,692 (OEPA)
	\$ 200,541 (OEPA)
Muskingum Co.	\$ 500,000 (CDBG)
New Carlisle	\$3,395,136 (OEPA)
Portersville East	\$ 5,000 (CDBG)
Racine	\$ 500,000 (CDBG)
Ripley Union	\$ 546,000 (USDA)
	\$ 364,000 (USDA)
Ripley	\$ 188,884 (OWDA)
Rocky Ridge	\$ 315,000 (OWDA)
Tate Monroe	\$ 650,000 (USDA)
Toronto	\$ 875,417 (WPCLF)

**SUMMARY OF ACTIVITIES COMPLETED  
BY GREAT LAKES RCAP/WSOS CAC, INC. UNDER  
DWSRF TECHNICAL ASSISTANCE GRANT**

**FINAL: 7/01/2004-6/30/05**

This report is written to reflect the work completed against the grant objectives. RCAP had a total of 50 entities enrolled during the year. A brief listing of communities served follows each objective. For more detailed information on the community problem and what RCAP did to help solve that problem see attached individual community progress reports.

Objective 1: Assist small systems with the preparation of applications for the DWSRF, including determining the ability to repay.

(34 communities assisted)

**Planning and Design Applications Completed (4)**

Antwerp  
Buckeye Water District  
Lisbon  
Lisbon (2<sup>nd</sup> design loan application)

**Construction Loans Completed (4):**

Bishopville  
Buckeye Water District  
New Carlisle  
Skyland Hills

**Preapplications Completed for new Priority List (2)**

Beaver Creek Water Assoc.  
West Alexandria

**Loans in Progress (31)**

<b>Antrim</b>	Milford
Antwerp	Navarre
Attica	New Washington
Bainbridge	Oberlin
Barnesville	Perry Township
Beaver Creek Water Assoc.	Portersville East Branch
Buckeye Water District	Racine
Caldwell	Ripley
Clearview MHP	Rocky Ridge
Deavertown	Spencerville
Dillonvale	Spruce Tree
Dillionvale Jug Run	West Alexandria
Hoytville	West Jefferson
Kettlersville	West Malta Rural WD
Laugh and Learn	
Lindsey	

Lisbon

**Objective 2: Assist in meeting State and other cross-cutting requirements of the application.**

(12 communities assisted)

- Antwerp – participated in public meeting
- Attica – conducted 2 CDBG public hearings
- Bainbridge – OWDA Quarterly Planning Report
- Barnesville – worked on income survey, obtained documentation of health hazard for ODOD
- Buckeye Water District – completed income survey, participated in public meeting, provided t.a. to Columbiana County Engineer’s office re: STAG app, Environmental Assessment worksheet
- Dillonvale – completed community survey, conducted public
- Hoytville – completed income survey
- Perry Twp. – Income Survey completed
- Portersville – completed income survey
- Racine – Environmental Assessment Worksheet completed, provided USDA/RD spreadsheet for tracking drawdowns
- Ripley – OWDA quarterly planning report
- Spencerville – income survey complete, prepared public notices

**Objective 3: Assist with locating and procuring sources of funding in addition to the DWSRF.**

(16 communities assisted)

- Attica – Submitted CDBG and OWDA Application
- Bainbridge – Submitted ARC Project Profile, completed CDBG Formula and ARC application, provided financial management training for OWDA loan and Submitted OWDA application
- Barnesville – working on CDBG application (conducted 2 public hearings and prepared 2 resolutions)
- Bishopville – Submitted OPWC application
- Buckeye Water District – working on OWDA construction loan application, working on State and Tribal Assistance Grant app
- Deavertown –ARC Pre-app, Formula App
- Geneva – OWDA app
- Hoytville – Submitted Appropriation request to Voinovich’s office, Submitted OWDA and Issue II applications
- Portersville – State Planning Grant
- Racine – Governors Office of Appalachia Flood Recovery Grant and STAG completed, ARC pre-app and application
- Ripley – OWDA design loan application submitted
- Rutland – working on VCIF application
- Spencerville – working on CDBG application
- Toronto – WPCLF app
- Upper and Lower Mile Run – State Planning Grant
- West Malta – Prepared and submitted questionnaire for earmark from Voinovich’s office

#### **Objective 4:**

**Assist with determining what is the most affordable option for a community to access safe drinking water.**

(2 community assisted)

- Caldwell – miscellaneous t.a. re: alternatives for project
- Perry Twp. – Facilitated meeting w/ Perry Twp. Trustees, Highland Co. Water, & Western Water to discuss who is best suited to serve area

**Objective 5: Assist systems with readiness-to-proceed issues for funding, including hiring and engineer, developing a project schedule, obtaining cost estimates, completing data collection for project, defining the need and obtaining supporting documentation, description of the proposed project, project alternatives considered and why rejected.**

(6 communities assisted)

- Countryside – Assistance in compiling information needed for bid package
- Jefferson Water District – worked on meeting USDA letter of conditions
- Racine – Coordinated with engineer regarding bidding
- Rocky Ridge – conducted public hearing re: project status and need to collect user fees, Assistance w/ procuring an engineer
- Tate Monroe Water Assoc. – working on USDA letter of conditions
- West Malta – miscellaneous t.a. regarding readiness to proceed issues, Prepared EA for USDA funding

**Objective 6: Capacity development technical assistance will focus on the management of the system. This will include issues relating to: utility planning, identifying both direct and indirect O&M costs, developing budgets, cost recovery, types of financing resources, financial plan development, and marketing utility products and services to consumers. Management assistance will also be provided and will focus on the responsibility of the governing board. In addition, RCAP will work with the Ohio EPA to facilitate the public involvement process in the state's capacity development strategies.**

(15 communities assisted)

- Caldwell – Planning a board training and other miscellaneous assistance provided

#### **CAPs completed (3)**

Antwerp  
Bishopville  
Lisbon

#### **CAPs in progress (11)**

Beaver Creek Water Assoc.  
Clearview MHP  
Laugh and Learn  
Milford (rev)  
Navarre  
Oberlin  
Rutland  
Spencerville  
Spruce Tree  
West Alexandria  
West Jefferson

**Objective 7: Provide Utility Board Member Trainings (8 trainings held):**

- Bowling Green EPA office, 11/15/04, 20 attendees, Utility Management for Boards
- Caldwell, 2/1/05, 29 participants
- Columbus, 3/8/05, 30 participants
- Dayton, 1/20/05, 32 participants
- Fremont, 5/17/05, 23 participants
- Logan, 5/3/05, 20 participants
- Steubenville, 3/22/05, 32 participants
- Twinsburg, 4/13/05, 47 participants

Two other trainings were held in Waverly and Republic regarding Utility Management. Funding was provided by another source.

**Leveraged Funds – 2004/2005 year to date:**

**Total - \$21,135,093**

Attica	\$ 241,280 (OPWC)
	\$ 67,000 (USDA)
	\$ 360,000 (OWDA Interim Financing)
	\$ 32,150 (OWDA)
Bainbridge	\$ 59,500 (CDBG)
	\$1,852,722 (OEPA)
Buckeye Water Dis	\$ 120,771 (OEPA)
Countryside	\$6,762,000 (OWDA)
Geneva	\$ 15,000 (OWDA)
Hoytville	\$3,040,000 (USDA)
Jefferson W&S	\$ 684,692 (OEPA)
Lisbon	\$ 200,541 (OEPA)
	\$ 500,000 (CDBG)
Muskingum Co.	\$3,395,136 (OEPA)
New Carlisle	\$ 5,000 (CDBG)
Portersville East	\$ 500,000 (CDBG)
Racine	\$ 546,000 (USDA)
Ripley Union	\$ 364,000 (USDA)
	\$ 188,884 (OWDA)
Ripley	\$ 315,000 (OWDA)
Rocky Ridge	\$ 650,000 (USDA)
Tate Monroe	\$ 875,417 (WPCLF)
Toronto	

\$ 360,000 (USDA)

# Attachment D

## RCAP Expenditures for PY2005

EXPENDITURES thru 6/30/2005

Drinking Water SRF Technical Assistance  
FS985954-00

	<u>Quarter</u>	<u>Y-T-D</u>
	\$56,273.16	\$214,987.91
Personnel	\$214,987.91	0.00
Consultants	\$0.00	\$17,583.11
Travel	\$4,839.69	\$6,149.81
Space Costs	\$2,515.00	\$5,012.09
Consumables	\$1,463.02	\$5,523.31
Copy Costs		
<b>Other Costs:</b>	\$306.64	\$1,191.47
Liability Insurance	\$0.00	\$0.00
Advertising	\$0.00	\$1,373.95
Training/Conf. Fees	\$0.00	\$327.50
Periodical / Publications	\$524.96	\$1,634.77
Postage	\$2434.70	\$5,820.51
Telephone	\$313.10	\$718.19
Printing	\$1,910.05	\$4,059.00
Misc. Business Expense	\$0.00	\$0.00
Public Relation Cost Center	\$2,932.00	\$11,086.00
Accounting Cost Center	\$563.00	\$2,654.00
Staff Services	\$1,356.00	\$4,840.38
Computer Cost Center	\$1,361.00	\$5,325.00
Executive VP Cost Center	\$0.00	\$0.00
Human Resource Cost Center	\$0.00	\$0.00
Management Cost Center		
	\$78,514.68	\$288,287.00
<b>Total Expenses</b>		

# Attachment E

## Water Board Training Summary

<i>Date</i>	<i>Location</i>	<i>Entity</i>	<i># Participants</i>	<i># Communities</i>
11/16/04	Bowling Green, Ohio	OEPA Northwest District Office	26	14
12/8/04	Waverly, Ohio	Ohio Valley Regional Development District	7	5
12/30/04	Republic, Ohio	Seneca County Village Association	28	6
1/20/05	Dayton, Ohio	OEPA Southwest District Office	32	13
2/1/05	Caldwell, Ohio	Noble County Fairgrounds	29	7
3/8/05	Columbus, Ohio	OEPA Central District Office	30	12
3/22/05	Steubenville, Ohio	Jefferson Community College	32	19
4/13/05	Twinsburg, Ohio	OEPA Northeast District Office	47	13
5/3/05	Logan, Ohio	OEPA Southeast District Office	20	14
5/17/05	Fremont, Ohio	Terra Community College	23	15
			274	118

# Attachment F RCAP Highlights

## **Ohio RCAP Success Stories for Communities Receiving RCAP Assistance Under Ohio EPA Grant**

The following are examples of Technical Assistance in addition to aiding the community with CAP preparation and application for a WSRLA loan.

RCAP Field Representative Bob Allen has been instrumental in assisting both Buckeye Water District (Wellsville) and the Village of Lisbon in completion of their Capability Assurance Plan. He has assisted both in gathering necessary information about their systems as operating, planned improvements and maintenance; historical income from water rates in offsetting costs; overall cost of system operation; funding sources available other than actual billing, and alternate outside funding sources. This information has helped the two systems proceed toward obtaining funding for their proposed projects, Buckeye Water at \$22,400,000 and Lisbon at \$150,000.

RCAP Field Manager, John Rauch, has also been dealing with managerial issues involved in consolidation of small systems and satellites systems. Funded under the SSTAP grant, RCAP has been working with the Village of Caldwell and its satellites to combine with Tri-County Rural Water & Sewer District. A request for \$2,500,000 from the WSRLA will serve to extend service into Palmer Township and combine the systems into a regional service.

Talks have also been initiated by Mr. Rauch to possibly combine the three water systems of Bishopville (\$500,000), West Malta (\$1,050,000), and Morgan-Meigsville Water Districts under one management. Advantages of scale due to such regionalization will accrue to these systems and serve to improve service to all customers.

### **Racine**

The Village of Racine is located in Meigs County, Ohio. Meigs County is one of the most distressed counties in the state of Ohio. The Village of Racine has demographic data to document difficult economic conditions within the village. See demographic data listed below:

- Population 746 according to the 2000 census
- Median Household Income- \$22,450
- Percent low-to-moderate income households- 62.2%
- Water rates- \$31.18/month (based on 7,756 GPM OPWC standard)
- Water rates- \$22.01/month (based on 5,165 GPM Actual usage at current rate)
- Sewer rates- \$25.00/month (based on 7,756 GPM OPWC standard)
- Based on OPWC usage standard residents pay 3% of their income for water and sewer or \$674.16 annually
- The Ohio Public Works Commission Small Government Program criteria says, based on Racine's MHI, residents should pay 2.6% of their MHI for water and sewer or \$583.70 per year.
- Per Capita Indebtedness is \$174.27/per person based on 2002 Audit and population of 746.
- Racine's population 62 years of age or older is 21.4%
- Unemployment level Meigs County- 9.4% (May 2005)
-

## **Water System Deficiencies**

Components of the water system needing replacement or rehabilitation include the following:

- The current water treatment plant has exceeded its useful life. The clearwell is near the point of structural collapse and the plant cannot meet water demand for the village. The village is not accepting new water customers located within certain areas of the village. Frequently the electrical system between the well field and the water treatment plant experiences problems requiring emergency repairs to the system.
- The water storage tank overlooking the village has exceeded its expected useful life. Cracks are appearing at the base of the old water storage tank, indicating movement of the tank foundation.
- The well field was flooded by the September 2004 flood, as was most of the Village of Racine. To permit water to be pumped without interruption during periods of flooding, the existing well field must be rebuilt to include elevated platforms for the wells and a new electrical system.
- The oldest areas of the water distribution system suffer frequent line breaks. These areas must be replaced to eliminate frequent water line breaks.

## **Basis of Racine's Success**

The Mayor, Mr. Hill and David Spencer the Clerk/Treasurer serve as the main contact in Racine. Racine's team of the mayor, clerk/treasurer, and village council have openly supported the water system project. Open communication between Racine's elected representatives and residents has resulted in public support for the project. Mayor Hill and Mr. Spencer responded to each request for information and actively participated in securing funds for the Village of Racine water system project.

Racine first had to identify their water system problems, then identify financially feasible solutions to correct problems. Racine representatives possessed significant amounts of managerial, technical and financial capacity, prior to undertaking the water system project. Ohio RCAP has worked extensively with Racine representatives for over three years to define and eliminate deficiencies within the village public water system.

## **Successes To Date**

The cost of completing the proposed project is expected to exceed \$2,000,000. With RCAP assistance Racine has completed the following tasks:

- Conducted income survey of area outside village limits receiving Racine water
- Completed a rate analysis
- Held many public meetings to keep residents informed of the status of the project
- Held Funding Summit attended by Ohio EPA, funding agencies, State Senator Joy Padgitt's staff, State Congressmen Jimmy Stewart, Senator Voinovich's staff, Senator DeWine's staff and Congressman's Strickland's staff
- As a result of the project team's efforts the Village of Racine has received \$1,825,000 in grant funds.

### **Funding Breakdown**

o Ohio Public Works (Grant)	\$375,000
o Appalachian Regional Commission	\$450,000
o State And Tribal Assistance Grant	\$500,000
o Community Development Block Grant	\$500,000

Racine is currently waiting for release of funds from Ohio Department of Development and U.S. EPA prior to putting the project out for bid. Though no new water treatment

plant or water storage tank is erected at this time, Racine is a true success story and their representatives are to be applauded for their efforts to provide a safe supply of potable water.

Please see picture below of Scott Hill, Mayor pointing out the back wall of the Racine Water Treatment Plant clearwell. The picture clearly shows saturated algae covered concrete with water seeping from the wall of the clearwell as evidenced by the large icicle.



## Brown County (Green Township) Service Plan

Approximately 60 residents in Green Township, Brown County discovered that many of the private sources of drinking water tested positive for bacteria. Highland County Water Company has agreed to extend water service to the residents in cooperation with the Brown County Commissioners. RCAP has been requested to facilitate a plan for funding and to complete applications on behalf of Highland Co. Water Company for the SRF and the Brown County Commissioners (CDBG).

### Story:

Residents in Green Township experienced contaminated wells. The wells tested positive for bacteria. Three public water systems had lines close to the area, however due to customer density, all were reluctant to serve the residents without large % of grant. Further one of the systems would have to cross another system's lines and all had USDA loans, which protected them under 1926\_B from encroachment. Two of the systems filed a preapplication with OEPA. The third indicated their intention to do so. DD&GW asked RCAP to work with the systems and residents to facilitate which PWS would serve the area and to develop a funding plan that would make it feasible. RCAP mediated a meeting with all parties and it was agreed that Highland County Water Company (HCWC) would initiate a line extension project to serve Green Twp. HCWC agreed on the terms that the county would sponsor a CDBG for half. RCAP conducted public meetings with residents and completed an income survey. RCAP prepared applications for the SRF and for CDBG. Senator Voinovich's office participated in the meetings as well. HCWC and the County were awarded funds for the project and the project was completed in late 2004.

## Bishopville Water District Service Plan:

The Bishopville Water District plans to extend service to approximately 100 residential customers in portions of Union Township, Morgan County and the unincorporated areas of Ringgold and Mountville. These areas are currently not served by a public water system and depend on private wells, springs, and cisterns. About 70 % of the sources of water tested positive for bacteria. The Health department supports the project because it will correct health and safety conditions in the area.

The project involves installation of 30,028 linear feet of 6" water main, 1,996 lf. of 4" water line, 47,505 lf. of 3" water line, 1 booster station, 4 pressure reducing valves, 1 storage tank, and 100 meters of various appurtenances associated with a water distribution line.

The District has requested RCAP's assistance in securing funding for the project..

### Story:

RCAP developed the funding plan for the project prepared OPWC applications, CDBG and SRF applications, recommended rate increase and prepared a financial forecast for the project. Bishopville was successful in obtaining funding for the line extension project which is now under construction.

## Utility Board Training Story

At the Request of Funding Agencies and Local Development District, RCAP was asked to prepare a course for local officials that would build Technical, Managerial and Financial Capacity. RCAP collaborated with Ohio Rural Water, Ohio State University, Ohio EPA and USDA Rural Development. A pilot presentation was made with 40 participants at the Logan SEDO of Ohio EPA last fiscal year and changes were made in the course. A second pilot was made last year with the local development district and more modifications were made to the delivery of the course.

RCAP developed a guidance manual for participants that includes a “tool box” and all course content. The technical section discusses rules and responsibilities of board members. The managerial section includes running a meeting, planning, sunshine laws and hiring an engineer. The financial section includes planning, records, reports, internal controls, rate setting, capital management, and project funding. RCAP conducted 10 workshops throughout Ohio with 274 participants in the program. The participants represented 118 communities. Evaluations were very positive. RCAP tested a financial course with more detail on subjects covered broadly in the first course. Again, evaluations were positive, but allowed RCAP to modify and improve the course. It will be offered in the Spring of 2006. Development of two other courses are underway for managing finances and assets, which will deal with rates, asset replacement, asset management and asset management plans. RCAP has discussed working with Carl Brown who developed “Show Me Rate Maker” and or Cleveland State and Boise State University to actually demonstrate tools in a computer lab.