



STATE OF CONNECTICUT
 DEPARTMENT OF PUBLIC HEALTH
Small Community Public Water System
Fiscal and Asset Management Plan Guidance & Resources

General Requirements

Pursuant to Connecticut General Statutes-CGS §19a-37e, all small community public water systems (i.e., water companies that regularly serves at least twenty-five, but not more than one thousand, year-round residents), except those that are either (1) regulated by the Public Utilities Regulatory Authority, (2) subject to the requirements set forth in section 25-32d of the CGS, or (3) a state agency, shall complete a fiscal and asset management plan for all of its capital assets not later than **January 1, 2021**. Following the completion of the initial fiscal and asset management plan, the plan must be updated annually and be made available to the department upon request.

Form Guidance

The documents and websites listed here contain helpful information covering all the elements of a Fiscal and Asset Management Plan, and may also include references to additional, more specific documents for certain sections of a Plan.

General Guidance Documents	
From:	Name of Document/Website:
Environmental Finance Center Network (EFCN)	EFCN Homepage
Environmental Protection Agency (EPA)	Reference Guide for Asset Management Tools - Asset Management Plan Components and Tools (Water and Wastewater Systems)
EPA	Rural and Small Systems Guidebook to Sustainable Utility Management (2016)
Rural Community Assistance Partnership (RCAP)	The Big Guide for Small Systems-A Resource for Board Members
RCAP	Non-Operator's Guide to Drinking Water Systems
Southwest EFCN	Southwest EFCN Homepage (Univ. of New Mexico)
Southwest EFCN	Southwest EFCH Asset Management Switchboard
Wateroperator.org	Asset Management Blog
Wateroperator.org	Developing an Asset Management Program
Picking the Fiscal and Asset Management Team	
A public water system should have a team of people who are responsible for the various aspects needed for the management, maintenance & operation, and finances of the water system. The following guidance documents are available to help develop this team.	
From:	Name of Document:
EPA	Building an Asset Management Team
EPA	Asset Management for Local Officials
EPA	Water System Owner Roles and Responsibilities: A Best Practices Guide
EPA	Water System Operator Roles and Responsibilities: A Best Practices Guide
EPA	Talking To Your Decision Makers: A Best Practices Guide
Wateroperator.org	Collaborating Effectively with Board Members
EFCN	Board Member Responsibilities

Water System Schematic	
The schematic should show at least the major components of the water system, from the source to the customer, including treatment, storage, and pumps. It may be more detailed, depending on the preferences of the water system. The initial schematic may only show the major items, then updates to the Plan can become more detailed.	
A schematic is used to visualize the water system in a simple way and provide a perspective on the infrastructure necessary to provide the minimum level of service to customers of the system. It can also be used to help develop the list of assets in the system.	
EPA	Taking Stock of Your Water System - A Simple Asset Inventory for Very Small Drinking Water Systems
Level of Service (LoS)	
The Level of Service refers to the minimum service the water system wishes to provide to its customers. The level of service can be broken down into several items to help you evaluate how well the overall water system is functioning.	
Identifying a minimum Level of Service will help you understand what services your system currently provides and what services you would like to provide in the future to best serve your customers. A utility must determine the expected levels of service demanded by its customers in order to characterize the importance of each asset component and its “criticality” (i.e. its independent importance, which will be addressed in the Asset Inventory) to the day-to-day operation of the utility. This will necessarily be shaped by minimum performance requirements, such as regulations, permit conditions, and water quality standards, etc.	
Southwest EFCN	Southwest EFCN – Level of Service (Core Component)
Section 2: Asset Management Information (Asset Inventory, Capital Improvements, Operation & Maintenance)	
EPA	PWS Operations & Maintenance Manual Checklist
RCAP	Getting Your Project to Flow Smoothly – Guide to Developing Water & Wastewater Infrastructure
EPA	Asset Management - A Handbook for Small Water Systems (STEP Guide Series)
RCAP	Asset Life Expectancy Guide
EFCN	Capital Planning
Wateroperator.org	Emergency Planning
Section 3: Fiscal Management Information	
The purpose of gathering Fiscal Management Information is to ensure systems have the financial resources to maintain day to day operations as well as the ability to handle future improvements and unforeseen expenses. The fiscal questions in the template are designed as a step by step approach to ensure that systems are successful with these essential objectives.	
<ul style="list-style-type: none"> • Water system revenues and expenses must be reviewed regularly to ensure awareness of the current financial status so that adjustments can be made if revenues and expenses are not aligned. • Regular financial reviews allow the system to ascertain if there is sufficient revenue to allow for reserves to be set aside for capital improvements and repairs. • In order to maintain and/or establish financial reserves, fiscal controls should be enacted to make sure • The financial table in the template provides a convenient way to record an accurate accounting of system finances and may illustrate additional areas that need to be taken into consideration when gathering revenue and setting aside reserves. 	
EFCN	Finance/Rates Dashboard
EFCN	Designing Water Rates
EPA	Setting Small Drinking Water System Rates for a Sustainable Future (STEP Guide Series)
RCAP	The Basics of Fiscal Management for Small Community Utilities
Wateroperator.org	Rate Approval Process and Tips for Getting the Rates You Need
Wateroperator.org	Financial Accounting for Small Systems

Section 4: Unaccounted For Water Loss Information

EPA	Water Audits and Water Loss Control for Public Water Systems
EPA	Water Efficiency for Public Water Systems
RCAP	Sustainable Infrastructure for Small System Public Services – Planning and Resource Guide
Wateroperator.org	Water Loss and Conservation for Small Utilities

Appendix A: Drinking Water State Revolving Fund (DWSRF)

CT DPH	CT DWSRF Website
EPA	EPA DWSRF Website