

Pre-Visit Checklist

Capacity Development Assessment



Overview

The Capacity Development Assessment serves as an exercise to help identify technical, managerial, and financial (TMF) capabilities of a water system that may significantly impact your ability to produce safe drinking water now and in the foreseeable future.

Prior to your scheduled meeting with DEQ, identify the following necessary personnel, and collect the following necessary documents, if available, for completing the exercise.

Checklist

Personnel to Attend

- A managing operator (official familiar w/ system operations)
- A financial manager (official familiar w/ system finances)

Technical Capacity Documents

- Operations and Maintenance Plan (O&M)
- Training policies/plan
- Communication policies/plan
- Strategic Growth policies/plan
- Up-to-date system maps
- Emergency Response Plan
- Source Water Protection plan/ maps
- Most recent water loss audit – via the AWWA M36 method
- Source and production capacity
- Contamination prevention policies
- Metering policies & maintenance plan
- Security/Cybersecurity plan

Continued on back ...



Managerial Capacity Documents

- System Ownership & Authority
- Governing Documents - board charters and bylaws
- Board Meetings - comply with applicable law, minutes available to the public
- Organizational Chart
- Personnel Policies

Financial Capacity Documents

- Asset Management Plan
- Financial documents – budget, budget policies, financial reports, reserve funds policy, etc.
- Information on financial position
- Financial policies/procedures for accounts receivable, accounts payable, metering and billing, etc.
- Insurance documents
- Fidelity bonds documents
- Financial audit documents

Questions or Concerns

If some of this information is not attainable or does not yet exist in written format, don't panic – DEQ can provide templates for missing policies and procedures. The purpose of this assessment is to identify the areas in which documentation is lacking so it can be further developed.

DEQ looks forward to meeting with you and providing technical assistance for your system. If you have any questions between now and our meeting- please do not hesitate to reach out to our Capacity Development section.

Lisa Stewart
Capacity Development Section Manager
Water Quality Division
Oklahoma Department of Environmental Quality
(405) 702-8270