



# Drinking Water Assistance Fund Program Year 2013 Annual Report

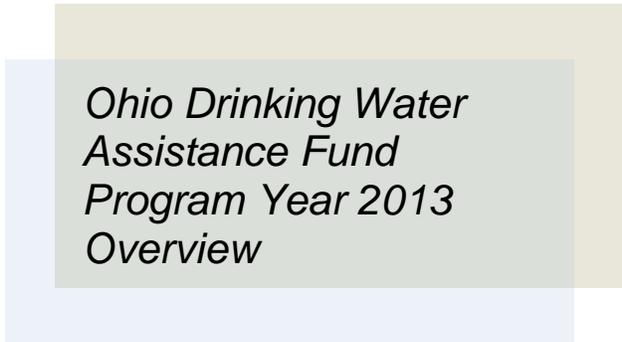


Division of Drinking and Ground Waters  
Drinking Water Assistance Fund  
September 2013

## I. Introduction

The State of Ohio is pleased to submit the Ohio Drinking Water State Revolving Fund (DWAFF) Annual Report for program year (PY) 2013. This report addresses operation of the DWAFF during the time period from July 1, 2012 through June 30, 2013. During that time, Ohio was awarded the 2012 capitalization grant funds.

Ohio EPA provides this report detailing the activities undertaken to reach the goals and objectives set forth in the program management plan developed for PY 2013. This report documents the status of the program by describing progress made toward long- and short-term program goals, the funding sources (e.g., federal grants) and uses of all funds (e.g., loans, set-asides), financial status of the DWAFF, and compliance with federal Drinking Water State Revolving Fund requirements.



### *Ohio Drinking Water Assistance Fund Program Year 2013 Overview*

Total Capitalization Received: \$30,339,000

Number of Projects Binding Commitments: 61 (excludes 3 supplemental loan)

Project Funding Binding Commitments: \$108,043,919

Average Interest Rate: 1.9 percent (excluding short-term loans)

Total Funds Issued for Disadvantaged Community Loans: \$31,158,851

Total Subsidy Issued for Disadvantaged Community Loans: \$7,377,575

Small Systems Funded: 26 loans for \$32,034,097

Total Disbursements: \$64,338,121

Source: NIMS 2013 Reporting Period and OWDA

## II. Goals and Accomplishments

### Long-Term Goals

The long-term goals for this program were established to allow the best use of funds to assist public water systems in meeting their goal to provide safe drinking water to the people of Ohio and continue operation of a revolving fund capable of providing low interest loans to these water systems on a continuing basis. Our short term goals were geared to provide the necessary structure to develop and implement the DWAF, identify the public water systems most in need of loan assistance, and provide a means for such systems to avail themselves of the loan program.

#### Goal # 1

**Maximize below-market rate loans to eligible public water systems to fund improvements to eliminate public health threats and ensure compliance with federal and state drinking water laws and regulations.**



#### Progress

During PY 2013, there were 61 binding loan commitments totaling \$108,043,919. Of these, 26 of the loans served a population of 10,000 or less. The small systems loans accounted for \$32,034,097 which is 29.7 percent of the funds awarded.

#### Goal # 2

**Target technical assistance to public water systems serving 10,000 or fewer people with a technical assistance program provided by funds from the technical assistance set-aside account.**

#### Progress

W.S.O.S. Community Action Commission, Inc, Great Lakes Rural Community Assistance Program (Ohio RCAP) continued to provide managerial and financial assistance to public water systems with populations of 10,000 or fewer. Capability assurance technical assistance focused on financial management of systems. Five types of training sessions were presented to water boards, mayors, city councils, and operators: Utility Management for Local Officials (9 sessions), Financial Management for Local Officials (9 sessions), Asset Management, Budgeting and Rate Setting for Local Officials (7 sessions), Applied Asset Management Featuring CUPSS (6 sessions), and How to Save Money and Spend Wisely (1 session). A total of 32 courses were held, with 279 attendees from 91 systems. Each one-day training session addressed issues related to: utility planning, identifying both direct and indirect operation and maintenance costs, developing budgets, cost recovery, types of financing resources, financial plan development and marketing utility products and services to customers. Copies of templates for spreadsheets of asset management are provided to each attendee on a CD, along with a hard copy of material covered in the

session.

In addition to the classroom course, PY 2013 marked the first year of the online versions of the Utility Management for Local Officials and Financial Management for Local officials. These courses were successful at training 123 local officials representing 24 systems throughout the state.

In addition to the training detailed above, a summary of other activities performed by Ohio RCAP during PY 2013 are as follows:

Planning and design applications completed = 5

Construction loan applications completed = 23

Pre-applications for the project priority list (PPL) completed = 26

Disadvantaged loan applications completed = 16

Assisted in meeting crosscutting requirements = 15

Assisted with locating and procuring funding in addition to the DWAF = 12

Assisted with determining the most affordable option to access safe drinking water = 13

Assisted with readiness to proceed issues = 54

Assisted with capability assurance development = 23

Assisted with community capacity development = 37

### **Goal # 3**

**Improve the types and quantity of small and disadvantaged community assistance to reduce the financial impact of capital improvement projects on smaller systems and systems serving less affluent populations.**

### **Progress**

During PY 2013, 29 loans (including 3 supplemental loans) to small systems were funded for a total of \$32,443,145. PY 2013 was the sixth program year of implementation of the disadvantaged community loan program. For the program year, 16 systems (21 total loans – a few systems had more than one loan) received disadvantaged community loans with the following terms:

- 1 loan issued as design at 1.71 percent for 5 years
- 1 loan issued as design at 1.98 percent for 5 years
- 3 loans issued as construction at 40 percent principal forgiveness and balance at 0.0 percent interest for 30 years
- 1 loan issued as construction at 30 percent principal forgiveness and balance at 1.75 percent interest for 30 years
- 1 loan issued as construction at 30 percent principal forgiveness and balance at 1.88 percent interest for 30 years
- 1 loan issued as construction at 30 percent principal forgiveness and balance at 1.94 percent interest for 30 years
- 6 loans issued as construction at 30 percent principal forgiveness and balance at 2.00 percent interest for 30 years
- 2 loans issued as construction at 20 percent principal forgiveness and balance at 1.94 percent interest for 30 years

- 1 loan issued as construction at 20 percent principal forgiveness and balance at 1.98 percent interest for 30 years
- 4 loans issued as construction at 20 percent principal forgiveness and balance at 2.00 percent interest for 30 years

The total amount of funds issued for disadvantaged community loans is \$31,158,851.

#### **Goal # 4**

**Fund the construction of extensions of public water systems, or if extensions are not economically feasible, the construction of new public water systems to address pockets of contaminated private water systems.**

#### **Progress**

During PY 2013, Ohio funded five systems for extensions to provide safe water due to wells with bacteriological contamination. The total amount for these loans is \$2,909,984.

#### **Goal # 5**

**Promote the development of the technical, managerial and financial capability of public water systems to maintain compliance with the state and federal Safe Drinking Water Act (SDWA) requirements, and Ohio's Capacity Assurance Program.**

#### **Progress**

Ohio has implemented the Capacity Assurance Program as required in the SDWA for all new systems and all recipients of DWAF assistance. Rules to implement this program became effective October 1, 1999. Ohio EPA also developed a guidance document to assist systems in the development of an approvable Capacity Assurance Plan (CAP). This guidance became final on September 25, 2000.

Ohio EPA must ensure each public water system (PWS) that receives a DWAF loan can demonstrate technical, managerial, and financial capacity. DWAF funds cannot be used to provide any type of assistance to a PWS that lacks the technical, managerial, or financial capability to maintain SDWA compliance, unless the PWS owner agrees to implement feasible and appropriate changes in operation and maintenance practices and in the financial management of the system. All 61 loan awards (35 individual systems) completed a capacity assurance plan that was evaluated by district and central office personnel from the Division of Drinking and Ground Waters. For further information on accomplishments of the capability assurance program during this program year, please see the *PY 2013 Capability Assurance Report*, Appendix A.

Ohio EPA provides additional assistance to all potential loan recipients with populations of 10,000 or fewer in the completion of a CAP. Ohio RCAP, program provider of financial and managerial assistance through the Small Systems Technical Assistance Program (SSTAP), assisted in the development of these plans for eligible small systems.

In an effort to identify small water systems that need financial or managerial assistance, Ohio EPA developed the Ohio RCAP list which includes only community water systems serving 10,000 or less in population. Systems intended for this list are those that need

financial and/or managerial technical assistance to achieve or maintain compliance. A system placed on the Ohio RCAP list and receives the needed technical assistance may graduate to the PPL/IPL when it is ready to proceed with a project being funded through the DWAF. Twenty-two small systems were placed on the Ohio RCAP list during PY 2013. For further information on Ohio RCAP assistance provided during this program year, please see the *PY 2013 Small Systems Technical Assistance Set-aside Report*, Appendix B.

There were 231 capability assurance evaluation forms completed for community water systems 250 or greater in population during the program year. These forms will give us additional information before proceeding with the revised capability assurance rules.

Through the currently enacted rules, guidance document, and additional assistance provided to eligible small systems, Ohio EPA is able to ensure that each DWAF loan recipient demonstrates capacity assurance.

#### **Goal # 6**

**Provide financial assistance for completing source water assessments (delineation, inventory, susceptibility analysis and distribution of assessment information) with funds from the Wellhead Protection and PWSS Set-aside accounts to promote the development and implementation of local source water protection plans.**

#### **Progress**

Ohio EPA utilized the Wellhead Protection and PWSS Set-asides to fund activities during PY 2013. Ohio EPA funded over seven full-time equivalent staff to support implementation of source water assessment activities specified in Ohio's DWAF Program Management and Intended Use Plan for PY 2013. Please see Appendix C for the complete PY 2013 Wellhead Protection Set-aside Report.

During PY 2013, the program has focused on promoting protective strategies, conducting training workshops, providing direct technical assistance to public water system officials, developing education and outreach activities, completing source water assessment reports for new public water systems, reassessing protection areas as needed to address changes in pumping rate or well configuration, and QA/QC of the source water assessment information and geographic information system databases.

During PY 2013, 131 source water assessment reports were completed and mailed out. Of these, 57 were revisions of earlier source water assessment reports due to new wells at existing wellfields, changed pumping rates, and other types of changes that warranted a revision of the earlier report.

### **Goal #7**

**Encourage the consolidation and/or regionalization of small public water systems to allow them to take advantage of the economies of scale available to larger water systems.**

#### **Progress**

During PY 2013, Ohio funded two projects which consolidated/regionalized public water systems. As a result, two public water systems were connected to more capable water systems. The total loan amount is \$2,347,102.

## **Short-Term Goals**

### **Goal # 1**

**Continue implementation of the DWAF as an ongoing environmental assistance program.**

**Subsequent years will more fully develop the capabilities of the DWAF in development and implementation of source water protection, and assistance for disadvantaged system improvements.**

#### **Progress**

Ohio EPA made progress in establishing the DWAF as an effective environmental assistance program in Ohio. For the DWAF this program year, this includes obligation of substantial portions of the available capitalization grants and state match funds. Extensive work was completed in both the source water protection program and implementing the disadvantaged community program. See Long-term goals #3 and #6 for more detailed information.



### **Goal # 2**

**Provide opportunities for meaningful public involvement in DWAF continuing implementation by public notification of the Intended Use Plan/Management Plan, Project Priority List, and hosting two public meetings per program year.**

#### **Progress**

When seeking approval for each management and intended use plan, public notification is sent to 12 statewide newspapers and a list of interested parties indicating that a new plan is available for review. Draft plans may be obtained from Central Office by phone or email request, in person at Central Office and via Ohio EPA's website. On June 13, 2012, two public meetings were held to allow interested parties to present their comments and suggestions on Ohio's Draft PY 2013 Program Management and Intended Use Plan. A public notice was published on May 10, 2012 to advertise the availability of the Draft Program Management and Intended Use Plan and announce the public meetings. The draft plan and public notice were available on Ohio EPA Division of Drinking and Ground Waters website. Information regarding the 30-day public comment period was also sent

via an email Listserv.

Additionally, on April 9, 2013, two public meetings were held to allow interested parties to present their comments and suggestions on Ohio's Draft Amended PY 2013 Program Management and Intended Use Plan. A public notice was published on March 6, 2013 to advertise the availability of the Draft Amended Program Management and Intended Use Plan and announce the public meetings. The draft plan and public notice were available on Ohio EPA Division of Drinking and Ground Waters website. Information regarding the 30-day public comment period was also sent via an email Listserv.

### **Goal # 3**

**Promote the fund as an effective means to provide financial assistance to systems developing capital improvement projects to address new regulations and are listed by Ohio EPA as a “priority” system.**

#### **Progress**

Ohio EPA has promoted the use of DWAF funds to meet the above goal as follows:

- Use of the DWAF program is promoted by Ohio EPA district office personnel. As water systems are identified that may need to replace or upgrade their equipment to meet one of the new rules, the DWAF program is marketed to them as a means of obtaining funds to meet compliance requirements.
- Ohio EPA has placed information on the Ohio EPA website so that all water systems can be familiar with the requirements of these new rules. Links have also been created from the Ohio EPA website, to the U.S. EPA website, where additional fact sheets are available. Ohio EPA utilizes its email Listserv to broadly distribute program information and deadlines.
- The technical assistance providers used by Ohio EPA have been promoting the use of DWAF funds as they identify water systems with compliance and infrastructure needs. They have also been distributing fact sheets, pre-applications and additional technical assistance, as needed.
- Ohio EPA also coordinated with U.S. EPA-funded training providers to enhance system capacity. Specifically, Texas A&M's Extension Office (TEEX) provided training on the Surface Water Treatment Rule at six locations throughout the State. Multiple water system operators and Ohio EPA district staff attending the training. In addition, the Environmental Finance Center hosted a financing workshop for small water system owners. This training was recorded and is now available on our web site.

### **Goal # 4**

**Develop sustainable infrastructure and planning initiatives for public water systems during the 2013 program year.**

#### **Progress**

Ohio EPA added additional effective management points to the project priority list ranking

criteria to encourage sustainable infrastructure activities such as utility board training, asset management planning, water conservation and source water protection. The table below provides a breakdown of the outputs, quantity and outcomes for water systems in PY2013.

### Outputs and Outcomes for PY 2013

	<b>Output</b>	<b>Quantity</b>	<b>Outcome</b>
1.	Drinking water transmission/distribution projects to construct, rehabilitate or upgrade drinking water transmission and distribution systems across the state.	35	More people getting better drinking water from current and existing treatment systems across the state.
2.	Drinking water treatment projects to construct and/or rehabilitate drinking water treatment facilities across the state.	9	Better drinking water for thousands of people across the state and, upon completion of the projects, facilities that meet all applicable permits and SDWA requirements.
3.	Drinking water storage projects to construct and/or rehabilitate drinking water storage facilities across the State.	7	Better drinking water for thousands of people across the state and, upon completion of the projects, storage facilities that meet all applicable permits and SDWA requirements.
4.	Drinking water source projects to construct and/or rehabilitate drinking water sources across Ohio.	3	Better drinking water and source water that meet all applicable permits and SDWA requirements.
5.	Planning and design loan projects for future improvements at public water systems.	7	Planning and design for future construction projects in Ohio.

### III. DWAF Loan and Set-aside Activities

This section provides a discussion of the DWAF assistance activities during PY 2013. Included are details on the sources of funding in the program, the status of loan activities, and the status of Set-aside activities.

**Table 1**  
**DWAF Financial Summary for PY 2013**

<b>Funding sources for PY 2013</b>	
DWAF 2012 Cap Grant (net of set asides)	27,166,710
Loan Repayments	9,990,510
Interest Earnings	1,759,525
<b>Total Sources PY 2013</b>	<b>38,916,745</b>
<b>Funding uses for PY 2013</b>	
PY 12 Total Loan Awards (incl suppl)	108,452,966
Total Uses PY 2013	108,452,966
Increase / (Decrease) in Funds Available	(69,536,221)
Funds Available End of PY 12	86,889,947
<b>Funds Available End of PY 13</b>	<b>17,353,726</b>

#### 1. Capitalization Grants

Prior to PY 2013, Ohio EPA had received 15 capitalization grants from U.S. EPA. During PY 2013, the total capitalization grant funds received through the end of PY 2013 was \$441,480,400 (see Table 2). Please refer to Table 3, "Set-aside Balances and Expected Capitalization Grant Funding," attached to this report, regarding the remaining grant balances in the Set-aside accounts at the beginning of the program year including amounts taken from the FFY 2008, 2009, 2010 and 2011 capitalization grants.

#### 2. State Match

The State of Ohio is required to match all federal capitalization grants with a state match of a least 20 percent. Since the inception of the DWAF program, the state matching funds have been provided from a number of sources including: the Ohio Water Development Authority, 2001 Bond Anticipation Notes, 2002, 2004 and 2010 State Match Bond Proceeds, and interest earned on state match accounts.

Table 2 attached to this report provides a breakdown of the match provided to date. The table shows, at the end of the reporting period, the proportion of state match to federal

capitalization grants was 21.58 percent, exceeding the requirement.

### **3. DWAF Leveraged Revenue Bonds**

No Leverage bonds were issued during PY 2013.

### **4. Investment Income (interest income)**

Investment income in the amount of \$1,759,525 was earned during the reporting period.

### **5. Repayments**

During PY 2013, \$48,062,042 in loans were awarded utilizing the Repayment Fund. At the end of PY 2013, the Repayment Fund balance of \$17,353,726 was available to be used for loans as needed to meet our project demand.

## **Uses of Funds under the DWAF**

The DWAF has provided \$995,841,096 in loans to public water systems since its inception. In PY 2013, the DWAF program has Set-aside \$3,172,290 for activities which include Administration, Small Community Technical Assistance, and Public Water System Supervision.

### **1. Loan Assistance Status**

The DWAF entered into 64 loan agreements (includes supplemental loans) totaling \$108,452,966 during PY 2013. The loans range in amounts from \$19,203 to \$13,549,319. The normal term for construction loans is 20 years. However, disadvantaged community loans were awarded during PY 2013 that included a 30-year repayment term, zero percent interest rate, and principal forgiveness. Principal forgiveness ranged from \$9,000 to \$2,103,385. Seven planning/design loans were awarded in the amount of \$2,423,308 with a five-year term. The overall rate of return for the long-term loans (i.e. excluding the short-term planning/design/construction loans) is an interest rate of approximately 1.9 percent.

#### **a. Total Loan Awards**

During the reporting period, Ohio EPA entered into 64 loan awards totaling \$108,452,966. Of that amount, \$7,377,575 was given in principal forgiveness, and \$101,075,392 was issued in loans.

#### **b. Project Bypass**

During PY 2013, there were no formally bypassed projects.

**c. Small Systems**

Of the 64 loan awards in PY 2013, 29 loans were awarded to small water systems serving a population of 10,000 or fewer. A total of \$32,443,145 was awarded to small systems during PY 2013. During PY 2013, 21.63 percent of funds made available were awarded to small communities with a cumulative percentage of 19.78 percent awarded to small communities since program inception. See Table 5.

**d. Disbursements**

Since the beginning of the program through this reporting period, the total disbursements from the DWAF were \$822,988,949. Of that amount, \$58,460,000 was ARRA funds.

**e. Top 10 Awarded Projects on the PY 2013 PPL**

1. Henry County Regional Water & Sewer District  
This project continues the assumption by Henry County WSD of the McClure public water system. This project provides a regional water service connection from the village of Malinta, which will allow the McClure system to be abandoned. The city of Napoleon will provide potable water by means of the regional service connection. The service connection will include approximately 16,300 lf of waterline, a booster pumping station, and chlorination building, as well as a new elevated storage tank.  
*Total Project Cost: \$1,590,467.87 @\$1,172,887.33 loan @1.98% for 30 years and \$417,580.54 principal forgiveness. (Northwest District)*
2. Bellaire  
This project consists of replacing the existing failing collector well with a new collector well. Project includes the well intake structure, three well pumps, electrical and manual controls for the well structure, well building and well piping, valves and the line to the water treatment plant.  
*Total Project Cost: \$2,341,172.00 @\$1,413,516.00 loan @0.00% for 30 years and \$927,656.00 principal forgiveness. (Southeast District)*
3. Cleves  
This project includes construction of an 8-inch water main extension to Stephens Rd., River Rd., Lincoln, Mills, Chambers, and Lawrenceburg Rds. This Phase 2 completes the Elizabethtown area project for providing a public water supply to residents with well supply contamination concerns that presently have no public water or sewer system. Project also includes new metering, backflow of water services and well abatement processes.  
*Total Project Cost: \$491,140.53 @\$394,029.22 loan @2.00% for 30 years and \$91,111.31 principal forgiveness. (Southwest District)*

4. Cleves (design)  
This project includes design of an 8-inch water main extension to Stephens Rd., River Rd., Lincoln, Mills, Chambers, and Lawrenceburg Rds. Design will allow for the construction of Phase 2 which will complete the Elizabethtown area project for providing a public water supply to residents with well supply contamination concerns that presently have no public water or sewer system. Project also includes new metering, backflow of water services and well abatement processes.  
*Total Project Cost: \$129,023.62 loan @1.98% for 5 years. (Southwest District)*
5. Putnam Community Water Corporation  
This project includes the installing of treatment, either anionic exchange resins or reverse osmosis, to reduce nitrate levels to meet the MCL.  
*Total Project Cost: \$2,555,435.00 loan @1.71% for 20 years. (Southeast District)*
6. Pike Water Incorporated  
This project includes construction of a 45 gpm booster station, a 129,000 gallon glass-lined standpipe and approximately 3,150 feet of 6" waterline, approximately 16,600 feet of 4" waterline, related valves, hydrants and related appurtenances.  
*Total Project Cost: \$996,354.00 @\$601,563.00 loan @0.00% for 30 years and \$394,791.00 principal forgiveness. (Southeast District)*
7. Nelsonville  
This project consists of replacing the existing 1.088 MGD groundwater lime-soda softening plant with a new iron filtration followed by ion exchanged softening and disinfection, rated at 1.440 MGD. The improvements will meet projected water demands and provide improved water quality.  
*Total Project Cost: \$4,490,530.36 loan @1.98% for 20 years. (Southeast District)*
8. Liberty Center  
This project includes the installation of an aeration system for removing TTHM concentrations from the water supplied by the city of Napoleon. In addition, the project includes installation of a master meter, booster pump, and chlorination system.  
*Total Project Cost: \$316,739.21 @\$465,239.21 loan @1.94% for 30 years and \$148,500.00 principal forgiveness. (Northwest District)*
9. Blanchester  
This water treatment plant improvement project involves improvements water treatment plant to address capacity issues and meet the DBP rules.  
*Total Project Cost: \$4,755,799.48 @\$4,082,800.78 loan @2.00% for 30 years and \$672,998.70 principal forgiveness. (Southwest District)*

10. Highland Ridge Water Association, Incorporated  
This project includes multiple water line extensions, a new hydro-pneumatic booster station, and improvements to an existing booster station.  
*Total Project Cost: \$717,037.65 @\$432,921.79 loan @0.00% for 30 years and \$284,115.86 principal forgiveness. (Southeast District)*

## **2. Set-aside Activity Status**

### **a. Administration**

The Set-asides provided for in the 1996 Amendments to the SDWA from other capitalization grants were used when necessary to supplement existing state programs and funds, and not as substitutes for existing funding. By doing this, Ohio EPA could use the maximum amount of funds for infrastructure improvements.

Funds from this Set-aside were used to pay salaries and associated expenses of personnel administering the DWAF program. Ohio EPA currently collects administrative fees from loan recipients. Administrative fees collected are deposited into the Administrative Account which also contains the Set-aside. With the exception of loans to disadvantaged communities, Ohio EPA collected the loan origination fee of 1.0 percent of the principal of each loan originated from the DWAF during PY 2013. The Ohio Water Development Authority (OWDA) requires a fee of 0.35 percent of the entire the loan amount. The OWDA fees are also deposited into the Administrative Account to be utilized by OWDA for administrative costs related to the program. Fees deposited into the Administrative Account must be used solely to defray the costs of administering the program.

These fees are due at the time of the loan award. Administrative funds that remain in the account at the conclusion of the program year remain in the account to address program administrative costs in subsequent program years.

Implementation of the DWAF has involved the budgeting of 5.8 FTEs with the Division of Drinking and Ground Waters, and 3.9 FTEs with the Division of Environmental and Financial Assistance. During the program year, Ohio EPA completed the following administrative activities:

- Development of program documents, procedures and Set-aside work plans
- Solicitation of applications
- Development of comprehensive list of projects
- Evaluation of public water systems for technical, financial, and managerial capacity
- Project selection and development of IUPs
- Conduct public meetings for development of project priority lists and IUPs
- Preparation of capitalization grant applications
- Oversight/implementation of Small Systems Technical Program implementation

**b. Capacity Assurance Program**

Please see the *PY2013 Capability Assurance Report* for further detailed information, Appendix A.

**c. Small Systems Technical Assistance**

Please see the *PY2013 Small Systems Technical Assistance Set-aside Report* for further detailed information, Appendix B.

**d. Wellhead Protection Program**

Please see the *PY2013 Wellhead Protection Set-aside Report* for further detailed information, Appendix C.

## IV. Financial Statements

The Ohio Water Development Authority, our partner in administering the DWAF, is audited annually on a calendar year basis. The DWAF is included in that audit. The annual audit reports, including financial statements, are forwarded to U.S. EPA upon their release by the Auditor, State of Ohio. Financial Statements (Tables 6, 7, 8) for PY 2013 including a balance sheet, statement of cash flows and statement of revenues, expenses and changes in net assets are attached.

Ohio EPA agreed to administer the DWAF in accordance with conditions outlined in the Grant Agreements and the Operating Agreement (July 1998). The following conditions have been met as described in the operating agreement or the capitalization grant agreement and will not be described further:

- Agreement to accept payments
- Follow state laws and procedures
- Follow state accounting and auditing procedures
- Recipient accounting procedures using Generally Accepted Accounting Principles and auditing procedures using Government Auditing Standards
- Use of the Automated Standard Application for Payments
- Preparation of Project Priority List and Program Management and Intended Use Plan annually
- Through the Ohio Water Development Authority, establish and maintain designated DWAF accounts

## V. Compliance with Operating Agreement and Grant Conditions

Other conditions, requirements or regulations which were met during PY 2013 include: matching Automated Standard Application for Payments (ASAP) increases at the 20 percent level, expeditious and timely expenditure of funds, providing SRF funds only for eligible activities, compliance with SDWA requirements for all projects receiving binding commitments, the Minority Business Enterprises and the Women's Business Enterprises requirements, compliance with other federal authorities; compliance with the State Environmental Review Process (SERP); compliance with the ASAP cash draw procedures and rules established by U.S. EPA; and the performance of an annual audit and annual review.

As required per the Federal Fiscal Year (FFY) 2012 Consolidated Appropriations Act (P.L. 112-74), Federal Fiscal Year (FFY) 2013 Continuing Resolution (P.L. 112-175) and guidance provided by U.S. EPA for the FFY 2012 and FFY 2013 capitalization grants, below is information on fund sustainability and DWAF Projects & Reporting Benefits system (PBR) reporting.

In regard to Ohio EPA's DWAF fund sustainability, Ohio EPA in conjunction with OWDA has developed a model and modeled the fund since its inception. Based on modeled results for PY 2013, the fund remains sustainable. The model also assumes the capitalization grant ceases after FFY 2018 and that funding levels for FFY 2013 – 2018 remain at FFY 2008 levels. For details on the fund sustainability as modeled recently in May 2013 for PY 2014, see Appendix D.

During PY 2013, Ohio EPA DWAF met the FFY 2012 capitalization grant requirements for subsidy. See Appendix E for details.

PBR reporting information and the required data elements are provided in Appendix F.



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<b>Table 2</b>					
<b>Capitalization Grant Award and State Match Summary</b>					
<b>6/30/2013</b>					
	<b>FFY</b>	<b>Cap Grant</b>		<b>State Match</b>	
<b>Grant Number</b>	<b>Appropriation</b>	<b>Award Date</b>	<b>Cap Grant Amount</b>	<b>Amount (20%)</b>	<b>Remarks</b>
FS985954-98	1997	9/11/98	43,073,000.00	8,614,600.00	Provided by OWDA
FS985954-99	1998	9/30/99	22,806,200.00	4,561,240.00	Provided by OWDA
FS985954-00	1999	9/21/00	23,903,100.00	4,780,620.00	2001 BAN
FS985954-00	2000	9/21/00	24,842,200.00	4,968,440.00	2001 BAN
FS985954-00-1	2001	9/19/01	24,944,900.22	4,988,980.04	2001 BAN
FS985954-02	2002	4/26/02	24,547,600.00	4,909,520.00	\$261,960 by 2001 BAN and \$4,647,560 by 2002 SM Bonds
FS985954-03	2003	9/17/03	24,400,100.00	4,880,020.00	2002 SM Bonds
FS985954-04	2004	9/30/04	25,311,500.00	5,062,300.00	\$3,259,157 by 2002 SM Bonds and \$1,803,143 by 2004 SM Bonds
FS985954-05	2005	8/30/05	25,257,900.00	5,051,580.00	2004 SM Bonds
FS985954-06	2006	9/28/06	24,670,900.00	4,934,180.00	2004 SM Bonds
FS985954-07	2007	9/25/07	24,671,000.00	4,934,200.00	2004 SM Bonds
FS985954-08	2008	9/24/08	24,421,000.00	4,884,200.00	2004 SM Bonds
FS985954-09	2009	9/30/09	24,421,000.00	4,884,200.00	2004 SM Bonds
FS985954-10	2011	3/4/11	43,610,000.00	8,722,000.00	2004 SM Bonds
FS985954-11	2011	9/28/11	30,261,000.00	6,052,200.00	2004 / 2010 SM Bonds
FS985954-12	2012	9/26/12	30,339,000.00	6,067,800.00	2004 / 2010 SM Bonds
			441,480,400.22	88,296,080.04	Total
<b>State Match Sources</b>					
Source	Amount				
OWDA	\$13,214,600.00				
2001 BAN	\$15,000,000.00				
2002 SM Bonds	\$12,786,737.00				
2004 SM Bonds	\$33,814,620.00				
2010 SM Bonds	\$18,000,000.00				
Interest Earned	2,456,116				
<b>Total</b>	<b>\$95,272,072.63</b>		Available State Match	<b>6,975,992.59</b>	
Source: OWDA					

Table 3			
<b>Set-aside Balances and Expected Capitalization Grant Funding</b>			
<b>6/30/2013</b>			
<b>FFY 2012 Appropriation Capitalization Grant</b>			
	<b>Prior Year</b>	<b>2013 Grant</b>	<b>Total for</b>
<b>Set-Aside Accounts</b>	<b>Balances</b>	<b>Amounts</b>	<b>each account</b>
Administrative	2,496,146	1,153,560	3,649,706
Small Community Tech Assistance	942,035	576,780	1,518,815
Public Water System Supervision	4,339,226	1,441,950	5,781,176
	<b>7,777,407</b>	<b>3,172,290</b>	<b>10,949,697</b>
Source: OWDA			

<b>Table 4</b>						
<b>Proportionality Report</b>						
PY 2013 WSRLA Loan Disbursements						
			Actual Proportionality Percentage	WSRLA Federal Amt	State Match	Target Proportionality Percentage
<b>as of 6/30/2012</b>				\$380,880,440	\$76,176,080	16.67%
	Federal	State	(Total SM/Fed+SM)			
Encumbered	\$ 369,861,516.40	\$86,793,727.81	19.01%			
Disbursed	\$ 298,797,869.95	\$83,706,517.17	21.88%			
<b>as of 9/30/2012</b>				\$441,480,400	\$88,296,080	16.67%
Encumbered	\$ 412,952,283.97	\$86,451,801.53	17.31%			
Disbursed	\$ 352,655,093.70	\$83,954,646.28	19.23%			
<b>as of 12/31/2012</b>				\$441,480,400	\$88,296,080	16.67%
Encumbered	\$ 435,480,028.55	\$86,007,881.41	16.49%			
Disbursed	\$ 366,843,166.73	\$84,370,690.35	18.70%			
<b>as of 3/31/2013</b>				\$441,480,400	\$88,296,080	16.67%
Encumbered	\$ 441,139,785.83	\$85,987,082.66	16.31%			
Disbursed	\$ 383,270,697.72	\$84,657,735.71	18.09%			
<b>as of 6/30/2013</b>				\$441,480,400	\$88,296,080	16.67%
Encumbered	\$ 441,480,400.00	\$95,272,072.00	17.75%			
Disbursed	\$ 383,716,559.03	\$84,708,544.95	18.08%			
Source: OWDA						

<b>Table 5</b>											
<b>15% to Small Communities Calculation</b>											
<b>Program Year 2013</b>											
Start of PY	End of PY	Total Amount Available in PY	Amount Made Available in PY	15% Made Available	Amount to Small Communities	PY % of Amount Made Available to Small Communities	Cumulative Amount Made Available	Cumulative Amount to Small Communities	Cumulative % of Amount Made Available to Small Communities	Prior Year Carryover	% of Amount Available with Carryover
11/1/1998	6/30/1999	\$90,479,160	\$90,479,160	\$13,571,874	\$1,276,203	1.41%	\$90,479,160	\$1,276,203	1.41%	\$0	1.41%
7/1/1999	6/30/2000	\$122,904,728	\$122,904,728	\$18,435,709	\$6,025,698	4.90%	\$213,383,888	\$7,301,901	3.42%	\$0	4.90%
7/1/2000	6/30/2001	\$108,532,852	\$108,532,852	\$16,279,928	\$6,470,664	5.96%	\$321,916,740	\$13,772,565	4.28%	\$0	5.96%
7/1/2001	6/30/2002	\$49,799,315	\$49,799,315	\$7,469,897	\$15,861,749	31.85%	\$371,716,055	\$29,634,314	7.97%	\$8,391,852	31.85%
7/1/2002	6/30/2003	\$120,855,214	\$120,855,214	\$18,128,282	\$17,097,690	14.15%	\$492,571,269	\$46,732,004	9.49%	\$7,361,260	21.09%
7/1/2003	6/30/2004	\$89,449,175	\$89,449,175	\$13,417,376	\$29,622,629	33.12%	\$582,020,444	\$76,354,633	13.12%	\$23,566,512	41.35%
7/1/2004	6/30/2005	\$134,511,633	\$134,511,633	\$20,176,745	\$16,045,452	11.93%	\$716,532,077	\$92,400,085	12.90%	\$19,435,219	29.45%
7/1/2005	6/30/2006	\$167,734,147	\$167,734,147	\$25,160,122	\$26,693,586	15.91%	\$884,266,224	\$119,093,671	13.47%	\$20,968,683	27.50%
7/1/2006	6/30/2007	\$147,228,481	\$65,000,000	\$9,750,000	\$38,996,743	59.99%	\$949,266,224	\$158,090,414	16.65%	\$50,215,426	40.73%
7/1/2007	6/30/2008	\$137,424,578	\$120,000,000	\$18,000,000	\$23,035,916	19.20%	\$1,069,266,224	\$181,126,330	16.94%	\$55,251,342	53.30%
7/1/2008	6/4/2009	\$124,025,847	\$120,000,000	\$18,000,000	\$7,085,322	5.90%	\$1,189,266,224	\$188,211,652	15.83%	\$44,336,664	50.26%
7/1/2009	6/30/2010	\$143,624,252	\$140,000,000	\$21,000,000	\$55,208,931	39.43%	\$1,329,266,224	\$243,420,583	18.31%	\$78,545,595	69.31%
7/1/2010	6/30/2011	\$115,612,952	\$75,000,000	\$11,250,000	\$14,193,111	18.92%	\$1,404,266,224	\$257,613,694	18.35%	\$81,488,706	80.21%
7/1/2011	6/30/2012	\$158,801,659	\$100,000,000	\$15,000,000	\$37,166,381	37.17%	\$1,504,266,224	\$294,780,075	19.60%	\$103,655,087	74.72%
7/1/2012	6/30/2013	\$126,232,536	\$150,000,000	\$22,500,000	\$32,443,145	21.63%	\$1,654,266,224	\$327,223,220	19.78%	\$113,598,232	107.82%

Source: DWAF and DEFA

<b>Table 6</b>	
<b>Drinking Water Assistance Fund</b>	
Balance Sheet	
June 30, 2013	
<u>Assets</u>	
Cash and cash equivalents	31,438,502
Investments	139,312,794
Receivables:	
Federal and local government authorities	552,599,618
Other	68,358
Total assets	<u>723,419,272</u>
<u>Deferred Outflows of Resources</u>	
Loss on Refunding	11,191,723
Total assets and deferred outflows of resources	<u>734,610,995</u>
<u>Liabilities and Net Position</u>	
Accounts Payable	5,391,780
Accrued interest	1,057,080
Drinking Water Assistance Fund Bonds	
State Match Series	17,050,214
Leverage Series	261,039,861
Total liabilities	<u>284,538,935</u>
Net Position	450,072,060
Total liabilities and net position	<u>734,610,995</u>

Source: OWDA

<b>Table 7</b>	
<b>Drinking Water Assistance Fund</b>	
Statement of Revenues, Expenses and Changes in Net Assets	
Year ended June 30, 2013	
Revenues:	
Project revenue	14,716,177
Investment income	854,721
Admin fees from projects	844,850
Contribution from U.S. EPA	97,512,953
	<b>113,928,701</b>
Expenses:	
Interest on bonds and notes	10,657,418
Loan Principal Forgiveness	14,068,776
Operating expenses and other	3,356,763
	<b>28,082,957</b>
Excess (deficiency) of revenues over expenses	
before non - operating revenue	85,845,744
Other	-
Excess (deficiency) of revenues over expenses	<b>85,845,744</b>
Net Position at beginning of year, as restated (See Note 1)	364,226,316
Net Position at end of year	<b>450,072,060</b>
<b>Footnote 1 Change in Accounting Principles &amp; Prior Period Adjustment</b>	
For fiscal year 2013, the Authority implemented GASB Statements 63 & 65. Statement 63 amended net asset reporting requirements by incorporating deferred outflows of resources and renaming net assets as net position on balance sheet. Statement 65 reclassifies deferred losses on debt refundings as deferred outflows of resources. GASB 65 also requires debt issuance costs to be expensed in period incurred. The Authority was also required to write off deferred issuance costs for issuances prior to 2013 and restate beginning of year net position as detailed below:	
6/30/2012 Net Position as previously reported	366,307,112
Decrease due to adjustment to deferred bond expense	(2,080,796)
Restated beginning year balance	<b>364,226,316</b>

Source: OWDA

<b>Table 8</b>	
<b>Drinking Water Assistance Fund</b>	
Statement of Cash Flows	
Year ended June 30, 2013	
Operating activities:	
Administrative fees from projects	844,850
Operating expenses	(3,356,763)
Net cash provided (used) by operating activities	(2,511,913)
Investing activities:	
Proceeds from maturity or sale of investments	128,742,319
Purchase of investments	(163,613,066)
Interest received on investments, net of purchased interest	1,759,523
Interest received on projects	14,358,093
Principal collected on projects	31,795,500
Payment for construction of projects	(64,338,121)
Net cash provided (used) by investing activities	(51,295,752)
Noncapital financing activities:	
Interest paid on bonds and notes, net of purchased interest	(12,785,397)
Redemption of bonds and notes	(28,710,000)
Proceeds of bonds and notes	-
Bond issuance expense	-
Contribution from U.S. EPA	101,837,922
Net cash provided (used) by noncapital financing activities	60,342,525
Net increase (decrease) in cash and cash equivalents	6,534,860
Cash and cash equivalents at beginning of period	24,903,149
Cash and cash equivalents at end of period (Note 1)	31,438,009
Reconciliation to net cash provided (used) by operating activities:	
Excess (deficiency) of revenues over expenses before operating transfer	85,845,744
Adjustments:	
Investment income	(854,721)
Operating expenses	14,068,776
Interest on bonds and notes	10,657,418
Project revenue	(14,716,177)
Contribution from U.S. EPA	(97,512,953)
Net cash provided (used) by operating activities	(2,511,913)
Note 1: As of June 30, 2013, the Drinking Water Funds had cash and cash equivalent balances of \$31,438,502, which includes accrued interest receivable of \$493 on money market balances. 6/30/2013 cash and cash equivalent balance for cfs was 31,438,009, which doesn't include accrued interest receivable of \$493.	

Source: OWDA

**Table 9****PY 2013 Binding Commitments and Supplemental Loans**

	Applicant	Project Description	Award Date	WSRLA Loan Amount	Principal Forgiveness	Loan & PF Total	Type	Rate	Term	Pop	Purpose
1	East Palestine	Moore Ln. WL Rplcm	Jul-12	\$ 287,282	\$ 71,775	\$ 359,057	T-3	2.00%	30	4,917	Construction
2	New Straitsville	Repl 15,750 ft lines (Ph I)	Jul-12	\$ 539,819	\$ 227,461	\$ 767,280	T-2	2.00%	30	800	Construction
3	Athens	Dist Imprvs (Const)	Aug-12	\$ 815,058	\$ -	\$ 815,058	STD	2.63%	20	23,832	Construction
4	Cincinnati	Rockdale WL Rplcmt	Oct-12	\$ 943,346	\$ -	\$ 943,346	EA	1.98%	20	1,100,000	Construction
5	Cincinnati	Oregon/Baum WL Rplcmt	Oct-12	\$ 398,302	\$ -	\$ 398,302	EA	1.98%	20	1,100,000	Construction
6	Cincinnati	Coffey St WL Rplcmt	Oct-12	\$ 1,491,648	\$ -	\$ 1,491,648	EA	1.98%	20	1,100,000	Construction
7	Cincinnati	Beclare Rd WL Rplcmt	Oct-12	\$ 412,430	\$ -	\$ 412,430	EA	1.98%	20	1,100,000	Construction
8	Cleves	WL for Elizabethtown Ph 2	Oct-12	\$ 129,024	\$ -	\$ 129,024	T-3	1.98%	5	2,790	Design
9	Henry County Reg W&SD	Connection to Malita	Oct-12	\$ 1,172,887	\$ 417,581	\$ 1,590,468	T-3	1.98%	30	761	Construction
10	Nelsonville	New WTP	Oct-12	\$ 4,490,530	\$ -	\$ 4,490,530	EA	1.98%	20	10,000	Construction
11	Cincinnati	66th/70th Sts./Rosewood WL Rplcm	Dec-12	\$ 1,488,100	\$ -	\$ 1,488,100	EA	1.94%	20	1,100,000	Construction
12	Cincinnati	Knowlton/Dane WL Rplcmt	Dec-12	\$ 1,478,388	\$ -	\$ 1,478,388	EA	1.94%	20	1,100,000	Construction
13	Cincinnati	Pedretti Rd WL Rplcmt	Dec-12	\$ 1,467,619	\$ -	\$ 1,467,619	EA	1.94%	20	1,100,000	Construction
14	Cincinnati	Clough Pike WL Rplcmt	Dec-12	\$ 725,062	\$ -	\$ 725,062	EA	1.94%	20	1,100,000	Construction
15	East Palestine	Wheathill Storage Tank Install	Dec-12	\$ 365,498	\$ 61,380	\$ 426,878	T-3	1.94%	30	4,917	Construction
16	Jefferson County	Brilliant Bstr Stat & Trns Mn Impr	Dec-12	\$ 3,906,168	\$ -	\$ 3,906,168	EA	1.94%	20	19,451	Construction
17	Liberty Center	TTHM Removal Prj	Dec-12	\$ 465,239	\$ 148,500	\$ 613,739	T-2	1.94%	30	1,180	Construction
18	Northwestern W&SD	Ph I Wtr Syst Imprv	Dec-12	\$ 120,404	\$ -	\$ 120,404	STD	2.44%	5	15,600	Design
19	Northwestern W&SD	Rossford Rvr Rd Tms Rplc	Dec-12	\$ 179,896	\$ -	\$ 179,896	STD	2.44%	5	15,600	Design
20	Warren	Rplcmnt 5Kv Swtch Gear	Dec-12	\$ 2,377,712	\$ -	\$ 2,377,712	EA	1.94%	20	41,557	Construction
21	West Union	N Wtr Mn Imprvs	Dec-12	\$ 227,946	\$ -	\$ 227,946	EA	1.94%	5	3,474	Design
22	Carrollton	New WTP	Jan-13	\$ 486,277	\$ -	\$ 486,277	T-2	1.71%	5	3,400	Design
23	Cincinnati	Eden Park Feeder #2	Jan-13	\$ 2,721,823	\$ -	\$ 2,721,823	EA	1.71%	20	1,100,000	Construction
24	Putnam Comm Wtr Corp	WTP Upgrd	Jan-13	\$ 2,555,435	\$ -	\$ 2,555,435	SML	1.71%	20	2,744	Construction
25	Bellaire	Intake Prj	Feb-13	\$ 1,413,516	\$ 927,656	\$ 2,341,172	T-1	0.00%	30	6,549	Construction
26	Cincinnati	Atson/Dorothy/Sliker WL Rplc	Feb-13	\$ 2,153,226	\$ -	\$ 2,153,226	EA	1.75%	20	1,100,000	Construction
27	Cincinnati	Vine St WL Rplcmt	Feb-13	\$ 1,854,331	\$ -	\$ 1,854,331	EA	1.75%	20	1,100,000	Construction
28	Cincinnati	Murray Rd WL Rplcmt	Feb-13	\$ 771,767	\$ -	\$ 771,767	EA	1.75%	20	1,100,000	Construction
29	Cincinnati	Leb Feeder PhV	Feb-13	\$ 165,238	\$ -	\$ 165,238	EA	1.75%	20	1,100,000	Construction
30	Western Guemsey Co RWD	Shw/High Hill WL Imprvs	Feb-13	\$ 1,301,156	\$ 549,397	\$ 1,850,553	T-2	1.75%	30	3,186	Construction
31	Adams Co RWD	Sunshine Rdge WL Ext	Mar-13	\$ 300,736	\$ 126,982	\$ 427,718	T-2	1.88%	30	25,000	Construction
32	Cincinnati	McAlpin/Ledlow WL Rplcmt	Mar-13	\$ 2,077,797	\$ -	\$ 2,077,797	EA	1.88%	20	1,100,000	Construction
33	Cleveland	Shaker Hts. WM Rplcmt #5	Mar-13	\$ 2,203,181	\$ -	\$ 2,203,181	EA	1.88%	20	1,300,000	Construction
34	Mount Sterling	WTP Rehab or Rplcmnt	Apr-13	\$ 1,002,027	\$ -	\$ 1,002,027	EA	1.99%	5	1,885	Design
35	Warren	WL Rplcmnt Prj	Apr-13	\$ 1,824,055	\$ -	\$ 1,824,055	EA	1.99%	20	41,557	Construction
36	West Union	Dist Rplc Main to Wilson	Apr-13	\$ 1,500,855	\$ -	\$ 1,500,855	EA	1.99%	20	3,474	Construction

Table 9 continued

PY 2013 Binding Commitments and Supplemental Loans Continued											
	Applicant	Project Description	Award Date	WSRLA Loan Amount	Principal Forgiveness	Loan & PF Total	Type	Rate	Term	Pop	Purpose
37	Cleves	WL for Elizabethtown Ph 2	May-13	\$ 394,029	\$ 97,111	\$ 491,141	T-3	2.00%	30	2,790	Construction
38	Enon	Meter Upgd	May-13	\$ 198,711	\$ -	\$ 198,711	SML	2.17%	10	2,638	Construction
39	Northwestern W&SD	Ph I Wtr Syst Imprv	May-13	\$ 1,292,641	\$ -	\$ 1,292,641	STD	2.67%	20	15,600	Construction
40	Pike Water, Inc.	Potts Hill Rd WL	May-13	\$ 601,563	\$ 394,791	\$ 996,354	T-1	0.00%	30	27,695	Construction
41	Shawnee	Dist Syst Rplc Ph 2	May-13	\$ 62,546	\$ 26,409	\$ 88,955	T-2	2.00%	30	655	Construction
42	Akron	Annual Wtr Mn Rplcmt Prgm	Jun-13	\$ 831,285	\$ -	\$ 831,285	EA	2.00%	20	300,000	Construction
43	Akron	Mddltn/Drw Rd WL Rhb	Jun-13	\$ 1,301,005	\$ -	\$ 1,301,005	EA	2.00%	20	300,000	Construction
44	Akron	Hgh Serv Pmps VFD Instl	Jun-13	\$ 2,904,745	\$ -	\$ 2,904,745	EA	2.00%	20	300,000	Construction
45	Akron	Chlm Diox Fd Syst Imp	Jun-13	\$ 760,286	\$ -	\$ 760,286	EA	2.00%	20	300,000	Construction
46	Blanchester	WTP Improvements	Jun-13	\$ 4,082,801	\$ 672,999	\$ 4,755,799	T-3	2.00%	30	4,220	Construction
47	Bowling Green	Rplc Manville Wtr Twr	Jun-13	\$ 3,574,606	\$ -	\$ 3,574,606	STD	2.59%	20	29,635	Construction
48	Carrollton	New WTP	Jun-13	\$ 2,832,782	\$ 1,196,108	\$ 4,028,890	T-2	2.00%	30	3,400	Construction
49	Carrollton	Brenner Rd WL Rplc	Jun-13	\$ 149,026	\$ 62,925	\$ 211,951	T-2	2.00%	30	3,400	Construction
50	Cincinnati	Madison Ave WL Rplcmt	Jun-13	\$ 7,627,550	\$ -	\$ 7,627,550	EA	2.00%	20	1,100,000	Construction
51	Delphos	Wtr Line Loop	Jun-13	\$ 60,257	\$ -	\$ 60,257	EA	2.00%	20	6,944	Construction
52	East Liverpool	St. George St. WL Rplcmt	Jun-13	\$ 530,896	\$ -	\$ 530,896	EA	2.00%	20	13,089	Construction
53	Franklin County	Leonard Park WL Ext	Jun-13	\$ 277,734	\$ -	\$ 277,734	EA	2.00%	5	377	Design
54	Geneva Hills Group	Replace Wells	Jun-13	\$ 21,315	\$ 9,000	\$ 30,315	T-2	2.00%	30	20,000	Construction
55	Highland Ridge Wtr Assoc	SR 530 WL Exts	Jun-13	\$ 432,922	\$ 284,116	\$ 717,038	T-1	0.00%	30	3,416	Construction
56	Lakemore	New Well #5	Jun-13	\$ 179,463	\$ -	\$ 179,463	SML	2.09%	20	2,561	Construction
57	McComb	Water Tower Rplcmt	Jun-13	\$ 890,279	\$ -	\$ 890,279	EA	2.00%	20	1,676	Construction
58	Northwestern W&SD	Rosford Rvr Rd Tms Rplc	Jun-13	\$ 2,151,155	\$ -	\$ 2,151,155	STD	2.59%	20	15,600	Construction
59	Scioto Water, Inc.	Ph V Dist & Stor (Sugar Camp)	Jun-13	\$ 8,353,012	\$ 2,103,385	\$ 10,456,397	T-3	2.00%	30	23,310	Construction
60	Upper Sandusky	NE Quad WL Rplc	Jun-13	\$ 1,792,638	\$ -	\$ 1,792,638	EA	2.00%	20	6,533	Construction
61	Westerville	WTP Imprvs LT2ESWTR	Jun-13	\$ 13,549,319	\$ -	\$ 13,549,319	STD	2.59%	20	38,000	Construction
				\$ 100,666,344	\$ 7,377,575	\$ 108,043,919					

Table 9 continued

PY 2013 Binding Commitments and Supplemental Loans Continued											
	Applicant	Project Description	Award Date	WSRLA Loan Amount	Principal Forgiveness	Loan & PF Total	Type	Rate	Term	Pop	Purpose
1	Martins Ferry (suppl)	Zane Hwy Rplcmt Bridgeport Cnct	Aug-12	\$ 253,375	\$ -	\$ 253,375	T-2	2.00%	30	7,226	Construction
2	Addyston (suppl)	Second St Wtrline	Sep-12	\$ 19,203	\$ -	\$ 19,203	EA	2.00%	20	1,200	Construction
3	Cleves (suppl)	WL for Elizabethtown	Dec-12	\$ 136,470	\$ -	\$ 136,470	T-3	1.94%	30	2,790	Construction
					\$0	\$409,048					
	<b>Binding Commitments (61)</b>					<b>\$108,043,919</b>	Total Binding Commitments				
	<b>Supplemental Loans Awards (3)</b>					<b>\$409,048</b>	Total Supplemental Loans				
	<b>PY 2013 Total Loan Awards (64)</b>					<b>\$108,452,966</b>	Total Loan Award Amount				
	<b>Key</b>										
	SML = Small system (<10K) with no affordability points										
	EA = Non-disadvantaged system with affordability points										
	Tier I = Tier I disadvantaged community										
	Tier II = Tier II disadvantage community										
	Tier III = Tier III disadvatnaged community										

Source: NIMS and OWDA



# Capability Assurance Strategy

## Annual Report

### Program Year 2013



Division of Drinking and Ground Waters  
Drinking Water Assistance Fund  
September 2013

## Introduction

This Capability Assurance Strategy Annual Report was prepared by the Ohio Environmental Protection Agency (Ohio EPA), Division of Drinking and Ground Water (DDAGW), in fulfillment of the reporting requirements of the United States Environmental Protection Agency (U.S. EPA) *Guidance on Implementing the Capacity Development Provisions of the Safe Drinking Water Act Amendments of 1996* that requires:

*Each year, as a stand-alone submittal or as part of the state's capitalization grant application, the state must provide documentation showing the ongoing implementation of the capacity development strategy.*

The report follows the format specified in a memorandum from Cynthia Dougherty, Director, Office of Ground Water and Drinking Water, on June 1, 2005 regarding "*Reporting Criteria for Annual State Capacity Development Program Implementation Reports*". This report is based on data for State Fiscal Year (PY) 2013 which covers the period July 1, 2012 through June 30, 2013.

This report also serves as a final report for the PY 2013 Public Water System Supervision Workplan as detailed in Appendix I, Sections 5 and 6 of the PY 2013 Drinking Water Assistance Fund Amended Program Management and Intended Use Plan. Additional language in this report explains the activities for 0.8 FTEs that were applied to this set-aside.

## New Public Water Systems

Ohio Revised Code Sections 6109.24 and 6109.22(M) and Ohio Administrative Code Chapter 3745-87 provide for Ohio's legal authority to implement the new systems program.

All new public water systems must submit a capability assurance plan prior to detail plan approval and start-up of the system.

Between July 1, 2009 and June 30, 2013, 52 community and non-transient non-community public water systems were activated. Table A-1 contains a list of the activated systems. The activated systems list was reviewed to determine which systems are truly new versus found, existing systems or for new satellites of existing systems. DDAGW determined 16 systems are new systems, they are listed in Table A-2.

Of the 16 activated systems, one systems has not yet completed a CAP when a CAP is required. We are working with them to have a CAP completed. Two of the systems are considered significant non-compliers, and both of these systems were absorbed into another water system.

## Existing Public Water Systems

Listed below are the programs, tools and activities utilized during PY 2013 to assist existing public water systems in acquiring and maintaining technical, managerial and financial capacity.

- Continued use of a new sanitary survey process utilizing more capability related questions and Capability Assurance Evaluation Forms;
- Compliance and Operational Review Meetings (CORMs);
- Continued use of the Ohio RCAP List as a proactive measure to assist small systems that are having financial or managerial problems;

- Mailed postcards, sent electronic phone messages and made personal calls to public water systems as reminders to complete required compliance monitoring;
- Utilized a ListServ to communicate information to public water systems and laboratories;
- Targeted systems on the enforcement priority list; and
- Offered free technical, managerial and financial training to public water systems.

#### Track and enforce requirements through the **sanitary survey process**

Identify systems needing managerial and/or financial assistance to achieve or maintain compliance through **the Ohio RCAP list** process

Identify systems needing capability improvements through the **enforcement** priority list compiled quarterly

Prioritize and improve existing system capacity by sending **reminder postcards, electronic phone messages and personal phone calls** to systems that are near the end of the monitoring period and have not monitored as required.

#### **Who needs assistance and what type is needed?**

Ohio continues to identify systems in need of capacity development assistance by using a multi-tiered approach.

#### ***Sanitary survey process***

All community water systems greater than 250 in population have a Capability Assurance Evaluation Form completed at the time of their sanitary survey. The capability indicators are reviewed at the conclusion of the sanitary survey by completing the Capability Assurance Evaluation Form.

During PY 2013, 231 capability assurance evaluation forms were completed. The capability assurance evaluation forms were completed as a part of the sanitary survey process. Staff education and continued implementation occurred during PY 2013.

#### ***Ohio RCAP List***

The Ohio RCAP list includes only community water systems serving 10,000 or less in population. Systems intended for this list are those that need financial and/or managerial technical assistance to achieve or maintain compliance. A system placed on the Ohio RCAP list and receives the needed assistance may graduate to the PPL/IPL when it is ready to proceed with a project being funded through the Drinking Water State Revolving Loan Fund. Eighteen small systems were placed on the Ohio RCAP List during PY 2013.

## **Enforcement**

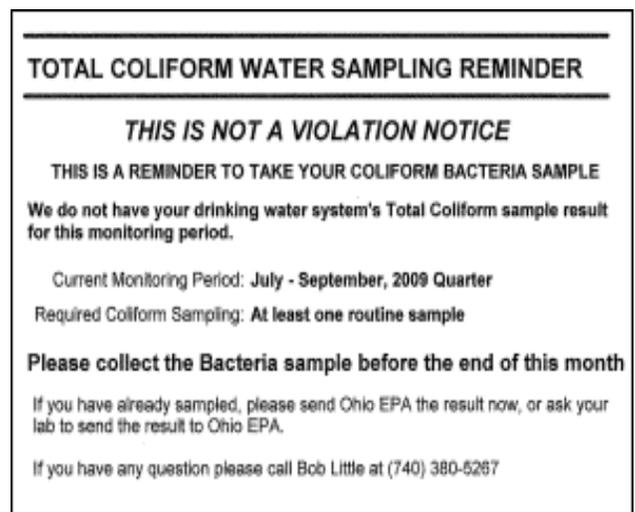
During PY 2013, DDAGW exceeded our commitment to U.S. EPA to address or resolve at least 78 systems in Significant Non-Compliance (SNC) which is now defined as systems with Enforcement Targeting Tool (ETT) scores of 11 or greater, by addressing more than 129 SNCs. These systems were addressed/resolved by systems returning to compliance, DDAGW completing an enforcement action with systems, correcting/updating our database, and by inactivating systems no longer in operation.

## **Reminder Postcards and Electronic Phone Messages**

Another measure Ohio has taken to prioritize and improve existing system capacity is sending reminder postcards to systems that are near the end of the monitoring period and have not monitored.

During PY 2013:

- Approximately 4,890 total coliform bacteria reminder postcards and 4,520 electronic phone messages were sent to systems that had not monitored yet during the reporting period;
- Of the postcards sent to public water systems to remind them to take a total coliform bacteria sample; approximately 4,770 systems completed their monitoring (98 percent of the systems);
- Approximately 4,065 chemical/radiological reminder postcards and 2,920 electronic phone messages were sent to all public water systems that had not yet completed monitoring;
- Of the postcards sent, approximately 3,720 systems monitored (92 percent of the systems).



The benefit for capacity assurance is two-fold with the reminder postcard and electronic phone message programs. First, it speaks specifically to the managerial capacity of the system. We are providing the systems with a specific tool to better manage their public water system. Second, if a system that typically does not monitor, does monitor for the contaminant and a maximum contaminant level is found, it gives Ohio EPA the ability to work with the system to improve the technical capacity of the system. These actions have increased the overall compliance of public water systems in Ohio.

## **Electronic service communication (ListServ)**

An additional form of communication which encourages compliance and furthers system capability is the ListServ communication tool the drinking water program is currently using. The nine electronic mailing lists being used by DDAGW are as follows:

- operator certification with 1325 subscribers
- drinking water assistance fund with 843 subscribers
- drinking water monitoring and compliance with 1254 subscribers
- drinking water rules update with 1664 subscribers
- underground injection control rules with 1022 subscribers
- eDWR labs with 868 subscribers
- eDWR PWSs with 1498 subscribers

- Spigot News electronic with 1009 subscribers
- Spigot New (hard copy) with 1462 subscribers.

The electronic mailing lists provide systems and laboratories with quick and timely updates on drinking water monitoring and compliance issues, federal and state drinking water rule making, operator certification information, state revolving fund information and Stage 2 Disinfectants and Disinfection Byproducts Rule.

### ***Local government, system management and operator training***

Each year Ohio EPA DDAGW provides funding to W.S.O.S Community Action Commission, Inc., Great Lakes Rural Community Assistance Program (Ohio RCAP) to present training courses as part of the Drinking Water Assistance Fund program goals and objectives. These one-day courses are free and targeted to board members, mayors, water system superintendents and operators and are as follows:



*Utility Management for Local Officials* training includes an overview of the three capacity components; managerial, technical and financial;

*Financial Management for Local Officials* training focuses on financial management, record keeping, and an overview of the theory asset management of a public water system;

*Asset Management, Budgeting & Rate Setting for Local Officials* training has participants actually do a hands-on asset management plan using the USEPA Step guide, show how the plan effects budgeting and how rate setting is effected with this data and what to consider when setting rates;

*Applied Asset Management Featuring CUPSS* training includes an introduction to Check Up Program for Small Systems (CUPSS), an overview of the software and hands-on use of the program.

In PY 2013, Ohio was pleased to offer the free online versions of *Utility Management for Local Officials* and *Financial Management for Local Officials* courses.

During PY 2013:

- 5,006 brochures were emailed and were sent regular mail to community public water systems serving 10,000 or fewer in population announcing each course.
- 32 classroom training sessions were held statewide with 279 people in attendance representing 91 systems.
- 153 people attended two online courses representing 24 systems statewide.

This type of outreach and education is important for our current existing system strategy to educate existing systems and increase their capability.

There were two mailings: one for the fall scheduled training sessions and one for the spring training sessions. For the fall training, 930 brochures were emailed and 950 for the spring training. There were 1,380 hard copy brochures post mailed for the fall training and 1,800 for the spring training. Additional mailings with brochures go to several associations and organizations such as Ohio American Water Works Association (OAWWA), Ohio Water Environment Association (OWEA), Ohio Rural Water

Association (ORWA), Operator Training Committee of Ohio (OTCO), United States Department of Agriculture Rural Development (USDA-RD), County Commissioners Association of Ohio (CCAO), Ohio Municipal League (OML), Ohio Department of Development (ODOD), Ohio Water Development Authority (OWDA), and Ohio EPA central office and all five districts. RCAP also promotes with brochures at OAWWA, OWEA, ORWA, OML, CCAO, and other statewide events throughout the year.

### **Additional program activities**

Beginning in PY2013, water systems that receive principal forgiveness under the Water Supply Revolving Loan Account (WSRLA) were required to complete Rural Communities Assistance Program (RCAP) Courses prior to loan award. The classes assist the water systems in utility and financial management and are available free of charge online or in a classroom setting.

Ohio EPA also coordinated with U.S. EPA-funded training providers to enhance system capacity. Specifically, Texas A&M's Extension Office (TEEX) provided training on the Surface Water Treatment Rule at six locations throughout the State. Multiple water system operators and Ohio EPA district staff attending the training. In addition, the Environmental Finance Center hosted a financing workshop for small water system owners. This training was recorded and is now available on our web site.



### **Planning for future changes**

Ohio is planning diligently for upcoming changes that effect how Ohio uses capacity in our everyday dealings with public water systems.

Our Information Management Section has developed and implemented a new web-based reporting application for public water systems (PWS) and certified laboratories. The application was deployed in July 2009 and is now available for use by all PWS and labs. As of July 1, 2010, all certified labs were required to use the new reporting application. The new reporting application is a part of Ohio EPA's eBusiness Center and promotes more efficient exchange of information between water systems, labs and Ohio EPA. Public water systems will also be required to use the new reporting applications to submit their monthly operating reports (MORs). This requirement is being phased in based on system population, with the largest systems required to begin by July 1, 2013 and the smallest systems by July 1, 2014.

Ohio implemented positions in each district office called District Office Compliance Coordinators, or DOCCs, in PY 2007 and the positions continued through PY 2014. These individuals work as a lead worker at the district level and come together at regularly scheduled meetings to improve statewide consistency issues and business processes in an effort to increase capability and compliance of public water systems statewide.

Ohio has also initiated a couple of new enforcement initiatives that will improve capability. Ohio has instituted a regular process for addressing violations for failure to have an operator by issuing notices of violations and enforcement actions. Ohio will also begin assessing penalties of at least \$150 for each major total coliform or nitrate monitoring violation beginning January 1, 2014.

## **Capability assurance plans (CAPs)**

Capability assurance plans are **required** for all new community and non-transient non-community public water systems and all Drinking Water Assistance Fund (DWAF) planning, design and construction loan awardees. Capability assurance plans for systems less than 10,000 population can be completed with assistance from Ohio RCAP free of charge to the public water system.

During PY 2013:

- 61 DWAF loans were awarded; and
- All of these systems had approved capability assurance plans (35 individual systems).

## **Strategy Implementation and Modification**

Ohio regularly reviews and makes minor revisions to accomplish greater capacity assurance in Ohio's public water systems. It is not a formal review; however, initiatives for working better with existing systems to encourage compliance and capability are never far from our mind. We are continually working on optimizing our program by adding initiatives that are low cost to implement.

The addition of the capability assurance evaluation forms, capability assurance questions to the sanitary survey and the CORM are initiatives that were incorporated recently in the existing strategy. Other strategies including education and technical assistance have always existed but initiation of additional/different activities were increased for both areas this year with the addition of the Ohio RCAP list. Systems placed on this list receive financial, managerial and technical assistance and other educational tools to maintain compliance and/or prevent enforcement issues.

Ohio has also formed a workgroup to initiate improvements to the capability program. The workgroup has developed a framework for assessing a system's current capability, recommending improvements, and establishing eventual consequences if the system cannot demonstrate their capability.

With the support of PWSS funds from the Amended PY 2013 Program Management and Intended Use Plan, the Capability workgroup continues to meet regularly, and has been expanded to include representatives from the Ohio EPA District Office. The workgroup has developed a general framework for assessing a system's current capability, recommending improvements, and establishing eventual consequences if the system cannot demonstrate their capability. Draft screening tools to assess a water system's current capability and identify areas for improvement have been developed and will be piloted for systems receiving funding through the Water Supply Revolving Loan Account (WSRLA). The workgroup will continue to work on further development of the program throughout the next program year.

## **Assistance to Public Water Systems with Compliance Needs**

With the support of PWSS funds from the Amended PY 2013 Program Management and Intended Use Plan, DDAGW has responded to ETT lists and completed CEPS in accordance with the deadlines set by USEPA and the Agency's Compliance Through Assurance Strategy. During PY 2013, DDAGW exceeded our commitment to U.S. EPA to address or resolve at least 78 systems with Enforcement Targeting Tool (ETT) scores of 11 or greater, by addressing more than 129 SNCs. These systems were addressed/resolved by systems returning to compliance, completing an enforcement action, correcting/updating our database, and by inactivating systems no longer in operation.

To prevent systems from obtaining ETT scores of 11 or greater, DDAGW conducts limited scope site

visits and makes personal phone calls when systems have an ETT score of 8 to 10. The district office compliance coordinators are currently drafting a procedure for regular database management and clean-up, including violation rescission and SOXing.

Ohio has also initiated a couple of new enforcement initiatives to address and/or prevent violations. Ohio has instituted a regular process for addressing violations for failure to have an operator by issuing notices of violations and enforcement actions. Ohio will also begin assessing penalties of at least \$150 for each major total coliform or nitrate monitoring violation beginning January 1, 2014..

## **Conclusion**

Ohio continues to take a proactive stance in assuring system capability. We work with new systems, systems receiving a DWAF loan and existing systems having capability related issues. We are always interested in exploring new initiatives that will increase the capability of the public water systems in Ohio utilizing our available resources. Please contact the Division of Drinking and Ground Water at (614) 644-2752 if you have questions about Ohio's capability assurance program, have suggestions for improvement to our program.

**Table A-1**

Activated Systems from July 1, 2010 - June 30, 2013

52 total

PWS ID	System Name	Active Date	County	Primary Source	Type	District
OH2956203	GREENE COUNTY - FAIRBORN	08/02/10	GREENE	GWP	C	SWDO
OH5054712	SOUTH RANGE LOCAL SCHOOL K-12 PWS	10/06/10	MAHONING	GW	NTNC	NEDO
OH7057112	FAITH UM CHURCH OF RICHLAND COUNTY	10/06/10	RICHLAND	GW	NTNC	NWDO
OH7853912	DOUBLE B ASSEMBLY PWS	11/15/10	TRUMBULL	GW	NTNC	NEDO
OH8752712	NORTHWESTERN W AND SD-FOSTORIA NORTH	11/22/10	WOOD	SWP	NTNC	NWDO
OH6045712	MY PITTER PATER LEARNING CTR PWS	12/08/10	MUSKINGUM	GW	NTNC	SEDO
OH8563912	BURBANK PARKE PWS	12/13/10	WAYNE	GW	C	NEDO
OH2637812	NORTHEAST WATER SYSTEM	01/01/11	FULTON	SWP	C	NWDO
OH7806503	TRUMBULL COUNTY - BRACEVILLE TWP PWS	01/24/11	TRUMBULL	SWP	C	NEDO
OH5801103	WEST MALTA RURAL WATER PWS	02/16/11	MORGAN	GWP	C	SEDO
OH3539212	HENRY COUNTY REGIONAL WSD	02/22/11	HENRY	SWP	C	NWDO
OH5553212	WEST CHARLESTON CHURCH OF THE BRETHREN 2	02/28/11	MIAMI	GW	NTNC	SWDO
OH7700021	UPS-RICHFIELD SERVICE CENTER PWS	03/04/11	SUMMIT	GW	NTNC	NEDO
OH8557112	TRING CORPORATION	04/04/11	WAYNE	GW	NTNC	NEDO
OH2876312	METZENBAUM TRANSPORTATION GARAGE PWS	04/05/11	GEAUGA	GW	NTNC	NEDO
OH8752812	NORTHWESTERN W AND SD -TOLEDO SVCE AREA	05/01/11	WOOD	SWP	C	NWDO
OH7259312	LAKOTA PRE K-12 SCHOOL	06/27/11	SANDUSKY	GW	NTNC	NWDO
OH2857812	ASM INTERNATIONAL	07/01/11	GEAUGA	GW	NTNC	NEDO
OH8549112	JAKES RESTAURANT	07/05/11	WAYNE	GW	NTNC	NEDO
OH4533512	EAGLE WINGS ACADEMY INC. PWS	07/13/11	LICKING	GW	NTNC	CDO
OH3850812	CKS PROPERTIES INC PWS	07/22/11	HOLMES	GW	NTNC	NEDO
OH7855712	SOUTHINGTON LOCAL SCHOOL NEW PWS	07/22/11	TRUMBULL	GW	NTNC	NEDO
OH1566212	BUCKEYE TRANSFER INC	08/01/11	COLUMBIANA	GW	NTNC	NEDO
OH7542312	HOUSTON K-12 SCHOOL	08/01/11	SHELBY	GW	NTNC	SWDO
OH1950512	FRANKLIN MONROE SCHOOL NEW PWS	08/05/11	DARKE	GW	NTNC	SWDO
OH0637912	V H ALLMAN SUBDIVISION	09/29/11	AUGLAIZE	GW	C	NWDO
OH6789112	AURORA CITY - CLEVELAND PWS	09/29/11	PORTAGE	SWP	C	NEDO
OH2872012	BAINBRIDGE TOWNSHIP POLICE STATION PWS	10/01/11	GEAUGA	GW	NTNC	NEDO
OH7049112	INNOVATIVE CARE AND SERVICES LLC	11/14/11	RICHLAND	GW	NTNC	NWDO
OH5441912	FOUNDATIONS BEHAVIORAL HEALTH SERVICES	11/22/11	MERCER	GW	NTNC	NWDO
OH7700025	KRIEGER'S MARKET PWS	12/01/11	SUMMIT	GW	NTNC	NEDO
OH6401603	SOUTHERN PERRY CO-CONGO	12/31/11	PERRY	GWP	C	SEDO
OH5942712	NORTHMOR SCHOOL PWS	01/03/12	MORROW	GW	NTNC	CDO
OH6785212	ENERVEST HARTVILLE OFFICE	01/10/12	PORTAGE	GW	NTNC	NEDO
OH4560932	LONGABERGER CLUBHOUSE PWS	01/12/12	LICKING	GW	NTNC	CDO
OH4339112	LITTLE LEARNER'S DAYCARE	01/18/12	LAKE	GW	NTNC	NEDO
OH3850712	HONEY RUN CHRISTIAN SCHOOL PWS	01/24/12	HOLMES	GW	NTNC	NEDO
OH3946912	FIRELANDS MANOR MHP PWS	01/27/12	HURON	SWP	C	NWDO
OH2563912	GREAT BEGINNINGS ACADEMY	02/09/12	FRANKLIN	GW	NTNC	CDO
OH8841212	TRILLIUM FARM HOLDINGS-MARSILLES	03/20/12	WYANDOT	GW	NTNC	NWDO
OH2302712	HILLVIEW MOBILE VILLAGE	07/12/12	FAIRFIELD	GW	C	CDO
OH5548612	PROCESS EQUIPMENT COMPANY-PLANT 3 PWS	07/17/12	MIAMI	GW	NTNC	SWDO
OH8753112	VITAKRAFT SUN SEED INC	08/17/12	WOOD	GW	NTNC	NWDO
OH1566412	SHADYBROOK MOBILE HOME PARK PWS	10/29/12	COLUMBIANA	GW	C	NEDO
OH4652512	MIDWEST EXPRESS INDUSTRIES 2G PWS	11/26/12	LOGAN	GW	NTNC	SWDO
OH2637912	TRI-COUNTY BLOCK AND BRICK	12/18/12	FULTON	GW	NTNC	NWDO
OH0300212	ASHLAND COUNTY SERVICE CENTER	01/31/13	ASHLAND	GW	NTNC	NWDO
OH4555812	TRILLIUM FARMS LAYER 3 PWS	02/25/13	LICKING	GW	NTNC	CDO
OH1566312	COLUMBIANA COUNTY-COUNTY HOME RD PWS	03/29/13	COLUMBIANA	SWP	C	NEDO
OH8100712	RIDGEVIEW BEHAVIORAL HOSPITAL	04/02/13	VAN WERT	GW	NTNC	NWDO
OH7449612	HOPEWELL-LOUDON SCHOOL	05/21/13	SENECA	GW	NTNC	NWDO
OH1566512	UTICA EAST OHIO MIDSTREAM LLC PWS	06/20/13	COLUMBIANA	GW	NTNC	NEDO

**Table A-2**

New systems from July 1, 2010 to June 30, 2013  
16 total

PWS ID	System Name	Type	Activity Date	County	District	CAP Req'd	CAP Rec'd	Comments	SNC (ETT equal to or greater than 11)
OH8563912	BURBANK PARKE PWS	C	12/13/2010	WAYNE	NEDO	Yes	Yes		No
OH7806503	TRUMBULL COUNTY - BRACEVILLE TWP PWS	C	1/24/2011	TRUMBULL	NEDO	No	No	Trumbull Co has 7 PWS's...this is just a satellite of the existing	No
OH1566312	COLUMBIANA COUNTY - COUNTY HOME RD PWS	C	3/29/2013	COLUMBIA NA	NEDO	Yes	Yes	New satellite to consolidate 3 PWS's, SRF funded	No
OH5054712	SOUTH RANGE LOCAL SCHOOL K-12 PWS	NTNC	10/6/2010	MAHONING	NEDO	Yes	Yes		No
OH2876312	METZENBAUM TRANSPORTATION GARAGE PWS	NTNC	4/5/2011	GEAUGA	NEDO	Yes	Yes		No
OH7855712	SOUTHINGTON LOCAL SCHOOL NEW PWS	NTNC	7/22/2011	TRUMBULL	NEDO	Yes	Yes	Rec'd 10/09	No
OH3850712	HONEY RUN CHRISTIAN SCHOOL PWS	NTNC	1/24/2012	HOLMES	NEDO	Yes	Yes		No
OH1566512	UTICA EAST OHIO MIDSTREAM LLC PWS	NTNC	6/20/2013	COLUMBIA NA	NEDO	Yes	Yes		No
OH2637812	NORTHEAST WATER SYSTEM	C	1/1/2011	FULTON	NWDO	No	No	water district absorbed Metamora	Yes
OH3539212	HENRY COUNTY REGIONAL WSD	C	2/22/2011	HENRY	NWDO	Yes	Yes	water district absorbed McClure - CAP marked approved in AIMS 4/1/11.	Yes
OH8752812	NORTHWESTERN W AND SD - TOLEDO SVCE AREA	C	5/1/2011	WOOD	NWDO	No	No	water district absorbed PWS	No
OH8752712	NORTHWESTERN W AND SD - FOSTORIA NORTH	NTNC	11/22/2010	WOOD	NWDO	No	No	water district absorbed PWS	No
OH7259312	LAKOTA PRE K-12 SCHOOL	NTNC	6/27/2011	SANDUSKY	NWDO	No	No	school expansion	No
OH5801103	WEST MALTA RURAL WATER PWS	C	2/16/2011	MORGAN	SEDO	Yes	Yes		No
OH5553212	WEST CHARLESTON CHURCH OF THE BRETHREN 2	NTNC	2/28/2011	MIAMI	SWDO	Yes	No	<b>Requested:</b> CAP requested on November 30, 2011 - has not been received here No change as of 9/04/2013	No
OH4652512	MIDWEST EXPRESS INDUSTRIES 2G PWS	NTNC	11/26/2012	LOGAN	SWDO	No	No	CAP not requested. System is the 6th of 7 water systems owned by the same company on a common campus. Seventh system will be added in November of this year (2013)	No



# Drinking Water Assistance Fund

## Small System Technical Assistance

### Set-Aside Annual Report

#### Program Year 2013



Division of Drinking and Ground Waters  
Drinking Water Assistance Fund  
September 2013

## **Introduction**

The Safe Drinking Water Act, section 1452 requires that states submit a biennial report to U.S. EPA's regional administrator on the state's activities that receive funding under this section. This Small System Technical Assistance Set-Aside Annual Report is being submitted in compliance with this requirement.

Ohio EPA administered a Small Systems Technical Assistance Program utilizing one assistance provider during program year (PY) 2013. W.S.O.S. Community Action Commission, Inc., /Great Lakes Rural Community Assistance Program (Ohio RCAP) was under agreement to provide small system managerial and financial assistance.

## **Funding**

During PY 2013 Ohio EPA used funds available from the FFY2010 and FFY2011 technical assistance grant set-aside, (grant account number FS985954-10 and FS985954-11).

The technical assistance agreement with W.S.O.S. Inc. /Ohio RCAP was in effect from July 1, 2012 through June 30, 2013 and funded with a grant in the amount of \$520,000.00.

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

In PY 2013, Ohio RCAP allocated 4.7 FTEs to fund the activities of 13 technical assistance coordinators who supplied technical, managerial, and financial training to Ohio public water systems serving populations of 10,000 or fewer.

## **Goals and Objectives**

The goals and objectives for the Drinking Water State Revolving Fund (DWSRF) Small System Technical Assistance program for PY 2013 are as follows:

### **Goals**

1. Maximize below-market rate loans to eligible public water systems to fund improvements to eliminate public health threats and ensure compliance with federal and state drinking water laws and regulations.
2. Target technical assistance to public water systems serving 10,000 or fewer people with a technical assistance program provided by funds from the technical assistance set-aside account.
3. Improve the types and quantity of small and disadvantaged community assistance to reduce the financial impact of capital improvement projects on smaller systems and systems serving less affluent populations.
4. Promote the development of the technical, managerial and financial capability of public water systems to maintain compliance with the state and federal Safe Drinking Water Act (SWDA) requirements, and Ohio's Capacity Assurance Program.
5. Fund the construction of extensions of public water systems, or if extensions are not economically feasible, the construction of new public water systems to address pockets of contaminated private water systems.

6. Encourage the consolidation and/or regionalization of small public water systems to allow them to take advantage of the economies of scale available to larger water systems.

### **Objectives**

1. Assist small systems with the preparation of applications for the DWSRF including determining the ability to repay.
2. Assist in meeting state and other crosscutting requirements of the application.
3. Assist with locating and procuring sources of funding in addition to the DWSRF.
4. Assist with determining the most cost effective option for a public water supply to access safe drinking water.
5. Assist systems with readiness to proceed issues.
6. Assist systems in the development and/or completion of all components of the capability assurance documentation.
7. Assist in increasing managerial and financial capability of small systems
8. Assist systems by offering seminars and online training for small systems utility board training, rate setting training, and asset management training.
9. Assist communities identified by Ohio EPA that need intensive technical assistance. This objective is a 2-3 year pilot program and is referred to as the "RCAP Team Approach."
10. Assist local systems with priority on public health-based issues using the water use advisory list, the RCAP list and the ETT.

### **Summary of Program Accomplishments**

Ohio RCAP provided services under the Drinking Water Technical Services Set-Aside during PY 2013. Their services are offered to public water systems with 10,000 population or fewer. Attachment B-1 contains information taken from quarterly reports; it details activities and sites that received assistance during the program year. Additional information about Ohio RCAP training for the program year is included in Attachment B-2.

The PY 2013 objectives for Ohio RCAP were as follows:

#### **Objective 1**

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

During PY 2013, Ohio RCAP assisted 42 systems in the preparation and completion of applications for loans, including:

- 5 planning and design loan application
- 23 construction loan applications
- 26 pre-applications for the new project priority list (PPL)
- 16 disadvantaged community applications

At year-end, there were no loans in process. Attachment B-1 indicates the activities undertaken throughout the year for each system assisted.

#### **Objective 2**

**Assisted 15 systems in meeting state and other crosscutting requirements of the application.**

**Objective 3**

**Assisted 12 systems with locating and procuring sources of funding in addition to the DWSRF.**

Ohio RCAP coordinates financing packages for systems using The Ohio Department of Development's Community Development Block Grant program, The Ohio Water Development Authority, Ohio's Issue 2 program, Ohio's Appalachian Regional Commission Grants program, Ohio's Department of Development Local Government Initiative Fund, The United States Department of Agriculture Rural Development program and RCAP's Community Loan Fund program for water infrastructure development.

**Objective 4**

**Assisted 13 systems with determination of the most cost effective option for a Public Water Supply to access safe drinking water.**

**Objective 5**

**Assisted 54 systems with readiness to proceed issues.**

**Objective 6**

**Assist systems in the development and/or completion of all components of the capability assurance documentation.**

During PY 2013, 23 capability assurance plans (CAPs) were completed. No CAPs were in progress at year-end.

**Objective 7**

**Assist in increasing managerial and financial capability of small systems.**

In addition to assisting communities complete capability assurance documentation, 37 systems were assisted with planning and studies to increase managerial and financial capability of the system. Of these 37 systems, ten systems required rate studies and recommendations for increases, six systems were assisted in preparing and completing a capital improvements plan, seven systems were assisted with financing planning, and two systems were assisted with utility planning.

**Objective 8**

**Assist systems by sponsoring training seminars for small systems utility board training, financial management, asset management and budget and rate setting training.**

Ohio RCAP continued their emphasis on providing training courses to water boards and system operators. To this end, Ohio RCAP held 32 training sessions throughout the state to provide water board training. This training was aimed at providing water boards a better appreciation of planning for operational expenses, emergency measures, equipment replacement, laws, and regulations, funding sources, rate setting, and other aspects of operating a successful water supply. Each course is a one-day training session with resource materials in a take-home binder, plus a CD of functional programs with examples for accounting use.

Nine courses of Utility Management for Local Officials were held throughout Ohio with 105 attendees. This course includes an overview of the three capability components; managerial, technical and financial.

Nine courses of Financial Management for Local Officials were held at various locations in Ohio with 87 attendees. This course focuses on financial management, record keeping, and an overview of the theory asset management of a public water system.

Seven courses of Asset Management, Budgeting and Rate Setting for Local Officials were held throughout Ohio with 47 attendees. This course has participants perform hands-on asset management plan using the U.S. EPA Step guide. Participants discuss how the plan effects budgeting, how rate setting is effected with this data and what to consider when setting rates.

Six courses of Applied Asset Management Featuring CUPSS training includes an introduction to Check Up Program for Small Systems (CUPSS), an overview of the software and hands-on use of the program. These courses had 33 attendees.

One new course of How to Save Money and Spend Wisely with 7 attendees focuses on how to best manage utilities with limited resources.

In addition to the classroom course, PY 2013 marked the first year of the online versions of the Utility Management for Local Officials and Financial Management for Local officials. These courses were successful at training 123 local officials representing 24 systems throughout the state.

**Objective 9:**

**Assisted three communities identified by Ohio EPA that need intensive technical assistance. This objective is a 2-3 year pilot program and is referred to as the “RCAP Team Approach.”**

During PY 2013 Ohio RCAP provided intensive technical assistance to the villages of Adena, Convoy, and Lakemore. Details of the assistance are provided in Objective 8 of Attachment B-1 below.

**Objective 10:**

**Assisted 22 local systems with priority on public health-based issues using the water use advisory list, RCAP list and the ETT.**

## **Success Story Summary**

### **Village of Lakemore**

The Village of Lakemore is a small community with a population of 2,561 located in Summit County, Ohio. The village owns and operates a public water system that serves approximately 1,300 customers.

The village was originally referred to RCAP by the Ohio EPA and soon after was enrolled under the EPA/RCAP Intensive Technical Assistance Program due to their capacity development needs. These needs included a lack of adequate rates and lack of an adequate water source.

Regarding the lack of adequate rates, during the year RCAP worked with the village to acquire all relevant data needed to analyze the village's financial position during the last five years. RCAP completed a draft rate analysis and met with the mayor and fiscal officer to review the analysis and rate increase recommendations. During that meeting RCAP learned that the billing clerk had provided some inaccurate information about large volume water customers and that RCAP needed to modify the draft rate analysis. After the modifications were completed RCAP attended a special council meeting to present the water rate analysis and review options for modifying the village's rate structure. In the end RCAP presented the final rate recommendations to council and facilitated the village approving a rate increase.

Regarding the lack of an adequate water source, during the year RCAP facilitated correspondence between the village, project engineer and EPA NEDO regarding well testing and worked with the village to complete an EPA application and Capacity Assurance Plan in order to acquire an EPA loan and principal forgiveness financing for the well replacement project. RCAP worked with the village to assure that the environmental assessment notice was posted as required by EPA, communicated with the village and EPA regarding the bid opening, and the EPA financing was awarded in June 2013.

As a result of EPA/RCAP Intensive Technical Assistance, the village implemented adequate rates and obtaining financing for a well project that will provide the village with an adequate water source..

### **Conclusion**

During PY 2013, Ohio EPA and our technical assistance provider helped many small systems such as Lakemore through training, in-person onsite meetings and 29 loan awards (including 3 supplemental loans) to small systems totaling \$32,443,145. By meeting our goals and objectives, we continue to provide Ohio's small systems with the technical, managerial and financial assistance they need.

## **Attachment B-1**

### **W.S.O.S. (RCAP) Final Report July 1, 2012 to June 30, 2013**

The following technical assistance was completed in accordance with the agreement between Ohio EPA and W.S.O.S. Community Action Commission for Small Systems Technical Assistance, July 1, 2013 – June 30, 2014. The goals of the technical assistance program are to: 1) assist small systems (less than 10,000 in population) and rural areas in complying with the Safe Drinking Water Act (SDWA) regulations; 2) market and use the Water Supply Revolving Loan Account (WSRLA) loan program to assist small systems in obtaining adequate funding to maintain and upgrade their infrastructure; and 3) protect public health and safety. The program goals were met by completing the following tasks:

#### **Task 1 – Assist small systems on the IPL, PPL, and RCAP List to increase TMF capabilities**

Number of systems assisted- 85

#### **Task 2 – Assist small systems with DWSRF applications and crosscutting requirements**

Number of systems assisted- 42

##### Systems assisted with-

Pre-Applications/Nominations- 26

Planning/Design Loan Applications- 5

Construction Loan Applications- 23

Disadvantaged Loan Applications- 16

Crosscutting Requirements- 15

#### **Task 3 – Assist small systems with project planning and determining the most cost effective option**

Number of systems assisted- 13

#### **Task 4 – Assist small systems with project development and readiness to proceed issues**

Number of systems assisted- 54

#### **Task 5 – Assist small systems with locating and procuring other sources of funding**

Number of systems assisted- 12

#### **Task 6 – Assist small systems applying for a WSRLA loan with a capability assurance plan**

Number of systems assisted- 23

#### **Task 7 – Assist small systems with capacity development**

Number of systems assisted- 37

**Task 8 – Provide classroom training sessions to small systems**

Number of training sessions- 32

Number of Utility Management training sessions- 9

Number of Financial Management training sessions- 9

Number of Asset Management training sessions- 7

Number of Applied Asset Management Using CUPSS training sessions- 6

Number of How To Save Money & Spend Wisely training sessions- 1

Total systems trained- 91

Total classroom attendees- 279

Total attendees Utility Management- 105

Total attendees Financial Management- 87

Total attendees Asset Management- 47

Total attendees Applied Asset Management Using CUPSS- 33

Total attendees How To Save Money & Spend Wisely- 7

**Task 9 – Provide monitoring assessment and outreach services for the online training sessions**

Number of attendees who started an online training course- 153

Number of attendees who started the Utility Management course- 90

Number of attendees who started the Financial Management course- 63

Number of attendees who completed an entire online training course- 123

Number of attendees who completed the Utility Management course- 62

Number of attendees who completed the Financial Management course- 61

Number of systems who completed the Utility Management course- 24

Number of systems who completed the Financial Management course- 21

**Task 10 – Provide assistance to communities that need intensive technical assistance**

Number of communities assisted- 3

**Task 11 – Provide technical assistance to communities on the RCAP Referral List**

Number of communities assisted- 22

**Task 12 – Assist small systems by conducting Project Development short course**

Number of systems assisted- 4

**Leveraged Funds**

During the year RCAP assisted 33 systems in obtaining \$50,945,256 in leveraged funds (\$40,406,623 in loan funds and \$10,538,633 in grant funds).

## **APPENDIX**

First Quarter- July 1, 2012 to September 30, 2012  
Second Quarter- October 1, 2012 to December 31, 2012  
Third Quarter- January 1, 2013 to March 31, 2013  
Fourth Quarter- April 1, 2013 to June 30, 2013

### **Objective 1**

#### **Planning and Design Applications Completed:**

##### First Quarter

- Carrollton- WTP/Wellfield
- Cleves - Hidden Valley Lake
- Mount Sterling
- West Union

##### Second Quarter

- Cleves- Elizabethtown

##### Third Quarter

- None

##### Fourth Quarter

- None

#### **Construction Loan Applications Completed:**

##### First Quarter

- None

##### Second Quarter

- Bellaire
- Bethesda
- Lockland
- Muskingum Watershed Conservancy District
- Putnam Community Water Association

##### Third Quarter

- Blanchester
- Carrollton- Brenner Rd Waterline Replacement
- Carrollton- WTP/Wellfield
- Cleves - Hidden Valley Lake
- Enon
- Geneva Hills
- Highland Ridge Rural Water Association
- Lakemore
- McComb
- Pike Water Incorporated
- Racine
- Seaman
- Scioto Water, Inc.
- Shawnee
- Tappers Plains-Chester Water District
- Wellston
- West Union

#### Fourth Quarter

- Ashley

#### **Pre-Applications (Nominations) Completed for New Priority List:**

#### First Quarter

- None

#### Second Quarter

- None

#### Third Quarter

- Arlington
- Ashley
- Bethesda
- Blanchester
- Buckeye Water
- Carrollton- Brenner Rd Waterline Replacement
- Carrollton- WTP/Wellfield
- Highland Ridge Rural Water Association
- Jefferson County Water Sewer District
- Lakemore
- Liberty Center
- Lincoln Terrace Homeowners Association
- McCartyville
- McComb

- Muskingum County
- Noble County Water Company
- Oak Hill
- Pike Water, Inc.
- Pineview Estates
- Racine
- Scioto Water, Inc.
- Valley View WSD
- Wellston
- West Jefferson- Water Meter Installation
- West Jefferson- Water System Improvements
- West Salem

#### Fourth Quarter

- None

#### **Disadvantaged Applications Completed:**

#### First Quarter

- None

#### Second Quarter

- Bethesda

#### Third Quarter

- Arlington
- Ashley
- Blanchester
- Carrollton- Brenner Rd Waterline Replacement
- Carrollton- WTP/Wellfield
- Geneva Hills
- Highland Ridge Rural Water Association
- Jefferson County Water Sewer District
- Lincoln Terrace Homeowners Association
- Noble County Water Company
- Pike Water, Inc.
- Racine
- Scioto Water, Inc.
- Seaman
- Shawnee

#### Fourth Quarter

- None

## Objective 2

### **Crosscutting:**

#### First Quarter

- Byesville - Environmental Assessment - Communicated with EPA DEFA Planner.
- Lincoln Terrace Homeowners Association - Other - Facilitated discussion with Madison Township Water District to provide service to current association members.
- Rolling Ridge Water Company - Bidding Requirement – Discussed bidding requirements not being needed since DELCO is expected to bid project.

#### Second Quarter

- Lockland - Bidding Requirement - Collected information on bidding process and prepared bid tabulation for agency review and concurrence.
- Piketon - Other - Processed OPWC Draw #8 for the project and submitted to the village for execution. Re-processed OPWC Draw #8 and hand delivered to village for execution.
- Putnam Community Water Association - Environmental Assessment - Explained to owner questions from OEPA DEFA on least cost alternative.

#### Third Quarter

- Blanchester - Bidding Requirement
- Chickasaw - Income Surveys
- Enon - Bidding Requirement
- Lockland - Bidding Requirement
- McCartyville Well Association, Inc. - Income Survey
- Mount Blanchard - Income Survey
- Piketon - Other
- Scioto Water, Inc. - Bidding Requirement
- Western Guernsey Regional Water - Bidding Requirement

#### Fourth Quarter

- Highland Ridge Rural Water Association - Environmental Assessment - DEFA issued the FONSI. Monitored progress to determine if RCAP needed to assist. Project is bid.
- Jefferson County Water Sewer District - Income Surveys - LMI Survey started mid-April.

### **Objective 3**

#### **Assist with Locating and Procuring Other Sources of Funding:**

##### **First Quarter**

- Piketon - Other - Processed OPWC Draw #7 and OWDA Draw #7 for the project.
- Blanchester - Funding - Communicated with OPWC regarding scope change.
- MT Victory - Funding - Prepared and submitted OPWC application.
- Oak Hill- WL Replacement - Funding - Completed OWDA construction loan supplemental application for additional construction, engineering, and GIS work.
- Pike Water Incorporated - Funding - Verified easement conveyance method with OEPA/DEFA, submitted Pre-Award Schedule to OEPA/DDAGW, scheduled RCAP 101 and 201 training with Pike Water Inc. board members, attended CDBG Public Meeting #1 for project in Bainbridge, and submitted CDBG LMI survey form with correct HUD income limits to system for distribution.
- Wellston- NWTP PH2 - Funding - Communicated with OVRDC and city regarding financing.

##### **Second Quarter**

- Old Straitsville Water Association - Funding - Communicated with BHHVRDD regarding ARC financing and with EPA regarding project status.
- Pike Water Incorporated - Funding - Submitted LMI survey form with correct income levels to water company for distribution to potential new customers. Verified RCAP 101 and 201 training requirement with water company for principal forgiveness. Met with water company and project engineer. Letter of documentation for health and safety issues collected. LMI surveys collected. LMI survey results, health and safety documentation and engineers estimate forwarded to Timothy Leasure by email for review of CDBG status eligibility. Conducted public meeting #2 for CDBG Water and Sewer funding application process. Prepared and submitted capacity assurance plan to OEPA/DEFA. Submitted CDBG authorization legislation and anti-displacement ordinance to Ross County Commissioners.
- Pomeroy - Funding - Communicated with BHHVRDD and EPA regarding ARC financing for the project.
- Rio Grande - Funding - Corresponded with OVRDC concerning OPWC application ranking.
- Wellston- NWTP PH2 - Funding - Completed ARC Full-Application and communicated with city and EPA regarding EPA financing.

##### **Third Quarter**

- Oak Hill - Funding - Worked with village on acquiring financing for water meter replacement project.

#### Fourth Quarter

- Jefferson County Water Sewer District - Funding - Project is fundable on draft PPL for next program year. Trying to finish income survey for CDBG.
- Mount Blanchard - Funding - Obtained CDBG grant for \$600,000, waiting on grant agreement.
- MT Victory - Funding - Finalizing CDBG application
- Oak Hill - Funding - Worked with village on acquiring financing for water meter replacement project.
- Shiloh - Funding - Submitted supplemental documentation to OPWC Small Governments on Village's behalf. Project named as alternate but not awarded funding.

#### **Objective 4**

##### **Assist with Determining Most Affordable Option:**

#### First Quarter

- Lincoln Terrace Homeowners Association
- Putnam Community Water Association
- Middle Point - Funding - Communicated with system regarding financing for projects.

#### Second Quarter

- Highland Ridge Rural Water Association

#### Third Quarter

- Chickasaw
- Jefferson County Water Sewer District
- McCartyville Well Association, Inc.
- Noble County Water Company
- Oak Hill
- Racine
- West Mansfield

#### Fourth Quarter

- Oak Hill - Funding - Worked with village on acquiring financing for water meter replacement project.
- Trimble - Funding - Communicated with the project engineer regarding project financing.
- Wellston- NWTP PH2 - Funding - Communicated with city and EPA regarding financing, completed OWDA loan application.

## Objective 5

### **Readiness-to-Proceed Issues:**

#### First Quarter

- Allen MHP - Funding - Communicated with project team regarding status of EPA loan.
- Arlington - Funding - Communicated with project team regarding EPA financing.
- Ashley Village - Hiring an Engineer - Provided information on QBS engineer selection process.
- Bellaire - Funding - Obtained revised engineer's estimate for project and communicated with project team regarding application submittal.
- Bethesda - Completing Data Collection - Communicated with village administrator regarding CAP & application documents.
- Bethesda - Funding - Communicated with village administrator regarding training requirements for principal forgiveness. Worked on CAP & APP.
- Bethesda - Funding - Attended Council Mtg to discuss project schedule & funding requirements.
- Blanchester - Funding - Communicated with OPWC regarding scope change.
- Byesville - Funding - EPA referral. Met with VA/Clerk regarding CAP & APP materials. Communicated with Eng regarding schedule
- Carrollton- Brenner Rd Waterline Replacement - Funding - Communicated with project team regarding EPA financing.
- Carrollton- WTP/Wellfield - Funding - Communicated with project team regarding EPA financing, completed design loan application, and sent EPA CAP financials.
- Clear Water Corporation - Funding - Discussed loan approval with system.
- Cleves - Hidden Valley Lake - Funding - Updated CAP and prepared application for Phase II design loan.
- Countryside MHP - Gathering Supporting Documentation - Attempted to attend survey with operator and CDO to gain information for CAP but operator didn't show up.
- East Palestine - Funding - Conducted Utility Management and Financial Management Courses for 50% of Council.
- East Palestine - Funding - Communicated with Village regarding training requirements for PF.
- East Palestine - Funding - Conducted Utility Management and Financial Management courses for Council.
- Geneva Hills - Gathering Supporting Documentation - Provided "Green Book" for designing potential hauling water alternative suggested by OEPA.
- Highland Ridge Rural Water Association - Funding - Communicated with system regarding EPA financing and training requirements.
- Lakemore - Funding - Completed project schedule and communicated with project team regarding EPA financing.
- Laurelville - Funding - Communicated with EPA regarding financing.
- Lisbon - Funding - Communicated with project team regarding EPA financing.
- McComb - Funding - Communicated with project team regarding EPA financing.
- Middle Point - Funding - Communicated with system regarding financing for projects.
- Mount Sterling - Funding - Assisted the community with preparation of CAP and application.

- MT Victory - Funding - Prepared and submitted OPWC application.
- Muskingum County - Gathering Supporting Documentation - Consulted with County, engineer and SEDO to develop and submit a planning document.
- New Straitsville - Funding - Conducted Utility Management for Local Officials (101) training and Financial Management for Local Officials (201) training for village council.
- Noble County Water Company - Funding - Communicated with system regarding financing.
- Oak Hill- WL Replacement - Funding - Completed OWDA construction loan supplemental application for additional construction, engineering, and GIS work.
- Old Straitsville Water Association - Funding - Communicated with water association regarding EPA financing.
- Pike Water Incorporated - Funding - Verified easement conveyance method with OEPA/DEFA, submitted Pre-Award Schedule to OEPA/DDAGW, scheduled RCAP 101 and 201 training with Pike Water Inc. board members, attended CDBG Public Meeting #1 for project in Bainbridge, and submitted CDBG LMI survey form with correct HUD income limits to system for distribution.
- Pineview Estates - Completing Data Collection – Communicated with estates owner to schedule a meeting to discuss project and financial information.
- Pomeroy - Funding - Communicated with village and EPA regarding financing.
- Putnam Community Water Association - Funding - Communicated with project team regarding EPA financing.
- Rio Grande - Funding - Met with Village BPA president to discuss OEPA/WSRLA loan requirements, facilitated letter of denial being submitted to OEPA/DDAGW, prepared and submitted OPWC application.
- Rolling Ridge Water Company - Other - Reviewed check list of items to hook up with DELCO including easements, collateral release from bank on existing loan, and progress of letter of intent to obtain service from DELCO.
- Scioto Water, Inc. - Funding - Communicated with water company and EPA regarding financing.
- Seaman - Funding - Met with Village and project engineer to review WSRLA funding requirements and forwarded Pre-Award Schedule to OEPA/DDAGW.
- Shawnee - Funding - Submitted Pre-Award Schedule to OEPA/DDAGW, met with village administrator, operator, mayor and project engineer to review WSRLA program requirements, and forwarded RCAP 101 and 201 training information to mayor and village administrator with instructions.
- Tupper's Plains-Chester Water District - Funding - Communicated with water district and EPA regarding financing.
- Wellston- NWTP PH2 - Funding - Communicated with OVRDC and city regarding financing.
- West Union - Funding – completed CAP and application for design. All three phases were combined into a single design loan.
- Western Guernsey Regional Water - Funding - Communicated with community on training requirements and bidding.
- Western Guernsey Regional Water - Funding - Discussed training requirements with community.
- Yorkville - Funding - Communicated with village, EPA, and engineer regarding EPA financing and worked on CAP.

## Second Quarter

- Allen MHP - Funding - Communicated with project team regarding status of EPA loan.
- Bellaire - Funding - Prepared and submitted revised WSRLA amortization, financial projection sheet to Monica Hogan. Established revised bid opening date of December 18th for the project with village. Received bid tabulation from engineer for project. Prepared and submitted WSRLA application and bid tabulation to village operator with instructions for submission to OEPA/DEFA.
- Bethesda - Funding - Met with EPA staff, village, RCAP and county to discuss project schedule.
- Bethesda - Funding - CAP and APP submitted.
- Blanchester - Funding - Communicated with village regarding training requirement for principal forgiveness financing.
- Carrollton- WTP/Wellfield - Funding - Communicated with village on items for design loan application.
- Cleves - Hidden Valley Lake - Other - Sent inquiry to engineer for update on design, plan approval and bid opening.
- Cleves- Elizabethtown - Funding - Completed supplemental application for funding of change orders.
- Countryside MHP - Funding - Communicated with applicant regarding status of financial documents.
- East Palestine - Funding - Loan award completed in December.
- Geneva Hills - Gathering Supporting Documentation - Coordinated with OEPA/CDO to include cross connection control/backflow prevention ordinance for system as submitted in the managerial section of capacity assurance plan. Provided sample ordinance to OEPA/CDO. Received suggested cross connection control/backflow prevention ordinance revisions from OEPA/CDO, as required for CAP approval. Forwarded to Geneva Hills board director by email. Telephone correspondence with the Geneva Hills secretary was established.
- Laurelville - Funding - Communicated with EPA and village regarding meeting to discuss financing.
- McComb - Funding - Communicated with project team regarding EPA financing.
- Old Straitsville Water Association - Funding - Communicated with BHHVRDD regarding ARC financing and with EPA regarding project status.
- Pike Water Incorporated - Funding - Submitted LMI survey form with correct income levels to water company for distribution to potential new customers. Verified RCAP 101 and 201 training requirement with water company for principal forgiveness. Met with water company and project engineer. Letter of documentation for health and safety issues collected. LMI surveys collected. LMI survey results, health and safety documentation and engineers estimate forwarded to Timothy Leasure by email for review of CDBG status eligibility. Conducted public meeting #2 for CDBG Water and Sewer funding application process. Prepared and submitted capacity assurance plan to OEPA/DEFA. Submitted CDBG authorization legislation and anti-displacement ordinance to Ross County Commissioners.
- Pineview Estates - Completing Data Collection - Attempted to contact applicant regarding financial review information.
- Pomeroy - Funding - Communicated with BHHVRDD and EPA regarding ARC financing for the project.
- Rio Grande - Funding - Corresponded with OVRDC concerning OPWC application ranking.

- Scioto Water, Inc. - Funding - Communicated with EPA and water company regarding EPA financing, communicated with water company regarding training requirement for principal forgiveness.
- Seaman - Funding - Prepared Capacity Assurance Plan and submitted to OEPA/DDAGW. Forwarded water purchase contract agreement with Adams County Water to Sarah Wallace for capacity assurance plan.
- Shawnee - Funding - Received capacity assurance plan items by mail from village. Followed up with mayor concerning RCAP 101 and 201 training requirement for receipt of principal forgiveness. Prepared and submitted capacity assurance plan to OEPA/DDAGW.
- Thurston - Funding - Communicated with project engineer and EPA regarding EPA financing and project schedule.
- Tappers Plains-Chester Water District - Funding - Communicated with water district and EPA regarding financing.
- Wellston- NWTP PH2 - Funding - Completed ARC Full-Application and communicated with city and EPA regarding EPA financing.
- Western Guernsey Regional Water - Funding - Discussed training requirements with community
- Yorkville - Funding - Received capacity assurance items for village in mail from Sherry Loos. Corresponded with project engineer to verify project schedule and discuss tower site.

### Third Quarter

- Arlington - Funding
- Ashley Village - Funding
- Bellaire - Gathering Supporting Documentation
- Bethesda - Funding
- Blanchester - Funding
- Carrollton- Brenner Rd Waterline Replacement - Funding
- Carrollton- WTP/Wellfield - Funding
- Chickasaw - Determining Project Alternatives
- Chickasaw - Funding
- Cleves - Hidden Valley Lake - Funding
- Cleves- Elizabethtown - Other
- Enon - Funding
- Geneva Hills - Gathering Supporting Documentation
- Highland Ridge Rural Water Association - Gathering Supporting Documentation
- Jefferson County Water Sewer District - Project Schedule
- Jefferson County Water Sewer District - Gathering Supporting Documentation
- Jefferson County Water Sewer District - Funding
- Lakemore - Funding
- Laurelville - Funding
- Liberty Center - Determining Project Alternatives
- Liberty Center - Funding
- Lockland - Funding
- Lockland - Gathering Supporting Documentation
- Lockland - Funding
- McCartyville Well Association, Inc. - Funding
- McComb - Funding

- Mount Blanchard - Funding
- Mount Sterling - Funding
- Mount Sterling - Funding
- MT Victory - Funding
- Muskingum County - Gathering Supporting Documentation
- Oak Hill - Funding
- Pike Water Incorporated - Gathering Supporting Documentation
- Pineview Estates - Funding
- Scioto Water, Inc. - Funding
- Shiloh - Funding
- Tappers Plains-Chester Water District - Funding
- Wellston- NWTP PH2 - Funding
- West Jefferson - Funding
- West Mansfield - Funding
- West Salem - Funding
- West Union - Other
- West Union - Funding
- Western Guernsey Regional Water - Other
- Western Guernsey Regional Water - Funding

#### Fourth Quarter

- Arlington - Funding - During the quarter RCAP gathered the necessary documents to complete the WSRLA application, however project did not proceed in PY 2013 so materials currently held until determination has been made on whether the project will proceed in 2014.
- Ashley - Funding - Submitted application but project did not proceed. Waiting for re-scoring.
- Blanchester - Funding - Communicated with EPA, village, and project engineer regarding final requirements for loan approval.
- Carrollton- Brenner Rd Waterline Replacement - Funding - Project is fully funded and construction will start in July.
- Carrollton- WTP/Wellfield - Funding - Project fully funded.
- Chickasaw - Funding - Coordination of income survey.
- Cleves - Hidden Valley Lake - Funding - Funding awarded on May 30th, 2013 on reduced project scope. The Hidden Valley Lake bulk connection was eliminated because of delays in contract negotiations.
- Enon - Funding - Funding awarded on May 30th 2013.
- Highland Ridge Rural Water Association - Other - Project is bid. Bids to high. Seeking new bids.
- Jefferson County Water Sewer District - Funding - Project is fundable on draft PPL for next program year. Trying to finish income survey for CDBG.
- Lakemore - Funding - Well project fully funded.
- Lincoln Terrace Homeowners Association/Madison WD - Other - Conducted public informational meeting.
- McCartyville Well Association, Inc. - Funding - Project made the PPL but Association does not want to proceed with project.

- McComb - Funding - Completed EPA application. Loan is approved and the project is now proceeding to construction.
- Mount Blanchard - Funding - Obtained CDBG grant for \$600,000, waiting on grant agreement.
- Mount Sterling - Other - The engineer renominated for 2013/2014 funding however the nomination was received late due to server problems. The engineer can prove that an electronic copy of the nomination was sent in advance of the due date. I am told that EPA is reviewing this information any may reconsider eligibility of the nomination based upon good faith effort by the engineer on behalf of the community. Hopefully the general plan review can be completed allow the application present on file to proceed to award from 2012 funding which will resolve the issue of late renomination.
- Mount Sterling - Funding - Loan award was approved in April. Design and permit approval is expected to take a year. The construction project was nominated for 2014 award which is extremely optimistic.
- Mount Sterling - Funding - Treatment Plant and Well applications were combined on one planning loan. Please see the treatment plant project for additional details.
- MT Victory - Funding - Finalizing CDBG application
- Oak Hill - Funding - Worked with village on acquiring financing for water meter replacement project.
- Scioto Water, Inc. - Funding - Communicated with EPA and water company regarding loan approval and principal forgiveness training requirement.
- Shiloh - Funding - Submitted supplemental documentation to OPWC Small Governments on Village's behalf. Project named as alternate but not awarded funding.
- Spencerville- WTP - Funding - Coordinated with Village, DEFA on potential supplemental loan.
- Trimble - Funding - Communicated with the project engineer regarding project financing.
- Tupper Plains-Chester Water District - Funding - Communicated with water district regarding bidding, communicated with EPA regarding loan approval.
- Wellston- NWTP PH2 - Funding - Communicated with city and EPA regarding financing, completed OWDA loan application.
- West Union- Main Street WL - Funding - Funding was awarded in April. The project is currently under construction. No further RCAP TA is anticipated. Project closed.

## **Objective 6**

### **Capacity Development Technical Assistance:**

#### **First Quarter**

- Alger - Other - Finalized contingency plan and prepared system map.
- Ashville - Other - Met with Village to discuss OEPA/SEDO Sanitary Survey and review potential tasks associated with OEPA/RCAP List.
- Cleves - Hidden Valley Lake - Other - Reminded board of training requirement for principal forgiveness.
- Convoy - Capital Improvement Plan - Summarized water facilities inventory and presented inventory and summary to BPA and staff, conducted prioritizing exercise with BPA and staff, and identified top priority projects for next 3 to 5 years.

- Countryside MHP - Financing Plan - Reviewed supplementary financial information with owner.
- Geneva Hills - Financing Plan - Followed up with owner on progress with letter of credit as recommended collateral from financial reviewer in Pennsylvania.
- Lakemore - Rate Study - Worked on rate study.
- Mount Blanchard - Financing Plan - Completed LMI income survey, presented results to Council and discussed next steps, and recommended the Village proceed with detailed design.
- Mount Sterling - Rate Study - Completed feasibility study with preliminary rate increase recommendation to the village.
- Murray City - Other - Completed rate comparative analysis with Burr Oak and the communities they service with bulk water.
- Murray City - Other - Communicated with project team regarding meter relocation project and communicated with village regarding water loss.
- Muskingum County - Utility Planning - consulted with SEDO to possibly add Roseville to State Rte 555 project which could possibly delay implementation into next PY.
- Oak Hill- WL Replacement - Other - Assisted with disbursing construction financing.
- Payne - Capital Improvement Plan - Met with BPA, reviewed latest water facilities survey, and discussed developing a water facilities CIP.
- Pemberville - Capital Improvement Plan - Gathering cost data to assist with CIP.
- Pemberville - Utility Planning - Presented rate setting short course to system.
- Rolling Ridge Water Company - Financing Plan - Contacted Blendon Township again to see if still committed to fund project.
- South Bloomfield - TA to Governing Board – Met with mayor, discussed sanitary survey, offered RCAP assistance, and provided RCAP Fall 2012 training schedule.
- Thornville - Rate Study - Updated rate study and worked with system on implementing legislation.
- Wellston - Rate Study – Completed rate study.
- West Union - Rate Study - Made the community aware that a rate increase will be necessary to support the construction project if all phases are installed.

## Second Quarter

- Alger - Capital Improvement Plan - The Village requested RCAP assistance with the preparation of a Capital Improvements Plan.
- Ashville - Other - Presented Art and Science of Rate Setting short course to village council.
- Baltimore - Other - #5 UWL: Attempted contact with community and will share information regarding trainings and DWAF.
- Bethesda - Rate Study - RCAP conducted Rate Setting short course for council.
- Bethesda - Rate Study - Collected info for completion of rate study.
- Cleves - Hidden Valley Lake - Other - Continue to remind board of principle forgiveness training requirements.
- Convoy - Capital Improvement Plan - Completed water facilities capital improvement plan.
- Lakemore - Rate Study - Completing rate study.
- Laurelville - Other - Communicated with EPA and village regarding meeting to discuss sanitary survey.
- Lockland - TA to Governing Board - Provided TA to the administrator and operator to get the project back on track.

- Murray City - Other - Communicated with project team regarding meter relocation project, communicated with village regarding water loss, facilitated rate increase to reduce water department deficit.
- Oak Hill- WL Replacement - Other - Assisted village in providing information to the consultant completing GIS mapping.
- Payne - Capital Improvement Plan - Contacted operator to discuss CIP.
- Pemberville - Capital Improvement Plan - Prepared inventory.
- South Bloomfield - Other – Encouraged village officials to attend the Newark board training.
- Sugar Grove - Other - Communicated with village and EPA regarding meeting to discuss sanitary survey.
- Thornville - Rate Study - Conduct Rate Analysis for Village.
- Wellston - Rate Study - Presented rate study results to council.
- Willard - Rate Study - Informed community of rate deficiencies and new ACS Community Income data.

### Third Quarter

- Adena - TA to Governing Board
- Adena - Rate Study
- Alger - Capital Improvement Plan
- Baltimore - Other
- Bethesda - Rate Study
- Bridgeport - Rate Study
- Carey - TA to Governing Board
- Cleves - Hidden Valley Lake - Other
- Lake Erie Utilities - TA to Governing Board
- Lakemore - Rate Study
- Martinsville - TA to Governing Board
- McCartyville Well Association, Inc. - Financing Plan
- McGuffey - Other
- Mount Blanchard - Financing Plan
- Mount Sterling - Rate Study
- Murray City - Other
- Oak Hill - Other
- Payne - Capital Improvement Plan
- Pemberville - Capital Improvement Plan
- Sugar Grove - Other
- Thornville - Rate Study
- West Jefferson - Capital Improvement Plan
- West Mansfield - Financing Plan
- West Union - Rate Study

### Fourth Quarter

- Adena - TA to Governing Board - Re-review Sanitary Survey letter.
- Adena - Rate Study - Obtained detailed 2012 financial records. 2011 and 2010 not available.

- Adena - Capital Improvement Plan - Discussed assembling list of capital improvements with BPA, operator and engineer
- Alger - Capital Improvement Plan - RCAP prepared draft CIP project list and drafted preliminary costs for consideration of the BPA.
- Bridgeport - Rate Study - RCAP staff met with Council to present Rate Setting Short Course.
- Highland Ridge Rural Water Association - TA to Governing Board - Trained Board.
- Lake Erie Utilities - TA to Governing Board - During the quarter there was no activity.
- Lakemore - Rate Study - Completed
- Lincoln Terrace Homeowners Association/Madison WD - Financing Plan - Madison Twp Water District is moving forward to obtain SRF and possible CDBG for project. MTWD will take over as PWS.
- Martinsville - Developing Budgets - Met with mayor and new clerk to review water department budget. Most of their financial records were taken by the Clinton County Sheriff and State Auditor for their investigation into misappropriation of funds by previous village officials. Prepared budget based upon the best available data for the mayor to use in negotiations with HCWC on repayment of delinquent bulk purchase bill. The best course of action appears to be acquisition of the water system by HCWC if suitable terms can be agreed upon. Given the relatively poor condition of village assets, Martinsville will be at a disadvantage in these negotiations. To date, I have been unable to document the outcome of the May 20 meeting with the water company.
- McCartyville Well Association, Inc. - Financing Plan - Project is not proceeding, obtained funding through ODOT to relocate lines.
- McGuffey - Other - Completed Contingency Plan.
- Mount Blanchard - Financing Plan - Awarded around 50% of project cost, once bid, will secure OWDA loan so project can start construction.
- Mount Sterling - Rate Study - The community is considering OWDA construction funding to take advantage of 30 year term. The water rates passed by council assume a 30 year term.
- Murray City - Other - Communicated with village regarding water loss, telemetry, certified water operator, and service line/water meter replacement.
- Noble County Water Company - TA to Governing Board - discussed Training requirements.
- Oak Hill - Other - Assisted with disbursing financing to GIS consultant.
- Payne - Capital Improvement Plan - Completed CIP and presented to Board. Project is complete.
- Peebles - Other - Ohio RCAP presented the power point presentation on Asset Management to the Village of Peebles administrator, council and mayor. Discussed the work that RCAP has done in Yellow Springs on sewer collection system and advised them on possible OEPA / OWDA sponsored pilot project to do similar work. If approved approximately half of the cost would be covered under TA agreements. The village appears to be very interested in this program. The main concern is the desire to keep out of pocket cost to a minimum by using village staff to do essentially all of the work including GPS data collection. Given their existing workload this project depending upon the amount of asset condition assessment could require significantly more than the allocated 12 months. I am working to develop a cost estimate for asset management and GIS set-up. I plan to meet with community in early July to discuss participation in the asset management pilot project.
- Pemberville - Capital Improvement Plan - Worked on CIP
- Pemberville - Rate Study - Began rate study

- Sugar Grove - Other - Assisted village with determining water loss and created spreadsheet to track future water loss.
- Wellston - Rate Study - The mayor and council advised that they will not consider a raise in rates. They don't feel we can really calculate anything until we have more history with the new administration and management. Council does not feel that the previous history can be used as the bases for any decisions. They said they would like to wait at least 6 more months to get a better information. Wellston is still replacing dead and inaccessible meters. They are still in the process of making sure that all water is metered and accounted for. This has been a slow process, due to funds and manpower. We do have 1627 meters that are capable of being radio read. We have around 100 dead meters to go. They are now reading all of the meters in 5 days or less. The village expressed their thanks to you for all of the time and work RCAP put into the rate study. The mayor hopes that in six months the council will feel confident enough to address this issue.

### **RCAP Referral List**

- Addyston
- Adena
- Alger
- Ashville
- Chickasaw
- Convoy
- Lincoln Terrace Homeowners Association
- Martinsville
- McGuffey
- Mount Blanchard
- Murray City
- Oak Hill
- Payne
- Peebles
- Pemberville
- Pure Water Company
- Rolling Ridge Water Company
- South Bloomfield
- Spring Meadows Care Center
- Sugar Grove
- Thornville
- West Jefferson

### **Project Development Short Course:**

#### First Quarter

- Enon

### Second Quarter

- Leesburg

### Third Quarter

- Peebles

### Fourth Quarter

- Yellow Springs

## **CAPs Completed:**

### First Quarter

- Cleves - Hidden Valley Lake
- Mount Sterling
- West Union

### Second Quarter

- Bellaire
- Bethesda
- Lockland
- Pike Water Incorporated
- Putnam Community Water Association
- Seaman
- Shawnee

### Third Quarter

- Arlington
- Ashley
- Blanchester
- Carrollton
- Enon
- Geneva Hills
- Highland Ridge Rural Water Association
- Lakemore
- McComb
- Racine
- Scioto Water, Inc.
- Tupper Plains-Chester Water District
- Wellston

Fourth Quarter

- None

**Objective 7**

**Provide Utility Board Member Trainings:**

First Quarter

Date	Location	Course	Entity	# Participants	# Systems
8/22	East Palestine	Utility Management	RCAP	5	1
8/30	New Straitsville	Utility Management	RCAP	4	1
9/25	Archbold	Utility Management	RCAP	9	6
	Total	Utility Management		18	8
8/22	East Palestine	Financial Management	RCAP	5	1
9/18	New Straitsville	Financial Management	RCAP	3	1
9/26	Archbold	Financial Management	RCAP	7	5
	Total	Financial Management		15	7

Second Quarter

Date	Location	Course	Entity	# Participants	# Systems
10/09/12	New Philadelphia	Utility Management	RCAP	22	11
10/16/12	Hillsboro	Utility Management	RCAP	12	4
10/23/12	Baltimore	Utility Management	RCAP	3	2
	Total	Utility Management		37	17
10/10/12	New Philadelphia	Financial Management	RCAP	18	11
10/17/12	Hillsboro	Financial Management	RCAP	14	5
10/24/12	Baltimore	Financial Management	RCAP	4	3
	Total	Financial Management		36	19
11/07/12	Bucyrus	Asset Management	RCAP	17	9
11/15/12	Burton	Asset Management	RCAP	3	2
11/28/12	Lebanon	Asset Management	RCAP	4	2
12/06/12	Piketon	Asset Management	RCAP	3	2
12/11/12	Newark	Asset Management	RCAP	2	2
	Total	Asset Management		29	17
12/07/12	Piketon	Applied Asset Mgt. CUPSS	RCAP	2	1
12/12/12	Newark	Applied Asset Mgt. CUPSS	RCAP	2	2
	Total	Applied Asset Mgt. CUPSS		4	3

### Third Quarter

Date	Location	Course	Entity	# Participants	# Systems
3/26/13	New Philadelphia	Asset Management	RCAP	10	10
	Total	Asset Management		10	10
03/20/13	Medina	Applied Asset Mgt. CUPSS	RCAP	7	6
3/27/13	New Philadelphia	Applied Asset Mgt. CUPSS	RCAP	10	8
	Total	Applied Asset Mgt. CUPSS		17	14

### Fourth Quarter

Date	Location	Course	Entity	# Participants	# Systems
05/15/13	Springfield	Utility Management	RCAP	19	11
05/22/13	Zanesville	Utility Management	RCAP	24	12
06/05/13	Newcomerstown	Utility Management	RCAP	7	5
	Total	Utility Management		50	28
05/16/13	Springfield	Financial Management	RCAP	13	7
05/23/13	Zanesville	Financial Management	RCAP	18	6
06/06/13	Newcomerstown	Financial Management	RCAP	5	4
	Total	Financial Management		36	17
05/29/13	Piqua	Asset Management	RCAP	8	5
	Total	Asset Management		8	5
05/01/13	Archbold	Applied Asset Mgt. CUPSS	RCAP	6	4
05/30/13	Piqua	Applied Asset Mgt. CUPSS	RCAP	6	5
	Total	Applied Asset Mgt. CUPSS		12	9
05/21/13	Zanesville	Saving & Spending Wisely	RCAP	7	4
	Total	Saving & Spending Wisely		7	4

Systems that attended one of the utility board trainings listed above:

- Adams County RWD
- Alliance
- Aqua American
- Ayersville WSD
- Barnesville
- Bellaire
- Belle Center
- Bellevue
- Bethesda
- Bettsville
- Bryan
- Buckeye Lake
- Buckeye Water District
- Bucyrus

- Byesville
- Carrollton
- Castlebar Apartments
- Chesterville
- Circleville
- Clarington
- Clark Co Utilities
- Coble Village MHP
- Countryside WA
- Covington
- East Liverpool
- East Palestine
- Edon
- Elyria
- Enon
- Fairfiew Estates MHP
- Fayette
- Fowler MHP
- Frazeyburg
- Fulton County
- Gallipolis
- Green Meadow MHP
- Harrisville
- Hartville
- Highland County Water Co.
- Highland Ridge Water
- Holloway
- Holmes County
- Jefferson Regional Water
- Kenton
- Leipsic
- Lorain
- Marion Local Schools
- Marysville
- McConnelsville
- Medina County
- Miami County
- Millersburg
- Monroeville
- Morgan Meigsville Rural Water
- Mt. Pleasant
- Muskingum County
- Nevada
- New Athens
- New Carlisle
- New Concord
- New Straitsville
- New Waterford

- New Waterford
- Newcomerstown
- Oak Harbor
- Phillipsburg
- Pike Water Inc.
- Plumwood MHP
- Pride Valley MHP
- Racine
- Reno Water
- Richland County
- Roseville
- Scio
- Scioto Water Inc.
- South Vienna
- South Zanesville
- Southern Perry Water
- Spencerville
- Sycamore
- Syracuse RSD
- Toronto
- Tuscarawas Co MSD
- Versailles
- West Farmington
- West Lafayette
- West Unity
- Western Water Co.
- Williard
- Xenia
- Zanesville

**Provide Monitoring Assessment and Outreach for Online Utility Board Member Trainings:**

Systems that completed at least one segment of the Utility Management course:

- Adams County RWD
- Ashley
- Bellaire
- Bridgeport
- Carrollton
- Cleves
- Columbiana
- DELCO
- Edison
- Fairport Harbor
- Geneva Hills
- Greene County NRRW
- Henry County RWSD

- Liberty Center
- Malta
- Muskingum County
- New Waterford
- Oak Harbor
- Ottawa County
- Painesville
- Racine
- Saint Charles Center
- Scioto Water, Inc.
- Shawnee
- Toronto
- Waynoka Regional Water
- Western Guernsey Regional Water
- Woodsfield

Systems that completed at least one segment of the Financial Management course:

- Adams County RWD
- Ashley
- Bellaire
- Bethesda
- Bridgeport
- Carrollton
- Cleves
- DELCO
- Edison
- Fairport Harbor
- Geneva Hills
- Henry County RWSD
- Liberty Center
- Muskingum County
- New Paris
- New Waterford
- Painesville
- Racine
- Scioto Water, Inc.
- Shawnee
- Toronto
- Western Guernsey Regional Water
- Woodsfield

## **Objective 8**

### **Intensive Technical Assistance**

#### Summary of Technical Assistance

##### Community- Adena

Capacity development needs- Lack of adequate rates, lack of capital improvement plan.

Assistance provided- During the year RCAP communicated with the EPA Southeast District Office to obtain information about the system and to discuss the sanitary survey, met multiple times with the board of public affairs to discuss the sanitary survey, need for a capital improvements plan, and need to conduct a rate analysis, established a plan of action for intensive technical assistance, worked with the water billing clerk, fiscal officer, operator, and project engineer to collect information needed for the capital improvement plan and rate analysis, assisted the billing clerk in communicating with the village's billing software company to determine how to extract meter reading records from the program, analyzed customer data, created a spreadsheet to count users in usage ranges with raw meter data, communicated with the village regarding their bulk water supplier increasing bulk water fees, and obtained bulk water billing records from Tri-County Water District for the last two years.

Benchmarks accomplished- Assisted and educated the village on analyzing customer data and made progress toward completing a capital improvement plan and rate analysis.

Next steps- Complete rate analysis, facilitate rate increase, complete capital improvement plan, and develop and implement monthly water utility report format.

##### Community- Convoy

Capacity development needs- Lack of capital improvement plan, lack of preventative maintenance plan.

Assistance provided- During the year RCAP reviewed an energy audit recently conducted on the village's water system, identified implementation steps, established a plan of action for intensive technical assistance, completed a capital improvement plan, presented capital improvement plan to board, assisted the village in obtaining funding for their metering project, began the setup of the CUPSS program to initiate the asset management plan, met with the operator to discuss the asset management plan, to explain the CUPSS program, and to identify the modules that will be most beneficial, identified all assets to be included in the asset management plan, established preventive and predictive maintenance schedules, worked to incorporate equipment, capital assets, existing condition data, and current operating status into the asset management plan, identified the critical status and priority of all assets, and reviewed budget data to initiate the asset management plan.

Benchmarks accomplished- Identified energy audit implementation steps, completed capital improvement plan, assisted village in obtaining funding for their metering project, and made progress toward completing an asset management plan.

Next steps- Complete asset management plan.

Community- Lakemore

Capacity development needs- Lack of adequate rates, lack of adequate water source.

Assistance provided- During the year RCAP worked with the village to complete an EPA application and CAP, completed a rate analysis, met with the mayor and fiscal officer to review rate recommendations, learned during the meeting that the billing clerk had provided some inaccurate information about large volume water customers and that RCAP needed to make a few modifications to the final rate analysis report, corresponded with the village and EPA NEDO regarding the well project, met with the mayor and fiscal officer to discuss revised RCAP rate recommendations and minor modifications made due to new information provided by the village relative to several commercial customers, educated the village on the process for completing a capital improvement plan, facilitated correspondence between village, project engineer and EPA NEDO regarding well testing, attended a special council meeting to present the water rate analysis and review options for modifying the village's rate structure, worked with the village to assure that the environmental assessment notice was posted as required by EPA, communicated with the village and EPA regarding the bid opening, communicated with EPA regarding the well project being awarded in June, presented final rate recommendations and final rate analysis report to council, and facilitated the village approving a rate increase.

Benchmarks accomplished- Completed rate analysis, facilitated rate increase, assisted village in obtaining financing for their well project.

Next steps- None.

**Other:**

**Leveraged Funds**

Community	Loan	Source	Grant	Source
Albany			\$ 600,000.00	CDBG
Killbuck	\$ 566,719.00	EPA	\$ 239,291.00	EPA
Piketon	\$ 383,205.00	EPA	\$ 164,229.00	EPA
Scioto Water Incorporated	\$ 5,441,239.50	EPA	\$ 1,360,256.61	EPA
Tri County Water Association	\$ 898,197.00	EPA	\$ 379,253.00	EPA
New Straitsville	\$ 539,819.00	EPA	\$ 227,461.00	EPA
Oak Hill	\$ 17,000.00	OWDA		
Cleves	\$ 129,024.00	EPA		
Nelsonville	\$ 4,490,530.36	EPA		
East Palestine	\$ 341,294.00	EPA	\$ 85,345.00	EPA
West Union	\$ 227,946.00	EPA		
Carrollton	\$ 309,523.00	EPA		
Putnam Community Water	\$ 2,556,302.00	EPA		
Bellaire	\$ 1,413,516.00	EPA	\$ 927,656.00	EPA
Western Guernsey RWD	\$ 1,301,156.00	EPA	\$ 549,397.00	EPA
Cleves	\$ 394,029.00	EPA	\$ 97,111.00	EPA
Enon	\$ 198,711.00	EPA		
Mt. Sterling	\$ 1,002,027.00	EPA		
Wellston			\$ 250,000.00	ARC
West Union	\$ 1,500,855.00	EPA		
Pike Water Incorporated	\$ 601,563.00	EPA	\$ 394,791.00	EPA
Lockland	\$ 240,000.00	OWDA		
Shawnee	\$ 62,546.00	EPA	\$ 26,409.00	EPA
Blanchester	\$ 4,082,801.00	EPA	\$ 672,999.00	EPA
Carrollton	\$ 149,026.00	EPA	\$ 62,925.00	EPA
Carrollton	\$ 2,832,782.00	EPA	\$ 1,196,108.00	EPA
Geneva Hills Lodge	\$ 21,315.00	EPA	\$ 9,000.00	EPA
Highland Ridge Water Association	\$ 432,922.00	EPA	\$ 284,116.00	EPA
Lakemore	\$ 179,463.00	EPA		
McComb	\$ 1,367,130.00	EPA		
Scioto Water Incorporated	\$ 8,565,132.00	EPA	\$ 2,103,385.00	EPA
Wellston	\$ 160,850.00	OWDA		
Pike Water Inc			\$ 233,900.00	CDBG
Valley View Water and Sewer District			\$ 75,000.00	CDBG Formula
Mount Blanchard			\$ 600,000.00	CDBG
<b>TOTAL</b>	<b>\$40,406,622.86</b>		<b>\$ 10,538,632.61</b>	

## **Attachment B-2**

With funding from Ohio EPA and other sources, Ohio RCAP has designed and implemented a series of training courses aimed at local officials responsible for the operation and funding of water systems. Descriptions of these courses are as follows:

### **Utility Management for Local Officials (Course 101)**

Participants will be able to manage a water or sewer utility and develop their technical, managerial, and financial capability. Participants will be able to identify their responsibilities regarding operations, rules, open meeting laws and other laws impacting small water and wastewater systems, staffing, hiring consultants, project financing with loans, grants, rate setting, records keeping, income and expenses, budgeting, planning, and all aspects of utility operation. Participants will be able to develop capability for maintaining or achieving compliance with laws and regulations to provide a quality safe product at reasonable rates.

### **Financial Management for Local Officials (Course 201)**

Building on the information provided by the Ohio RCAP 101 course, participants will be able to evaluate financial policies and procedures; develop record systems to make sound decisions on budgets, rates, and capital purchases; manage assets, income, expenses, debt, and reserves. Participants will be able to develop short and long-range plans for providing safe and quality services at a reasonable cost. Participants will be introduced to asset management as a mechanism of good stewardship of their utility. Participants will be able to implement sound financial processes, plans, and strategies for their utility. As a prerequisite, the Utility Management for Local Officials is recommended but not required.

### **Asset Management, Budgeting & Rate Setting for Local Officials (Course 301)**

Participants will be able to evaluate financial needs of operating a water or sewer utility and set rates for services that cover the cost of operations, maintenance, repair, and replacement of the infrastructure assets. Participants will consider actual cost and changes in local conditions as a basis for budgeting expenses, debt service, and requires reserves. Additionally the participants will consider the capital needs of their infrastructure and the availability of loans and grants to cover capital costs along with the development of a rate structure that fits the needs of the community. Participants will determine short and long-term strategies for financing the needs of the utility and be able to deal with customer expectations and concerns. As a prerequisite, the Ohio RCAP 101 and 201 courses are recommended but not required.

### **Applied Asset Management Featuring Check Up Program for Small Systems (CUPSS)**

This course continues the topics of the Asset Management, Budgeting and Rate Setting for Local Officials seminar and will involve the implementation of tools, including CUPSS software recently developed by U.S. EPA and computer programs, to develop asset management plans and rate schedules for individual participants to meet the needs of their individual systems. Each participant will have access to a computer and will implement skills learned throughout the seminar. Participants will have the knowledge, tools, and software to set their own rates and explain these rates to their customers. As a prerequisite, the Ohio RCAP 101, 201, and 301 courses are recommended but not required. Additionally Ohio RCAP will provide each participant with free software that can be used for setting rates and managing the assets of the utility.



# Drinking Water Assistance Fund

## Wellhead Protection Set-aside

### Annual Report

#### Program Year 2013



Division of Drinking and Ground Waters  
Drinking Water Assistance Fund  
September 2013

Ohio EPA utilized the Wellhead Protection Set-aside to fund activities specified in the Drinking Water State Revolving Funds Intended Use Plan for Program Year 2013 (DW SRF IUP). These funds were used to complete source water assessment and wellhead protection activities for public water systems; assist communities developing wellhead protection/source water protection plans; conduct source water protection education and outreach; provide technical assistance; and general administrative and support information management. This report summarizes the annual expenditures, goals and objectives of the Wellhead Protection Set-aside, and program accomplishments by Activity as listed in the DW SRF IUP for Program Year (PY) 2013.

### **A. Expenditures and Full Time Equivalent (FTEs)**

Ohio EPA used approximately 7.3 full time equivalent staff to support implementation of the wellhead protection and source water assessment activities specified in Ohio's DW SRF Intended Use Plan for PY 2013.

### **B. Goals and Objectives**

The goals and objectives for the Wellhead Protection Program for PY2013 were as follows:

1. Complete source water assessments for new public water systems, revise previous delineations to address

- changed pumping configurations or better information, and refine delineations in potential karst/shallow fractured bedrock hydrogeologic settings;
2. Assess and conduct source water quality investigations to evaluate potential contaminant sources impacting source water quality for water systems with contaminant concentrations near or exceeding a MCL;
3. Encourage and provide direct technical assistance to public water systems in development and implementation of source water protection plans;
4. Coordinate with other environmental programs to include source water protection in their siting and outreach activities. Conduct general public outreach and education; disseminate source water assessments to public water systems and the public via a secure web site.
5. Provide general program support activities for staff including: time accounting and budgeting, planning, personnel management, computer programming, network support, GIS management and data acquisition, data management, information tracking, staff training, federal reporting, etc.

### **C. Overview of Program Accomplishments**

During PY 2013, the program has focused on promoting protective strategies, conducting training workshops, providing direct technical assistance to public water system officials, developing education and outreach activities, completing source water assessment reports for new public water systems, revising assessments for systems with new wells or changes in pumpage, developing a methodology for deriving substantial implementation of municipal systems from a SWAP survey and QA/QC of the source water assessment information geographic information system databases.

During PY 2013, 131 source water assessment reports were completed. Of these, 74 were for new wells or wellfields (32 of them located in karst areas) and 57 were revisions of earlier source water assessment reports due to new wells at existing wellfields, changed pumping rates, and other types of changes that warranted a revision of the earlier report.

Staff completed multi-session source water protection planning workshops that were attended by representatives of nine municipalities.

In addition to the workshops, staff reported one or more meetings with 29 public water system operators or local source water protection teams, where

they provided information and technical guidance on developing or implementing a local source water protection plan. Twelve source water protection plans developed by municipal public water systems were received by the Agency during PY2013 and 10 plans were endorsed by the agency within that timeframe. The Agency also received and accepted checklist-style protection plans from an additional 80 nonmunicipal systems (community and noncommunity). As of June 30, 2013, 45 percent of all community water systems covering 63.9 percent of the population served are substantially implementing source water protection measures under the criteria described in Ohio EPA's program.

Finally, staff responded to 343 technical assistance requests for site-specific maps showing locations of source water protection areas and any nearby waste or product management and storage facilities. They also reviewed for potential drinking water impacts: 75 coal or industrial minerals mining applications, 49 applications for 401/404 permits and 13 applications for UIC Class II wells.

### **D. Program Accomplishment by Activity**

Accomplishments for each of the program activities identified in the PY 2013 DW SRF IUP are summarized below:

**Activity 1 – Complete source water assessments for new public water systems and update delineations for new sources (well or water supply intakes).**

**Proposed Outcome/Product**

1. Complete source water assessment reports for new public water systems.
2. Revise previous assessments to address changed pumping configurations or better information
3. Revise assessments completed in karst areas.
4. Review for endorsement assessment reports completed by public water systems.

**Actual Work Completed**

- **Assessment Reports.** Completed 131 SWAP reports for public water systems using ground water. Of these, 74 were for new wells or wellfields (32 of them located in karst areas) and 57 were revisions of earlier source water assessment reports due to new wells at existing wellfields, changed pumping rates, and other types of changes that warranted a revision of the earlier report.
- **New Well Sitings.** In addition to the above, SWAP staff assisted Drinking Water inspectors with siting 45 new wells, providing preliminary maps of the source water protection area with known potential contaminant sources

shown. This preliminary mapping enables inspectors to observe required setbacks from various potential contaminant sources.

**Supplemental Environmental Benefits**

Describing and mapping source water assessment areas enables other environmental programs to prioritize their own regulatory and outreach activities based on their regulated facilities' *proximity to public drinking water sources*. The inclusion of susceptibility evaluations in SWAP reports helps these other programs to further target their efforts based on *likelihood of ground water impacts*. The reports are used extensively by private environmental consultants—who access them directly through the password-protected web site--as a primary source of hydrogeologic information. They are also used extensively by other DDAGW staff for locating Class V wells in SWAP areas as well as for source designations of new wells, Hydrogeologic Sensitivity Assessments (for the Ground Water Rule), and—more recently--to locate salt piles in SWAP areas (see Activity 2).

**Activity 2 – Assess and conduct ground water quality investigations, including hydrogeologic sensitivity analysis, to evaluate potential contaminant sources affecting source water quality for water systems with contaminant concentrations near or exceeding a MCL.**

#### **Proposed Outcome/Product(s)**

1. Statewide evaluation of water quality compliance data to establish priority public water systems
2. Study Plans
3. Sample Collection and Analysis
4. Summary Reports
5. Identify probable cause of contamination.

#### **Actual Work Completed**

DDAGW staff initiated work with Athens Township officials to facilitate investigation of the township's salt storage facility's impacts to ground water in the Athens City wellfield source water protection area. Additionally, staff conducted a limited scope investigation into anomalous drinking water quality results at the Stockport and Chesterhill wellfields in Morgan County.

**Activity 3 - Encourage and provide direct technical assistance to public water systems in development and implementation of source water protection plans.**

#### **Proposed Outcome/Product(s)**

1. Local development of source water protection plans and local implementation of protective strategies.
2. Up to ten local/regional source water protection workshops, led by Ohio EPA.
3. Direct technical assistance to public water systems developing local source water protection plans.

#### **Actual Work Completed**

- **Protection Plan Reviews.** Reviewed 12 municipal Source Water Protection Plans; 10 were endorsed by the Agency. See list in Appendix 1.
- **Workshops.** Conducted multi-session source water protection planning workshops that were attended by representatives of nine municipalities. The workshops are targeted to local organizations, community officials and public water system operators. Eligible participants receive one contact hour per session (with five sessions planned), which are awarded upon submission of an endorsable protection plan.
- **Meetings.** Participated in one or more meetings with 29 public water system operators or local source water protection teams, where staff provided information and guidance on developing or implementing a local source water protection plan.

See list of public water systems in Appendix 2.

- **Checklist Plans.** Received 80 Source Water Protection Plan checklists from non-municipal systems.
- **Certificates.** Returned personalized and signed certificates of recognition to 86 public water systems that had sent in a source water protection plan or a checklist.

**Activity 4 - Conduct public outreach and education and disseminate source water assessments to public water systems and the public via a secure web site; collaborate with State environmental programs to develop and implement source water protection strategies.**

#### Proposed Outcome/Product(s)

1. Continue development and maintenance of secure web page to access reports.
2. Document management.
3. Respond to technical assistance requests.
4. Update source water assessment and protection web pages.

#### Actual Work Completed

- **SWAP Surveys.** Developed a process for generating substantial implementation assessments from an online SWAP survey to be issued to community public water systems

every three years. The process addresses two different types of surveys. The survey sent to municipal community systems, provides checkboxes for 50 potential strategies, acknowledging a larger and more varied audience for educational strategies, and a broad list of potential partners. The survey sent to nonmunicipal community systems provides a more limited set of strategies that an owner/operator could realistically implement within the facility's property boundaries.

- **Secure SWAP Web page.** Provided passwords to 139 new registrants for the Source Water Protection secure Web page, bringing the total to 909. The registered users are primarily environmental consultants, but also include state, local, and federal agencies, regulated communities, schools, and non-profit organizations representing 13 states and the District of Columbia.
- **QA/QC.** Continued to QA/QC the statewide geographic information system data layer of Source Water Protection areas and well locations.
- **SWAP Newsletter.** Completed the 2012 SWAP newsletter, summarizing Source Water Protection accomplishments in Ohio during PY 2012, and posted it on the SWAP Web site in October 2012.
- **Technical Assistance Maps.** Responded to 343 technical assist-

ance requests for site-specific maps showing locations of source water protection areas and any nearby waste or product management and storage facilities. Most of these requests came from private consultants or other state agencies. They also reviewed for potential drinking water impacts: 75 coal or industrial minerals mining applications, 49 applications for 401/404 permits and 13 applications for UIC Class II wells.

- **Presentations.** SWAP staff gave numerous presentations, which included formal presentations at the Water Management Association of Ohio (WMAO) conference in November 2012 and AWWA conferences, as well as presentations at schools and various local festivals.
- **Information Session.** With the Ohio River Valley Water Sanitation Commission (ORSANCO), organized an information session in October 2012 for industry representatives along the Upper Ohio River. At this session, staff presented the joint source water protection plan developed by three systems along this stretch of the Ohio River (Steubenville, Toronto and Buckeye Water District).
- **ORWA.** Held quarterly meetings with Farm Service Agency (FSA) staff and Ohio Rural Water

Association (OWRA) Source Water Protection staff to coordinate development of local source water protection plans

- **Region V Meeting.** Attended the annual Region V Source Water Protection Managers meeting in Champaign-Urbana, Illinois, Oct. 9-11, 2012.
- **Oil/Gas Drilling Permits.** SWAP staff continued to work with ODNR Division of Mineral Resources Management staff to ensure that MRM's permits for new oil and gas wells were sufficiently protective of ground water, with special conditions required in source water protection areas.
- **Oil/Gas Pipelines.** SWAP staff researched the planned routes for proposed new oil/gas pipelines and shared the resulting information and maps with public water systems whose source water protection areas are traversed by or contiguous to a proposed pipeline route.

**Activity 5 – Provide administrative, computer and data management and geographic information program support to program staff.**

**Proposed Outcome/Product**

1. Federal reporting

## Actual Work Completed

- **Annual Report.** Completed Program Year 2012 DW SRF Wellhead Protection Set-aside Annual Report, August 2012
- **District Workplans.** Reviewed and provided comments on PY2012 SWAP Implementation submitted by the five district offices.
- **General Management.** Provided general management and supervision to staff, completed annual report, all staff performed time accounting procedures and provided support for accounting, budgeting and purchasing.
- **Administrative Support.** Administrative staff provided general office support to program staff
- **Technical Support.** Information management staff provided technical support for staff.

**Appendix 1 – List of Public Water Systems that received Endorsement of a Source Water Protection Plan during PY 2013**

- **City of Mount Vernon**
- **City of Pataskala**
- **Village of Archbold**
- **Village of Convoy**
- **Village of LaRue**
- **Burr Oak Regional Water District**
- **City of Dover**
- **Village of Dresden**
- **Village of Newcomerstown**
- **Village of Leipsic**

**Appendix 2 – List of Public Water Systems that Ohio EPA Provided Direct Technical Assistance to during PY 2013**

<b>Village of Danville</b>	<b>City of Dover</b>
<b>Village of Granville</b>	<b>Village of Dresden</b>
<b>City of Mount Vernon</b>	<b>Village of Newcomerstown</b>
<b>City of Pataskala</b>	<b>Ross County Water Company</b>
<b>City of Westerville</b>	<b>Village of Camden</b>
<b>City of Cuyahoga Falls</b>	<b>Village of Cleves</b>
<b>City of Ravenna</b>	<b>Monroe City</b>
<b>Village of Archbold</b>	<b>City of Troy</b>
<b>Convoy Water Treatment Plant</b>	<b>City of Steubenville</b>
<b>Village of Leipsic</b>	<b>City of Toronto</b>
<b>Aqua-Ohio/Marion</b>	<b>Buckeye Water District</b>
<b>City of Sandusky</b>	<b>Maysville Water District</b>
<b>Village of Woodville</b>	
<b>Village of Bolivar</b>	
<b>Burr Oak Regional Water District</b>	
<b>City of Cambridge</b>	
<b>Village of Coal Grove</b>	

## Appendix D

### WSRLA Fund Modeling Results

May 8, 2013

The following modeling results were based on the following assumptions:

- a. Base Loan interest rate: 2.67%
- b. Set-asides = 11% in 2013-18
- c. Capitalization Grants: \$24,870,000 in 2013 through 2018.
- d. PY2014 assumptions = \$150M total, including \$15M PF and \$50M in 1% Disadvantaged Loans
- e. A = No Disadvantaged Program after capitalization period (2018).  
 B = Post-capitalization period Disadvantaged Program of \$5M/year @ 0%  
 C = Post-capitalization period Dis. Prog. of \$5M/yr. PF and \$5M/yr. @ 0%

Total Annual Loan Amount Adj. for Inflation	Disadvantaged Commun. 1% Loan	Disadvantaged Commun. 0% Loan	Disad. Commun. Prin. Forgive.	Year 105% Bond Coverage Ends		
				A	B	C
\$75M	\$0	\$0	\$0	2054+	-	-
\$100M	\$0	\$0	\$0	2054+	-	-
\$125M	\$0	\$0	\$0	2054+	-	-
\$150M	\$0	\$0	\$0	2054+	-	-
\$75M	\$10M 2014-18	\$0	\$10M 2014-18	2054+	2054+	2054+
\$100M	\$10M 2014-18	\$0	\$10M 2014-18	2054+	2054+	2054+
\$125M	\$10M 2014-18	\$0	\$10M 2014-18	2054+	2054+	2043
\$150M	\$10M 2014-18	\$0	\$10M 2014-18	2044	2042	2037
\$75M	\$20 M 2014-18	\$0	\$10M 2014-18	2054+	2054+	2054+
\$100M	\$20 M 2014-18	\$0	\$10M 2014-18	2054+	2054+	2054+
\$125M	\$20 M 2014-18	\$0	\$10M 2014-18	2054+	2054+	2043
\$150M	\$20 M 2014-18	\$0	\$10M 2014-18	2044	2041	2035
\$75M	\$0	\$20 M 2014-18	\$10M 2014-18	2054+	2054+	2054+
\$100M	\$0	\$20 M 2014-18	\$10M 2014-18	2054+	2054+	2054+
\$125M	\$0	\$20 M 2014-18	\$10M 2014-18	2054+	2054+	2041
\$150M	\$0	\$20 M 2014-18	\$10M 2014-18	2043	2040	2034
\$75M	\$20 M 2014-18	\$0	\$20 M 2014-18	2054+	2054+	2054+
\$100M	\$20 M 2014-18	\$0	\$20 M 2014-18	2054+	2054+	2045
\$125M	\$20 M 2014-18	\$0	\$20 M 2014-18	2046	2044	2037
\$150M	\$20 M 2014-18	\$0	\$20 M 2014-18	2038	2035	2033
\$75M	\$0	\$20 M 2014-18	\$20 M 2014-18	2054+	2054+	2054+
\$100M	\$0	\$20 M 2014-18	\$20 M 2014-18	2054+	2054+	2044
\$125M	\$0	\$20 M 2014-18	\$20 M 2014-18	2045	2043	2035
\$150M	\$0	\$20 M 2014-18	\$20 M 2014-18	2036	2034	2033

**Appendix E - PY 2013 Projects Benefits Reporting - Grant Requirements for 2012**

**Capitalization Grant 2012 - \$30,339,000**

<b>LoanNumber</b>	<b>Entity Name</b>	<b>Initial Loan Date</b>	<b>Assistance Amount</b>	<b>Principal Forgiveness Amount</b>	<b>GPR Amount</b>
FS390326-0006	East Palestine	07/26/2012	\$ 359,057.00	\$ 71,775.00	\$ -
FS390676-0004	New Straitsville	07/26/2012	\$ 767,280.00	\$ 227,461.00	\$ -
FS390548-0004	Henry County Regional WSD (McClure - construction)	10/25/2012	\$ 1,590,468.00	\$ 417,581.00	\$ -
FS390326-0008	East Palestine (Wheathill tank)	12/06/2012	\$ 426,878.00	\$ 61,380.00	\$ -
FS390518-0003	Liberty Center (TTHM removal)	12/06/2012	\$ 613,739.00	\$ 148,500.00	\$ -
FS390149-0006	Bellaire (Intake project)	02/28/2013	\$ 2,341,172.00	\$ 927,656.00	\$ -
FS391647-0001	Western Guernsey Regional Water (Shaw/High Hill)	02/28/2013	\$ 1,850,553.00	\$ 549,397.00	\$ -
FS391651-0001	Adams County RWD (Sunshine Ridge)	03/28/2013	\$ 427,718.00	\$ 126,982.00	\$ -
FS390264-0009	Cleves (Elizabethtown Ph 2 constr)	05/30/2013	\$ 491,141.00	\$ 97,111.00	\$ -
FS390845-0003	Shawnee (Water dist. Ph 2)	05/30/2013	\$ 88,955.00	\$ 26,409.00	\$ -
FS391406-0004	Pike Water, Inc. (Potts Hill)	05/30/2013	\$ 996,354.00	\$ 394,791.00	\$ -
FS390172-0011	Blanchester (WTP imprv)	06/27/2013	\$ 4,755,799.00	\$ 672,999.00	\$ -
FS390255-0032	Cincinnati, GCWW (Madison Ave)	06/27/2013	\$ 7,627,550.00	\$ -	\$ -
FS391176-0003	Highland Ridge Water Association, Inc.	06/27/2013	\$ 717,038.00	\$ 284,116.00	\$ -
FS391407-0011	Scioto Water, Inc. Sugar Camp	06/27/2013	\$ 10,456,397.00	\$ 2,103,385.00	\$ -
			\$ 33,510,099.00	\$ 6,109,543.00	
	<b>Capitalization Grant Requirements</b>		<b>\$ 30,339,000.00</b>	<b>\$ 6,067,800.00</b>	

**Appendix F - PY 2013 Projects Benefits Reporting System - List of Funded Projects**

No.	LoanNumber	Entity Name	Initial Loan Date	Assistance Amount	Principal Forgiveness Amount	GPR Amount
1	FS390326-0006	East Palestine	07/26/2012	\$ 359,057.00	\$ 71,775.00	\$ -
2	FS390676-0004	New Straitsville	07/26/2012	\$ 767,280.00	\$ 227,461.00	\$ -
3	FS390124-0017	Athens	08/30/2012	\$ 815,058.00	\$ -	\$ -
4	FS390576-0004-1	Martins Ferry (supplemental)	08/30/2012	\$ 253,375.00	\$ -	\$ -
5	FS390092-0002-0	Addyston (supplemental)	09/27/2012	\$ 16,388.00	\$ -	\$ -
6	FS0649-0006	Nelsonville	10/25/2012	\$ 4,490,530.00	\$ -	\$ -
7	FS390255-0019	Cincinnati, GCWW (Belclare)	10/25/2012	\$ 412,430.00	\$ -	\$ -
8	FS390255-0020	Cincinnati, GCWW (Coffey)	10/25/2012	\$ 1,491,648.00	\$ -	\$ -
9	FS390255-0022	Cincinnati, GCWW (Oregon/Baum)	10/25/2012	\$ 398,302.00	\$ -	\$ -
10	FS390255-0025	Cincinnati, GCWW (Rockdale/Hageman)	10/25/2012	\$ 943,346.00	\$ -	\$ -
11	FS390264-0008	Cleves (Elizabethtown Ph 2 design)	10/25/2012	\$ 129,024.00	\$ -	\$ -
12	FS390548-0004	Henry County Regional WSD (McClure - construction)	10/25/2012	\$ 1,590,468.00	\$ 417,581.00	\$ -
13	FS390041-0017	Jefferson County W&SD (Brilliant booster)	12/06/2012	\$ 3,906,168.00	\$ -	\$ -
14	FS390255-0023	Cincinnati, GCWW (66th St./68th St.)	12/06/2012	\$ 1,488,100.00	\$ -	\$ -
15	FS390255-0024	Cincinnati, GCWW (Clough Pike)	12/06/2012	\$ 725,062.00	\$ -	\$ -
16	FS390255-0026	Cincinnati, GCWW (Pedretti Rd)	12/06/2012	\$ 1,467,619.00	\$ -	\$ -
17	FS390255-0028	Cincinnati, GCWW (Knowlton/Dane)	12/06/2012	\$ 1,478,388.00	\$ -	\$ -
18	FS390264-0003-1	Cleves (Elizabethtown water main supplemental)	12/06/2012	\$ 136,470.00	\$ -	\$ -
19	FS390326-0008	East Palestine (Wheathill tank)	12/06/2012	\$ 426,878.00	\$ 61,380.00	\$ -
20	FS390518-0003	Liberty Center (TTHM removal)	12/06/2012	\$ 613,739.00	\$ 148,500.00	\$ -
21	FS390955-0023	Warren (Switch gear)	12/06/2012	\$ 2,377,712.00	\$ -	\$ -
22	FS390989-0015	West Union (Distr sys & tank design)	12/06/2012	\$ 227,946.00	\$ -	\$ -
23	FS391432-0059	Northwestern W&SD (Rossford Ph 1 design)	12/06/2012	\$ 60,699.00	\$ -	\$ -
24	FS391432-0060	Northwestern W&SD (Rossford River Rd design)	12/06/2012	\$ 179,896.00	\$ -	\$ -
25	FS390229-0005	Carrollton (New wtp design)	01/31/2013	\$ 486,277.00	\$ -	\$ -
26	FS390255-0017	Cincinnati (Eden Park)	01/31/2013	\$ 2,721,823.00	\$ -	\$ -
27	FS391300-0001	Putnam Community Water Corp (Wtp upgrade)	01/31/2013	\$ 2,555,435.00	\$ -	\$ -
28	FS390149-0006	Bellaire (Intake project)	02/28/2013	\$ 2,341,172.00	\$ 927,656.00	\$ -
29	FS390255-0021	Cincinnati, GCWW (Lebanon Feeder V)	02/28/2013	\$ 165,238.00	\$ -	\$ -
30	FS390255-0027	Cincinnati, GCWW (Atson/Dorothy)	02/28/2013	\$ 2,153,226.00	\$ -	\$ -
31	FS390255-0029	Cincinnati, GCWW (Murray Rd.)	02/28/2013	\$ 771,767.00	\$ -	\$ -
32	FS390255-0031	Cincinnati, GCWW (Vine St.)	02/28/2013	\$ 1,854,331.00	\$ -	\$ -
33	FS391647-0001	Western Guernsey Regional Water (Shaw/High Hill)	02/28/2013	\$ 1,850,553.00	\$ 549,397.00	\$ -
34	FS390255-0030	Cincinnati, GCWW (McAlpin/Ludlow)	03/28/2013	\$ 2,077,797.00	\$ -	\$ -
35	FS390262-0024	Cleveland (Shaker Heights)	03/28/2013	\$ 2,203,181.00	\$ -	\$ -
36	FS391651-0001	Adams County RWD (Sunshine Ridge)	03/28/2013	\$ 427,718.00	\$ 126,982.00	\$ -
37	FS390638-0007	Mount Sterling (Wells & WTP Design)	04/25/2013	\$ 1,002,027.00	\$ -	\$ -
38	FS390955-0024	Warren (waterline repl)	04/25/2013	\$ 1,824,055.00	\$ -	\$ -
39	FS390989-0012	West Union (Main to Wilson)	04/25/2013	\$ 1,500,855.00	\$ -	\$ -
40	FS390264-0009	Cleves (Elizabethtown Ph 2 constr)	05/30/2013	\$ 491,141.00	\$ 97,111.00	\$ -
41	FS390340-0004	Eron (Meter upgrade)	05/30/2013	\$ 198,711.00	\$ -	\$ -
42	FS390845-0003	Shawnee (Water dist. Ph 2)	05/30/2013	\$ 88,955.00	\$ 26,409.00	\$ -
43	FS391406-0004	Pike Water, Inc. (Potts Hill)	05/30/2013	\$ 996,354.00	\$ 394,791.00	\$ -
44	FS391432-0062	Northwestern W&SD (Rossford Ph 1 constr)	05/30/2013	\$ 1,292,641.00	\$ -	\$ -
45	FS390025-0020	Franklin County (Leonard Park)	06/27/2013	\$ 277,734.00	\$ -	\$ -
46	FS390095-0067	Akron (Chlorine Dioxide feed constr)	06/27/2013	\$ 760,286.00	\$ -	\$ -
47	FS390095-0073	Akron (High service pumps constr)	06/27/2013	\$ 2,904,745.00	\$ -	\$ -
48	FS390095-0074	Akron (Middletown and Darrow)	06/27/2013	\$ 1,301,005.00	\$ -	\$ -
49	FS390095-0076	Akron (Water main repl 2013)	06/27/2013	\$ 831,285.00	\$ -	\$ -
50	FS390172-0011	Blanchester (WTP imprv)	06/27/2013	\$ 4,755,799.00	\$ 672,999.00	\$ -
51	FS390184-0021	Bowling Green (Manville tower repl)	06/27/2013	\$ 3,574,606.00	\$ -	\$ -
52	FS390229-0006	Carrollton (New WTP constr)	06/27/2013	\$ 4,028,890.00	\$ 1,196,108.00	\$ -
53	FS390229-0008	Carrollton (Brenner Rd)	06/27/2013	\$ 211,951.00	\$ 62,925.00	\$ -
54	FS390255-0032	Cincinnati, GCWW (Madison Ave)	06/27/2013	\$ 7,627,550.00	\$ -	\$ -
55	FS390309-0012	Delphos (Gressel Dr)	06/27/2013	\$ 60,257.00	\$ -	\$ -
56	FS390325-0008	East Liverpool (St. George St)	06/27/2013	\$ 530,896.00	\$ -	\$ -
57	FS390501-0001	Lakemore	06/27/2013	\$ 179,463.00	\$ -	\$ -
58	FS390549-0006	McComb	06/27/2013	\$ 890,279.00	\$ -	\$ -
59	FS390932-0010	Upper Sandusky (NE Quadrant)	06/27/2013	\$ 1,792,638.00	\$ -	\$ -
60	FS390974-0004	Westerville (WTP upgrade)	06/27/2013	\$ 13,549,319.00	\$ -	\$ -
61	FS391176-0003	Highland Ridge Water Association, Inc.	06/27/2013	\$ 717,038.00	\$ 284,116.00	\$ -
62	FS391407-0011	Scioto Water, Inc. Sugar Camp	06/27/2013	\$ 10,456,397.00	\$ 2,103,385.00	\$ -
63	FS391432-0063	Northwestern W&SD (Rossford-River Rd constr)	06/27/2013	\$ 2,151,155.00	\$ -	\$ -
64	FS391648-0003	Geneva Hills Group, Inc.	06/27/2013	\$ 30,315.00	\$ 9,000.00	\$ -