Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

Federal Fiscal Year 2008
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I. Introduction

This analysis highlights activities financed by Drinking Water State Revolving Fund (DWSRF) capitalization grant set-asides to promote capacity development efforts. A national “one-year snapshot” for federal fiscal year (FFY) 2008 is provided, describing the four different set-asides and highlighting activities that states are pursuing to build system capacity. The body of this document includes specific examples of set-aside uses that states may find relevant to their own Capacity Development Programs. In reviewing this document, states and the 10 Environmental Protection Agency (EPA) regional offices will be exposed to a variety of effective and allowable uses of the DWSRF set-asides. These activities can be seen as potential “tools in the toolbox” that states may not have previously considered as a means to encourage system sustainability.

The analysis is based on three primary sources containing set-aside-related data: the DWSRF National Information Management System (DWNIMS); states’ DWSRF Intended Use Plans (IUPs); and states’ Capacity Development Reports to the Governor. All data used to identify trends and uses of set-asides in the body of this document have also been summarized by state in Appendix A.

Numerous examples of state-specific set-aside uses that were provided in the 2008 IUPs and latest triennial Capacity Development Reports to the Governor are cited in this analysis. However, the reader should recognize that many other states have comparable examples of such usages that may not have been included in these reports. Appendix A can serve as a reference for the reader to explore the various intended efforts of each state. It should be noted that this document is not a comprehensive report but rather a review of what state co-regulators deem to be an initiative to promote sustainable drinking water systems, supported by funds from the DWSRF set-asides during a one-year period. Further information can be obtained either by contacting state primacy agencies directly or by contacting the EPA DWSRF Coordinator in the appropriate Region (Appendix B).

History

Since the 1996 Amendments to the Safe Drinking Water Act (SDWA) were passed, EPA and its state partners have been enhancing established programs and implementing new ideas that promote technical, managerial, and financial (TMF) capacity in public water systems (PWSs). This programmatic approach, referred to as “capacity development” in general and formalized in each state’s Capacity Development Program, is utilized by all 50 states and Puerto Rico.

Based on 2008 Safe Drinking Water Information System (SDWIS) data, PWSs serving 10,000 or fewer customers represent over 97 percent of the nation’s PWSs. Small systems serve many populations, and can be categorized as community water systems (CWSs), non-transient non-community water systems (NTNCWSs), and transient non-community water systems (TNCWSs). While many small systems consistently provide safe, reliable drinking water to their customers, small systems face a number of challenges in assuring long-term TMF capacity. Overarching challenges that smaller systems face can include:
Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

- Lack of financial resources driven by economies of scale.
- Ancillary ownership (i.e., water treatment and delivery is not the owner’s primary function).
- Lack of a certified operator or poor staff retention.
- Need to upgrade or replace aging infrastructure with inadequate funds.
- Ability to maintain the quantity and quality of source water.
- Public’s increasing demand for low utility costs.
- Establishment of enhanced and more protective regulatory requirements.

In recognition of the challenges facing smaller PWSs, Congress established several provisions of the 1996 SDWA Amendments including the implementation of Capacity Development Programs. This provision places a significant emphasis on assisting CWSs and NTNCWSs of all sizes in acquiring and maintaining their TMF capacity. TMF capacity is the ability to plan for, achieve, and continually provide safe and affordable drinking water to customers.

As part of the 1996 SDWA Amendments, Congress established the DWSRF to provide states with a financing mechanism for drinking water projects and programs. Since July 1, 1996, states have used annual federal capitalization grant money to create revolving loan funds from which PWSs can borrow to finance infrastructure improvements (Exhibit 1). In addition to financing infrastructure through loans, states have the flexibility to set aside and award funds for targeted activities that can help states implement and expand their drinking water programs. The four DWSRF set-asides are:

- Small System Technical Assistance (2%).
- Administrative and Technical Assistance (4%).
- State Program Management (10%) (which requires a 1:1 match from state funds).
- Local Assistance and Other State Programs (15%) (also called 1452(k) Activities).

Taken together, up to 31 percent of a state’s DWSRF capitalization grant can be set aside for activities other than infrastructure construction. These set-asides enable states to improve water system operation and management, emphasizing institutional capacity as a means of achieving sustainable water system operations. However, the use of set-asides must be balanced with the need to fund infrastructure. States have a finite amount of federal funding to spend, and any dollars that are set aside by the state programs are not spent directly on construction projects and
may not contribute to the revolving funds. Each state decides how much money to spend bolstering institutional capacity and how much to spend repairing or replacing infrastructure. Because set-aside-funded programs cut across many state capacity development efforts, DWSRF set-asides can promote integration between various program components (Exhibit 2). This analysis examines the impact that a variety of set-aside programs funded by the states and Puerto Rico have on capacity development.

Exhibit 2: How DWSRF Set-Asides Promote Program Integration

<table>
<thead>
<tr>
<th>Operator Certification</th>
<th>Public Involvement/Right to Know</th>
</tr>
</thead>
<tbody>
<tr>
<td>Source Water Protection</td>
<td>Sanitary Survey Inspections</td>
</tr>
<tr>
<td>Capacity Development</td>
<td>Improving System Security and Emergency Response</td>
</tr>
</tbody>
</table>

Methodology and Report Structure

Data Sources

The following analysis is based on three primary sources containing set-aside data for FFY 2008: DWNIMS data, states’ DWSRF IUPs, and states’ Capacity Development Reports to the Governor. DWNIMS data is submitted annually and provides a record of progress and accountability for how DWSRF funds are spent. DWSRF IUPs are submitted by states annually as a condition of receiving the DWSRF capitalization grant. Reports to the Governor are submitted on a triennial basis and are another condition of receiving the DWSRF capitalization grant.

These three sources are different in scope and purpose and, as such, present discrepancies in examining each of the four set-asides. While DWNIMS data (which are compiled at a national level) provide an authoritative accounting of set-aside funding and utilization, they offer little context about set-aside spending on specific activities. State IUPs, on the other hand, provide greater detail on how states are planning to use their set-asides, but vary in the amount of information they provide because they lack a standardized format. As a result, descriptions of state activities funded by set-asides, as reported in IUPs and described in this document, should not be considered comprehensive accounts of all state activities.

Reports to the Governor provide additional qualitative information about state set-aside spending. However, there are a number of challenges in using these reports for this analysis.
Whereas DWNIMS and state IUPs provide specific information about funds from set-asides, the Reports to the Governor provide information about the state Capacity Development Program in general, often without specifying funding sources. Therefore, to complete Appendix A, it was necessary to assume that all capacity development activities were funded in part or entirely by set-asides unless the report explicitly stated that the activity was funded by some other source (e.g., fees). Because the specific set-aside used for each activity was not identified, best professional judgment was used to assign the most likely set-aside to each activity.

Report Structure

Section II of this report’s analysis of DWSRF set-asides provides an overview of state set-aside uses and a description of common activities that can be funded by multiple set-asides, including specific state projects funded with that set-aside. Section III provides general examples of set-aside usage by states. Section IV concludes with a summary of state trends and potential uses of prospective set-aside funds. The appendices provide matrices on each state’s set-aside-funded programs and a list of EPA Regional DWSRF contacts.

II. Common Activities that Can Be Funded through DWSRF Set-Asides

Overall State Set-Aside Use

According to 2008 DWNIMS annual data, all 50 states and Puerto Rico have taken the Administrative and Technical Assistance (4%) set-aside as well as the Local Assistance and State Programs (15%) set-aside. The 2008 DWNIMS annual data also show that the Small Systems Technical Assistance (2%) set-aside is nearing full participation, with 49 states and Puerto Rico taking these funds. Participation in the State Program Management (10%) set-aside, according to 2008 DWNIMS annual data, is lowest at 46 states and Puerto Rico. Several states in the past have indicated that they are unable to obtain the dollar-for-dollar matching funds that are required for this set-aside.

The cumulative amount set aside for all states within all four categories since the program’s inception in 1996 through 2009 is $1.6 billion. As of the end of FFY 2009, September 30, 2009, set-aside expenditures totaled slightly more than $1.25 billion, with an unspent balance of approximately $350 million. Set-asides can be reserved annually by the states but do not have to be expended by the end of the fiscal year in which they are taken.

Exhibit 3 presents cumulative set-aside award and utilization data for the four set-asides as of September 30, 2009. These data represent the use of set-aside funds by all participating states and Puerto Rico.
The Four Set-Asides

Several common set-aside-funded activities can be financed through multiple set-asides. The following sections describe cross-cutting activities in order to reduce redundancy in this report and provide a more accurate picture of how states can administer DWSRF set-aside funds. The level of variability in how states use funds from the individual set-asides is an indicator of the inherent flexibility in using set-aside funds.

Each set-aside is tailored to specific programmatic outcomes; however, the activities conducted using each set-aside often overlap:

**Small System Technical Assistance (2%)**

The Small Systems Technical Assistance set-aside allows states to use up to 2 percent of the federal capitalization grant to provide technical assistance to CWSs serving 10,000 or fewer persons. All states and Puerto Rico, except Illinois, have taken advantage of this set-aside at some point in the life of the DWSRF. Activities paid for with these funds include project planning, circuit riders, and special small system training. As noted previously, smaller drinking water systems typically face greater challenges than larger systems; states use set-aside funds to provide technical assistance and training to help small systems build the capacity they need to comply with current and future drinking water rules. According to DWNIMS most states do not take full advantage of the amount available. DWNIMS data indicate that in 2008, more than $11.6 million was awarded under the Small System Technical Assistance (2%) set-aside, providing essential funding to help small PWSs develop TMF capacity and maintain compliance.

**Administrative and Technical Assistance (4%)**

The Administrative and Technical Assistance set-aside allows states to use up to 4 percent of the capitalization grant for costs associated with administering state DWSRF programs and providing technical assistance to systems of all sizes. Every state has utilized some portion of its annual DWSRF allotment under the Administrative and Technical Assistance set-aside. Many states reserve this set-aside to cover a portion of the program administration costs; however, some utilize the flexibility of this set-aside to offer direct technical assistance to water systems in completing DWSRF loan applications, in various capacity development efforts, and in
developing outreach materials and reporting documentation. DWNIMS data indicate that approximately $23.7 million was awarded to states in 2008 under the Administrative and Technical Assistance (4%) set-aside.

**State Program Management (10%)**

The State Program Management set-aside allows states to use up to 10 percent of their annual allotment to develop and implement Capacity Development and Operator Certification Programs, administer Source Water Protection Programs (which may include technical assistance to prevent contamination of sources), or fund a portion of their PWSS program. The state must match this set-aside with a 1:1 dollar match, an “in-kind” match, or a combination of the two. In 2008, 46 states and Puerto Rico were awarded nearly $44.6 million under the State Program Management (10%) set-aside.

**Local Assistance and Other State Programs (15%)**

The Local Assistance and Other State Programs (15%) set-aside (also called 1452(k) Activities) allows states to use up to 15 percent of their annual allotments to assist in the development and implementation of local drinking water initiatives and other state programs. A maximum of 10 percent of funds set aside can be spent on any single effort, including, to provide loans to acquire land or conservation easements for protection of source waters; to provide loans for the implementation of voluntary, incentive-based source water quality protection measures; to provide PWSs direct technical or financial assistance as part of a Capacity Development Strategy; and to assist PWSs with wellhead protection. In 2008, states were awarded over $45 million under the Local Assistance and Other State Programs (15%) set-aside.

**Outreach and Training Fundable Under: 2%, 4%, 10%, and 15% Set-Asides**

Outreach and training at the state level are key tools for improving water system capacity. Additionally, these efforts raise public awareness and offer a degree of transparency and insight into system operation and management. In the best-case scenarios, outreach and training increase system performance and consumer confidence, assuring high-quality drinking water from well-maintained, well-regulated suppliers. To this end, a majority of states are using DWSRF set-aside funds to support outreach and training activities including those for sanitary surveys as well as for compliance and board member trainings. Because these activities may fall under the umbrella of a variety of state programs, from Operator Certification to Source Water Protection, applicable funds are drawn from across the Small Systems Technical Assistance (2%), Administrative and Technical Assistance (4%), State Program Management (10%), and Local Assistance and Other State Programs (15%) set-asides. Outreach and training is especially important for small systems and can be provided by state personnel, universities, or contracted technical assistance providers. Many states contract with third-party assistance providers to assist in conducting on-site visits and trainings. Hawaii has used these set-asides to fund public assistance and Virginia has conducted application workshops.
DWSRF set-asides support public education efforts in 35 states (Exhibit 4). These include newsletters, Consumer Confidence Reports (CCRs), and public-access Web sites with drinking water program and system information. A number of state-specific source water and wellhead protection programs also use set-aside funds to promote public awareness and program objectives, including teacher training and community outreach.

States also utilize set-aside funds to train PWS operators and managers on TMF capacity. Set-aside funds are used by 42 states and Puerto Rico to train system personnel and other stakeholders (Exhibit 5). Examples of such assistance include developing training modules about the regulatory requirements specific to certain water systems and providing Internet-based self-assessments for systems to identify ways to improve their operations and management. State trainings cover topics such as water loss prevention, compliance, public relations, financial management, and other topics relevant to maintaining effective system management.

States use a range of strategies to provide broad access to comprehensive Operator Certification and Training Programs, many of which incorporate contractual agreements for third-party trainers. Pennsylvania has used the Internet to create a platform for Web-based training sessions, and has also provided users access to lists of approved courses.

Exhibit 6 shows the number of states using DWSRF set-aside funds for drinking water outreach and training activities. Activities include those focused specifically on capacity development as well as general water system outreach and training.
Many small PWSs in Louisiana are experiencing bacteriological maximum contaminant level (MCL) violations under the Total Coliform Rule. Louisiana reports using the Small System Technical Assistance (2%) set-aside to address the prevention of bacteriological MCL violations in two ways: (1) holding quarterly Safe Drinking Water Compliance Training Schools and (2) conducting on-site visits with the owners/operators of systems experiencing compliance problems.

California reports using the State Program Management (10%) set-aside to fund third-party contractors who have personnel with specialized small water system expertise to assist small water systems in developing their TMF capacities. These third-party contractors present workshops throughout the state regarding TMF elements. In addition, the University of California-Davis plans to also provide a class directed toward small systems to help them overcome engineering challenges.

Connecticut reports using the State Program Management (10%) set-aside to educate systems on financial assessment tools and on how to obtain revenue sources; to track, analyze and prepare reports concerning the status of all 84 PWSs serving over 1,000 persons that are required to submit water supply plans; to assist in the coordination of regional water supply forums; and to review interim conservation and development changes for the Connecticut Office of Policy and Management.

Technical Assistance for Small Systems Fundable Under: 2%, 4%, 10%, and 15% Set-Asides

Technical assistance to PWSs is integral to capacity development and provides a critical service to systems that are out of compliance. Such assistance is especially relevant for small systems (those serving fewer than 10,000 persons), many of which lack the TMF capacity to successfully address the challenges they face. Similar to outreach and training-related activities, technical assistance is provided in a wide variety of contexts, and states can draw from across the Small Systems Technical Assistance (2%), Administrative and Technical Assistance (4%), State Program Management (10%), and Local Assistance and Other State Programs (15%) set-asides to fund technical assistance initiatives.
Exhibit 7 summarizes the number of states that used DWSRF set-aside funds in FFY 2008 for technical assistance activities. For the purposes of this analysis, technical assistance consists of the following efforts.

<table>
<thead>
<tr>
<th>Form of Technical Assistance</th>
<th>Number of States</th>
</tr>
</thead>
<tbody>
<tr>
<td>Source Water/Wellhead Protection</td>
<td>42</td>
</tr>
<tr>
<td>Security</td>
<td>24</td>
</tr>
<tr>
<td>Leak Detection/Water Efficiency/Energy Efficiency</td>
<td>15</td>
</tr>
<tr>
<td>Area-Wide Optimization Programs</td>
<td>16</td>
</tr>
<tr>
<td>Pilot Studies</td>
<td>4</td>
</tr>
<tr>
<td>Rate Studies</td>
<td>17</td>
</tr>
<tr>
<td>Site Visits</td>
<td>39</td>
</tr>
</tbody>
</table>

- **42 states report using set-aside funds for source water/wellhead protection initiatives.**

  IUP data show most states are pursuing source water/wellhead protection programs. The success of these initiatives depends on participation by PWSs statewide, many of which require technical assistance. Set-aside funds make it possible for states to assist smaller PWSs with source water and wellhead protection. Minnesota, for example, provides direct technical support to PWS owners to develop and implement surface water intake and wellhead protection plans. New Hampshire reports planning to provide 17 grants totaling $191,044 for source water protection projects in 2008.

- **24 states report using set-aside funds for security-related efforts.**

  Technical assistance to enhance security includes coordinating emergency planning and response activities and assistance in preparing Vulnerability Assessments (VAs) and Emergency Response Plans (ERPs). Nebraska reports planning to use $345,000 from its Local Assistance and State Programs (15%) set-aside to provide funds to PWSs serving a population of 10,000 or less to improve the security of public water supplies. Funds can be used to install entry intrusion systems, hardened locks, fencing, and lighting.
• **15 states report using set-aside funds for leak detection/efficiency programs.**

Assisting PWSs with leak detection and water efficiency programs conserves water resources and can increase suppliers’ fiscal health by reducing operating costs, avoiding water purchases, and postponing some capital improvement projects. A number of states are using set-aside funds to support leak detection and water efficiency programs. Examples include Massachusetts and New Hampshire, which offer local assistance grants for leak detection, and Virginia, which funds grants for leak detection programs that allow systems to upgrade waterlines.

• **16 states report using set-aside funds for Area-Wide Optimization Program (AWOP) activities.**

AWOP activities can help states target PWSs for assistance by identifying treatment processes, pumping systems, or other operations that are not efficient. By developing prioritization criteria and evaluating system performance, states can focus investment and capacity development efforts on the most critical at-risk systems, often generating substantial increases in public health protection at a lower cost. New Mexico reports using the State Program Management (10%) set-aside to fund a variety of activities associated with the state’s AWOP implementation program such as planning development, data management, staff training, turbidity sample collection, and system ranking.

• **4 states report using set-aside funds for pilot studies.**

Pilot studies are useful in exploring options for improving PWS operation. For example, Delaware reports developing a new pilot project that provides scholarships to operators. The state plans to provide funding for five applicants to attend baseline instruction, two endorsement courses, and 10 one-day seminars.

• **17 states report using set-aside funds to conduct rate studies.**

Rate studies allow PWSs to determine if their rates are sufficient to cover costs of current and projected demands associated with collecting, storing, treating, and distributing a safe drinking water supply while also funding long-term capital improvements, level of service goals, debt obligations, and encouraging future efforts to address water conservation and establish a reserves account. Rate studies are particularly valuable in the context of managerial and financial capacity by identifying revenues to manage and maintain utility assets. Rate studies can also be used to compare water rates across user categories such as residences and commercial entities to determine appropriate rate structures.

• **39 states report using set-aside funds to support site visits, many through circuit riders.**

Site visits by qualified water system technical assistance providers form the mainstay of technical assistance in many states, particularly for small, rural PWS operators who do not have the experience, equipment, training, or personnel to manage large or persistent problems. Site visits provide an opportunity for a hands-on, face-to-face exchange between operators and experts. They can help remedy technical difficulties or address non-compliance
problems, and many states structure site visits to provide managerial and financial guidance as part of their capacity development strategies.

Circuit riders offer states a cost-effective means of meeting demand for on-site technical and managerial assistance and training to water systems for water treatment issues, sampling and testing, equipment repair, valve exercising, hydrant flushing, and flow testing. Other assistance includes leak detection, rate reviews, loan and grant applications, and other managerial activities. Many states contract with national and state affiliates of the Rural Water Association (RWA), Rural Community Assistance Partnership (RCAP), and similar groups to ensure adequate circuit rider coverage.

How States are using Set-Asides for Technical Assistance for Capacity Development

- Maine reports using the Small System Technical Assistance (2%) set-aside to pay for two Water Quality Specialist circuit riders through the Maine RWA. Maine RWA submits an annual summary report reviewing the assistance activities that were performed.

- South Dakota reports using the Small System Technical Assistance (2%) set-aside to provide grants for systems implementing a rate analysis using Rate Maker software. This set-aside also provided funding for the South Dakota RWA to provide on-site assistance, including rate analyses, to assist small systems in evaluating their TMF capacities.

- Massachusetts reports using the Administrative and Technical Assistance (4%) set-aside to administer Leak Detection and Water Conservation Capacity grants that were funded with the Local Assistance and Other State Programs (15%) set-aside, and to coordinate with the Massachusetts Water Pollution Abatement Trust.

- New York reports using the State Program Management (10%) set-aside to perform security inspections at drinking water systems.

- Texas reports using the Administrative and Technical Assistance (4%) set-aside to fund technical assistance, including assistance regarding water conservation and ground water quality data. The state provided public service announcements, published printed reports, and released electronic data.

- Arizona reports using $650,000 of the Local Assistance and Other State Programs (15%) set-aside for technical assistance to small systems ($500,000) and operational technical assistance ($150,000). Funding is used to organize meetings of the Rural Water Infrastructure Committee (RWIC) in rural areas of Arizona to allow small systems access to expertise on a wide range of subjects. The RWIC Web site is maintained to allow small systems to submit a summary of their needs and the RWIC committee members respond to the system if they have a program that will address their need.

- Nebraska reports using the Local Assistance and Other State Programs (15%) set-aside to fund preliminary engineering reports for systems serving 10,000 or fewer customers. These planning grants are used by systems that intend to have a future water improvement project financed with federal or state funds. The planning grant can fund up to 90 percent of the cost of the preliminary engineering report.
Nevada reports using funds from the Local Assistance and Other State Programs (15%) set-aside to provide technical assistance to enhance TMF capacity by providing financial management training to operators and other stakeholders, and assisting water systems with evaluating and implementing asset management. Nevada’s efforts also include a quarterly publication (“Water Lines”), which provides a variety of TMF information for operators and owners of PWSs.

Ohio reports using the Small System Technical Assistance (2%) monies to fund a distinct technical assistance program called the Small System Technical Assistance Program.

Vermont reports planning to spend approximately $50,000 from the Local Assistance and Other State Programs (15%) set-aside to finance a multi-year water conservation pilot project for an existing mobile home park. Installation of a new source meter to determine baseline water usage is planned and plumbing fixtures within the mobile homes will be replaced with WaterSense approved fixtures so that water use can be monitored. The goal of the project is to confirm that up to 20 percent reduction in water use is achievable without sacrificing fixture performance.

How States are using Set-Asides for Source Water and Wellhead Protection

Georgia reports using the State Program Management (10%) set-aside to perform multimedia education and technical assistance to PWS operators and local government officials about the importance of implementing protection of source water. Georgia is also developing a series of GIS maps of drinking water intake locations for use in notifying downstream water systems of major spills.

Colorado reports using $724,850 of the Local Assistance and Other State Programs (15%) set-aside to support their Wellhead Program. These funds support implementation of the following activities:

- Completion of revised ground water susceptibility assessments.
- Completion of new ground water/source water delineations.
- Development and implementation of ground water protection plans.
- PWS data improvement.
- PWS community information and education.
- Compilation and reporting of the national source water protection measures to EPA.

New Mexico reports using a portion of the Local Assistance and Other State Programs (15%) set-aside to fund the preparation of five source water protection plans for water systems that did not previously have plans as well as to evaluate ground water sources that are suspected of being under the influence of surface water to determine if there is potential for contamination.
North Carolina reports using the Local Assistance and Other State Programs (15%) set-aside to provide $1,483,270 in loans for land acquisition and conservation through the Local Assistance and Other State Programs (15%) set-aside. The City of Creedmoor received a loan to acquire a 236-acre tract with more than two miles of forested and riparian buffers along high-quality streams as a conservation easement.

**Technical Assistance for Disadvantaged Communities Under: 2%, 4%, 10%, and 15% Set-Asides**

While disadvantaged PWSs are not always small, they are similarly at-risk in terms of maintaining compliance and ensuring the continued delivery of high-quality drinking water. As additional regulations take effect and the number of requirements systems must meet increases, it is important that states provide these systems with targeted assistance. Disadvantaged communities benefit from concerted state support and are able to receive longer loan terms, lower interest rates, and/or principal forgiveness under the DWSRF if their state has an established Disadvantaged Communities Program. Disadvantaged Communities are designated by SDWA as PWS service areas that meet affordability criteria established by their state (section 1452(d)(3)). Many states use consumer data, such as median household income, to define a system as disadvantaged.

Nine states and Puerto Rico are using set-aside funding for targeted technical assistance to disadvantaged systems (Exhibit 8). Much of the assistance provided to these systems is delivered as part of a capacity development strategy or in the context of broader technical assistance activities. Technical assistance for disadvantaged PWSs can occur in many forms, and site visits are particularly important for those systems that might not have the ability to travel to training sessions.

In some cases, set-asides are used for upfront planning prior to the system’s receipt of a loan. For instance, Michigan used set-aside monies to help disadvantaged systems with project planning costs. In addition to receiving targeted assistance through the DWSRF set-asides, the infrastructure needs of disadvantaged systems are often prioritized through the loan application review and project ranking processes.

**How States are using Set-Asides for Disadvantaged Communities**

- California reports using the State Program Management (10%) set-aside for inspections and surveys of water systems to evaluate treatment and infrastructure improvement needs with
particular emphasis on disadvantaged and small CWSs. This set-aside is used to fund specialized contractors with small water system expertise to assist small systems in developing TMF capacity. The contractors host workshops throughout the state, conduct household income surveys, and provide technical assistance to small systems that have been prioritized by state staff. These contractors provide individualized on-site consultation as requested.

**Restructuring Fundable Under: 2%, 4%, 10%, and 15% Set-Asides**

In some cases, the long-term sustainability of a PWS will depend on a restructuring effort such as a partnership or consolidation. Partnerships can include informal cooperation, contractual assistance, a Joint Powers Agency, or an ownership transfer. These measures are intended to help systems achieve and maintain TMF capacity. These efforts also reflect a trend towards regionalization. Regionalization—the integration of otherwise disparate PWSs across a larger geographic area—is predicated on the economies of scale enjoyed by larger systems. These systems typically possess superior TMF resources, making them better equipped to maintain compliance and sustain long-term public health protection.

In general, 17 states report using set-aside funds to encourage restructuring, to provide small systems guidance on the benefits of partnering or consolidating with another system, provide training or peer review forums targeted to operators and board members to encourage networking, or provide assistance in preparing studies to see if connecting to or partnering with another system is feasible (Exhibit 9). Different aspects of restructuring can be financed through different DWSRF set-asides.

**How States Are Using Set-Asides for Restructuring**

- New York’s Department of Health reports using the Small System Technical Assistance (2%) to fund a technical assistance program for small water systems. One aspect of the program encourages water systems to consider collaborative or regional approaches to water supply services such as consolidating, forming partnerships, and initiating contract operation and maintenance agreements.

- Connecticut reports using the State Program Management (10%) set-aside to identify systems that would benefit from restructuring and help these systems make organizational changes that increase TMF capacity.

- Louisiana reports using the State Program Management (10%) set-aside to fund staff and third-party contractors who provide tools and financial assistance to support TMF capacity,
including financial assistance and encouragement for consolidation, collaboration, or regionalization, where appropriate.

- North Carolina reports using the State Program Management (10%) set-aside to begin implementing a Disadvantaged Communities Program to focus on consolidating or eliminating systems lacking capacity.

**State Drinking Water Program Administration Fundable Under: 4% and 10% Set-Asides**

Support of state capacity development programs is a critical use of set-asides. Capacity development underlies each state’s effort to ensure an adequate, long-term supply of safe drinking water. By investing in the TMF capabilities of a state’s drinking water program, set-aside funds can be used to improve system performance, safety, and reliability. In total, 47 states and Puerto Rico report using set-aside funds to directly implement or manage the administration of their Capacity Development Program (Exhibit 10).

States use DWSRF set-asides to fund a number of specific efforts tied to capacity development, including inspections, enforcement, sanitary surveys, and data management. According to state IUPs and Reports to the Governor, most states are using the Administrative and Technical Assistance (4%) and the State Program Management (10%) set-asides to fund these tasks.

In addition to Capacity Development program administration, many states are using the set-asides to supplement funding towards the management of their primacy agencies, including DWSRF administration. For example, states are able to apply funds from the State Program Management (10%) set-aside to hire staff. Based on their IUPs and Reports to the Governor, 27 states are drawing from the State Program Management (10%) set-aside to support program or technical staff for management purposes (Exhibit 11).
Additional details on the uses of set-aside funds are provided below:

- **28 states report using set-aside funds to support drinking water-related inspections.**
  
  These include annual PWS inspections, construction inspections, complaint and water quality alert investigations, small system inspections, capacity development reviews, and compliance inspections.

- **26 states report using set-aside funds to support enforcement efforts.**
  
  These include general PWSS enforcement and enforcement of operator certification requirements.

- **41 states report using set-aside funds to support sanitary survey processes.**
  
  These include training for survey completion and use of surveys as an opening for capacity development initiatives, and small system assistance programs.

- **40 states report using set-aside funds to support data management activities.**
  
  These include maintaining and updating SDWIS/State and program-specific (e.g., wellhead protection) databases, migration to electronic recordkeeping, integration of personal digital assistant (PDA)/handheld technologies, implementing Web-based access, expansion of geographic information system (GIS) capabilities, and software and hardware upgrades.

Exhibit 12 illustrates the number of states using DWSRF set-aside funds to support the program administration tasks presented above.
How States Are Using Set-Asides for DWSRF State Program Administration

- Many states like Virginia and Vermont report using the Administrative and Technical Assistance (4%) set-aside to fund staff positions critical to the administration of the program. These staff members review applications, provide application workshops, perform environmental reviews, and ensure that state and federal guidelines are followed.

- California reports using the Administrative and Technical Assistance (4%) set-aside to fund a financial support team. The senior accounting officer and the accounting technician process loan claims payments, track set-aside accounts, and manage the billing of interest and principal to assistance recipients.

- Hawaii reports using the Administrative and Technical Assistance (4%) set-aside for many tasks, including DWSRF program review, financial, managerial, and legal consultation, public assistance, data management, environmental review, review of plans and specifications, project inspections, and staff training.

- North Carolina reports using the Administrative and Technical Assistance (4%) set-aside to provide technical assistance to small water systems completing DWSRF applications and meeting other drinking water program priorities, including capacity development implementation, legislation and rule-making, and the Drinking Water Infrastructure Needs Survey and Assessment (DWINSA).

How States Are Using Set-Asides for Capacity Development Program Administration

- Alaska reports using the Administrative and Technical Assistance (4%) set-aside to assist systems in capacity reviews and performing project audits.

- Texas reports using the Administrative and Technical Assistance (4%) set-aside for approval of engineering plans and contract documents, review of bid documents and federal cross-cutters, monitoring of construction progress, and drafting engineering-related project close-out documents. Texas reports using the State Program Management (10%) set-aside to fund contractors that conduct capacity assessments and provide capacity assistance to water systems, including prioritized PWSs, applicants for DWSRF funding, candidates for consolidation, and other systems as directed by the Texas Commission on Environmental Quality.

- Florida reports using the State Program Management (10%) set-aside to train inspectors to conduct sanitary surveys. Also, an Oracle database is maintained and modified to track significant deficiency compliance and technical assistance referrals.

- Georgia reports using the State Program Management (10%) set-aside to implement the Georgia Comprehensive Statewide Water Management Plan, which helps the state manage its water supply. Georgia estimated the capacity of its water supply and incorporated the data into regional Water Development and Conservation Plans, which will be used to guide state grants and DWSRF loans. The Georgia Environmental Protection Division plans to develop best management practices for demand management and water return and supply practices.

- Michigan reports using the State Program Management (10%) set-aside to fund local health districts to conduct capacity assessments for 32 water systems. Michigan cosponsors a
newsletter that promotes better operation and maintenance and provides regulatory guidance, delivered to all PWSs quarterly.

- Wisconsin reports using the State Program Management (10%) set-aside to fund a Capacity Development Water Supply Specialist position, responsible for directing the state’s capacity development program. The specialist’s duties include developing capacity development objectives, preparing progress reports, interpreting regulations, reviewing water system capacity evaluations, and coordinating capacity development activities statewide.

**Operator Certification Under: 2%, 10%, and 15% Set-Asides**

Operator certification is one specific area where states can have a significant impact on the capacity of PWSs. Many states use DWSRF funds to organize workshops, seminars, and other training events that provide operators with ongoing educational opportunities. This “continuing education” is a prerequisite for maintaining or renewing operator certification.

Several states’ data management activities are linked to operator certification/licensing; these states are working to integrate databases that will enable more functional operator tracking and monitoring.

Overall, 44 states and Puerto Rico use DWSRF set-aside funds to manage Operator Certification Programs. DWNIMS data show that participating states were awarded a total of $1.8 million in 2008 from the State Program Management (10%) set-aside to fund Operator Certification Programs.

**How States Are Using Set-Asides for Operator Certification**

- Delaware reports using the Small System Technical Assistance (2%) set-aside to fund operator training. The Delaware Technical and Community College was targeted to receive a portion of this set-aside to serve as the state’s sole provider of operator certification training. The college intends to revise its tests and courses to include hands-on training. If a very small system (e.g., mobile home community) owner can demonstrate that they have completed the Management Certificate coursework through Delaware Technical and Community College, then any person employed by that owner can get free training from the college for one year.

- California reports using the State Program Management (10%) set-aside to complete the production of the “Water Systems Operation and Maintenance Training Series” video and DVD series, whose titles include *Wellhead Protection, Hypochlorination, Water Storage Tanks, Sampling and Testing, Inspecting a Pump Station, Distribution Systems*, and *Approaches to Compliance with Standards*.

- Hawaii reports using the State Program Management (10%) set-aside to provide free training to operators, resulting in a 75 percent passing rate on certification examinations.

- Maine reports using the State Program Management (10%) set-aside to fund a 0.5 full-time equivalent (FTE) to coordinate operator training and certification. The 0.5 FTE is a contract position through the New England Interstate Water Pollution Control Commission. The rules include a requirement to complete annual Training Contact Hours (TCH) in order to maintain a water operator license in Maine. Staff support is used to evaluate training, assign TCH
credits, track TCH credits, renew licenses, give examinations, and evaluate operator applicant credentials.

III. General State Usage of Set-Asides to Build TMF Capacity

Colorado

Colorado uses set-asides to help finance a variety of technical assistance initiatives including the Colorado Radionuclides Abatement and Disposal Strategy (or “CO-RADS”), which provides targeted assistance to the roughly 40 drinking water systems in the state with high levels of naturally occurring radionuclides. Other efforts include tailored technical assistance based on a system’s capacity assessment, Web-based resources and a self-assessment program, and comprehensive performance evaluations to help surface water systems identify the cause of performance-limiting factors at treatment facilities. Another initiative is the Drinking Water Coaching Program, through which TMF “coaches” provide direct assistance to the Colorado drinking water systems most in need. The coaches provide on-site, hands-on training, operational and management improvement tools, and consultation on alternative approaches systems can use to build capacity.

DWSRF set-asides also fund comprehensive training programs that augment Colorado’s technical assistance efforts. Training initiatives include 4-5 day “schools” hosted by partner organizations that cover basic or advanced topics in drinking water treatment or distribution system management, monthly training classes held by the Rocky Mountain Section of the American Water Works Association (AWWA) and the Colorado RWA, and specialized training on new regulations. Colorado also established an Excellence in Drinking Water Program to provide advanced training and leadership programs to help some of Colorado’s best operated and managed systems take their performance to a higher level. In addition, Colorado developed a training course for water system boards and councils, which has been delivered in five training sessions to approximately 100 water system managers and board/council members. A self-paced version of the course is available on digital video disc (DVD).

Connecticut

Connecticut’s Capacity Development Program relies on DWSRF set-asides to help water systems of all sizes develop and maintain sustainable operations. One state initiative aims to improve the capacity of public schools with their own water systems. This initiative has helped over 100 schools make major improvements or consolidate with other water systems, tremendously improving the drinking water in Connecticut public schools.

Another successful capacity building effort has helped formalize and coordinate regional water resource planning activities. The state provides a forum for water utility representatives, local officials, and other stakeholders to come together to discuss long-range water supply planning issues, establish exclusive service areas, and produce a water supply plan for their region. The planning process encourages involved water systems to develop the appropriate capacity so they can execute their regional drinking water service responsibilities.
**Indiana**

DWSRF set-asides and fees are important funding sources for the Indiana Department of Environmental Management’s (IDEM) Capacity Development Program. Indiana offers a wide range of both traditional and innovative approaches to help systems. Some examples include a “job bank” for operators and systems in need of an operator, a water system mentoring program, town manager and utility board manager training, and in-house planning and engineering assistance for small systems.

To help systems build financial capacity, Indiana performs a rate, water use, and customer analysis for water systems. The analysis, which has been conducted for over 300 utilities, includes a comprehensive review of the water system’s current and projected finances and evaluates the effects of fixed and variable expenses on rates. The analysis has helped hundreds of water systems establish appropriate water rates.

IDEM also developed a self-assessment manual to help water systems determine their TMF deficiencies. The manual has been a success among operators and IDEM staff, who use the self-assessment results to tailor new tools to the most pressing needs of the state’s water systems.

**Maine**

Maine uses set-asides to encourage consolidation. The state reports using the Local Assistance and Other State Programs (15%) set-aside to fund Water System Consolidation Grants in order to provide partial funding to water systems for the purpose of consolidating with another water system. The PWS applying for consolidation must have a TMF capacity issue that will be addressed by the consolidation with the more viable PWS. The receiving PWS must not exhibit TMF capacity deficiencies. The applying PWS must report a median household income of less than $35,178, and the project must complete the environmental review process that is currently part of the DWSRF construction loan program. Grant awards cannot exceed $100,000 and can fund no more than 50 percent of the cost of the water system consolidation for for-profit facilities and no more than 75 percent of the cost of consolidation for not-for-profit facilities. Qualifying costs include, but are not limited to, the following activities: planning and design, environmental review, income survey, and construction and abandonment of sources. The balance of the cost of system consolidation may be generated from any other source, including grants, loans or capital reserves. One possible funding source is the DWSRF loan program; however, the consolidating water systems must meet the appropriate application deadlines for the DWSRF loan process.

**Missouri**

Missouri uses DWSRF set-asides for a variety of efforts to build TMF capacity in water systems. Several capacity development initiatives are targeted at helping small systems. For example, the state provides engineering contract services to very small systems, enabling system-wide evaluations and helping systems obtain funding for project development. Missouri also helps water systems of all sizes plan for droughts by conducting surface water supply studies. These studies determine the “firm yield” (i.e., maximum sustainable yield) of water sources in a multiple-year drought and have helped the state identify and assist water systems with inadequate storage or flow.
Missouri’s Public Drinking Water Branch has also developed an electronic sanitary survey, which helps the state maintain up-to-date data by eliminating time-consuming paperwork. The electronic sanitary survey system creates a searchable database that helps the state evaluate TMF capacity and that can be integrated with GIS data.

**New Mexico**

The New Mexico Drinking Water Bureau uses DWSRF set-asides to help fund its Capacity Development Program. New Mexico’s program has made significant progress in recent years, resulting in direct improvements in TMF capacity for the state’s most at-risk PWSs. This progress can be attributed in part to New Mexico’s assumption of responsibility for formal enforcement, which has allowed for increased coordination between enforcement and capacity activities. The state’s coordinated approach is facilitated through bi-monthly conference calls. New Mexico has learned that linking enforcement actions with an offer of capacity assistance resources is an effective way to convince water systems to make necessary changes. Other changes in New Mexico’s Capacity Development Program are the result of a 2007 Executive Order, which required systems seeking funding for infrastructure projects to be assessed for capacity and to correct deficiencies before receiving funding. The Order also required the development of a Uniform Funding Application, which will create a central portal for applications for infrastructure funding, and a process to ensure that projects are fully funded. Other notable aspects of New Mexico’s Capacity Development Program include a multi-agency effort to support appropriate regionalization and a tiered system of capacity assessments, which saves resources by focusing time and energy on PWSs with significant problems or those applying for DWSRF assistance.

**South Carolina**

South Carolina emphasizes capacity requirements for new systems. Since July 1, 1997, capacity reviews of new system applications in the state prevented approximately half of proposed water systems from being constructed because it was either more feasible to connect to an existing system or the applicant could not demonstrate necessary capacity for the project. According to the 2008 Report to the Governor, all new water systems permitted since 1997 in South Carolina are in compliance with the SDWA requirements.

**Texas**

The Texas Commission on Environmental Quality (TCEQ) funds its Capacity Development Program with a portion of the available DWSRF set-asides. One of Texas’ innovative efforts is a “chat room” at the annual Water Supply Division’s Public Drinking Water conferences, which helps facilitate communication, partnerships, and understanding between water systems and state staff. The chat room is a conference highlight, offering an informal setting for TCEQ staff to answer specific questions from water system personnel.

Consolidation is another focus of Texas’s Capacity Development Program. TCEQ offers a voluntary consolidation assessment and assistance program for interested entities. TCEQ staff
work with the systems to examine regionalization or restructuring options, facilitate community meetings, and assist systems with any necessary permits or approvals.

Texas has many capacity development initiatives centered on emergency response and disaster planning. The aftermath of Hurricane Rita in 2005 highlighted the lack of emergency preparedness by some water systems, which led TCEQ to require Vulnerability Assessments (VAs) and Emergency Response Plans (ERPs) for systems serving over 3,300 people. TCEQ remains committed to emergency preparedness, providing on-site assistance to develop VAs and drought contingency plans, model plans, security and emergency response checklists, and training focused on emergency response. TCEQ is also facilitating the Critical Facilities Infrastructure Mapping (CFIM) Project, which determines accurate locations of any critical infrastructure component that could be swept away or buried beneath debris in an emergency event.

IV. Conclusion

Set-Aside Trends

State reporting of set-aside-funded activities shows that funds are being used as they were originally intended – for activities to strengthen water system management practices in an effort to address current system challenges and increase long-term capacity of systems nationwide. Much of the set-aside funds used by the states is geared towards implementing state capacity development strategies. Investing in state capacity development priorities can help PWSs achieve and maintain short- and long-term TMF capacity; the value of these efforts plays an integral role in public health protection.

Efforts to assist small and disadvantaged PWSs through the use of set-asides are widely noted throughout state reports. The sheer number of small drinking water systems and the challenges many face are acknowledged through the vast technical assistance and outreach efforts that the states fund. Maintaining a direct relationship with PWSs statewide, whether through technical assistance, operator certification, training or other regulatory activities, is critical to most states’ efforts to increase compliance and capacity. These efforts, enabled through the set-asides, also support smaller or disadvantaged systems to technically, managerially, and financially position themselves for the opportunity to apply for a loan from the DWSRF at a future date.

State investments in information technology and data management have shown to be an effective management and outreach tool in promoting capacity development. Maintaining or upgrading SDWIS/State data systems, integrating handheld/PDA technology into state networks, tracking operator certification, developing GIS and hydrologic/geologic data systems, and maintaining inventories of potential contaminants and source water assessments all contribute to expanded institutional capabilities, outreach, and overall PWS assistance. In addition, the Internet has been used as an effective communication tool for regulators, operators, and water system owners. These investments span the variety of state activities, contributing to capacity development at multiple levels.

As can be seen throughout this document, states use set-asides to fund many types of activities. With such diversity, it is important to understand the differences in state program organization
and priorities in order to identify the activities and funding mechanisms that are most appropriate for each state. Identifying what “works” is crucial to managing a successful drinking water program. States should continue to review their capacity development programs and PWSS program priorities to determine the overall effectiveness of their set-aside usage.

**Steps to Assist Small Systems and Further System Sustainability through Use of DWSRF Set-Asides**

Set-asides are used to further state capacity development programs, operator certification programs, and source water protection efforts through activities that focus on achieving a long-term, reliable supply of safe drinking water for the American public. As the nation looks to new challenges with water and energy availability, aging infrastructure, and population growth, future use of set-aside funds needs to support capacity development as a means toward achieving long-term sustainability. Shifting from reactionary management strategies to proactive, community-focused planning efforts will be integral to addressing the public health goals of SDWA and to sustaining the economic and social strength of communities.

Educating local decision makers and customers on the value of water treatment and delivery continues to be critical in planning for current and future efforts in maintaining the health of water systems. Set-asides should be used to support innovative system-wide and regional planning activities before infrastructure projects are finalized, as well as to support activities that increase managerial and financial capacity. In particular, asset management is an important tool for systems to use as they consider their needs and ability to provide services at an affordable rate to their communities. Where appropriate, set-asides should also be utilized to build collaborative partnerships among systems to address capacity challenges, including compliance with new regulations, operator support, and water availability.

States have the primary responsibility to implement their DWSRF programs and should retain this role to ensure the flexibility to manage their funds is consistent with local conditions and challenges. EPA intends to continue working closely with our state co-regulators to identify innovative uses of set-asides to assist systems with compliance needs and long-term sustainability.
Appendix A

Summary Matrices of State Intended Use Plans (IUPs), Reports to the Governor, and Financial Data from the DWSRF National Information Management System (DWNIMS)
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

<table>
<thead>
<tr>
<th>DWSRF Set-Aside Spending</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
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October 2010
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<td>Perform project audits, capacity reviews</td>
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<td><strong>Other:</strong></td>
<td>Implement statewide program; assist systems with</td>
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<td></td>
<td>developing plans</td>
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October 2010
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### State: Arizona

<table>
<thead>
<tr>
<th>Set-Aside Spending</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
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<tbody>
<tr>
<td>IUP: 2008</td>
<td>Financial Information: Set-aside: $6.16 m (4.0%)</td>
<td>Financial Information: Set-aside: $1.15 m (0.7%)</td>
<td>Financial Information: Set-aside: $4.07 m (2.6%)</td>
<td>Financial Information: Set-aside: $11.31 m (7.3%)</td>
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<tr>
<td>Governor’s Report: N/A</td>
<td>Expended: $5.32 m (86.4%) Remaining: $0.84 m (13.6%)</td>
<td>Expended: $0.83 m (72.2%) Remaining: $0.14 m (12.2%)</td>
<td>Expended: $1.87 m (45.9%) Remaining: $2.20 m (54.1%)</td>
<td>Expended: $4.64 m (41.1%) Remaining: $6.66 m (58.9%)</td>
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### State Program

<table>
<thead>
<tr>
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<th>No set-aside-specific information included in state report</th>
<th>General</th>
<th>Effort: Project Technical Assistance</th>
<th>Effort: Operational Technical Assistance</th>
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<tr>
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<tr>
<td>Sanitary Surveys</td>
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<tr>
<td>Compliance Activities</td>
<td>X</td>
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### Capacity Development Program

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<td>Managerial</td>
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<td>Financial</td>
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### General Activities

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</thead>
<tbody>
<tr>
<td>Public Education/Outreach</td>
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<tr>
<td>Operator Certification</td>
<td>X</td>
</tr>
<tr>
<td>Other System Training</td>
<td>X</td>
</tr>
<tr>
<td>Circuit Riding/ Site Visits</td>
<td></td>
</tr>
<tr>
<td>Rate Studies</td>
<td></td>
</tr>
<tr>
<td>Pilot Studies</td>
<td></td>
</tr>
<tr>
<td>Plant Optimization (AWOP)</td>
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<tr>
<td>Leak Detection/Water Efficiency/Energy Efficiency</td>
<td></td>
</tr>
<tr>
<td>System Partnerships</td>
<td></td>
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<tr>
<td>Restructuring/Consolidation</td>
<td></td>
</tr>
<tr>
<td>Small System Assistance</td>
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</tr>
<tr>
<td>Disadvantaged System Assistance</td>
<td></td>
</tr>
<tr>
<td>Other Technical Assistance</td>
<td>Technical consultations on system design</td>
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### DWSRF Help

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Loan Application Assistance</td>
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</tr>
<tr>
<td>Planning/Design/Engineering Services</td>
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<tr>
<td>ERP Assistance</td>
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</tr>
<tr>
<td>VA Assistance</td>
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<tr>
<td>Source Water Protection &amp; Mgmt</td>
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<tr>
<td>Wellhead Protection &amp; Mgmt</td>
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<tr>
<td>Land Acquisition</td>
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### Security Issues

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### October 2010

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## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### DWSRF Set-Aside Spending

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<td>IUP: 2008</td>
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<tr>
<td>Governor’s Report: 2008</td>
<td></td>
</tr>
<tr>
<td>Financial Information:</td>
<td>Financial Information:</td>
</tr>
<tr>
<td>Set-aside: $4.40 m (4.4%)</td>
<td>Set-aside: $2.20 m (2.2%)</td>
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<tr>
<td>Expended: $4.40 m (99.8%)</td>
<td>Expended: $1.25 m (57.1%)</td>
</tr>
<tr>
<td>Remaining: $0.01 m (0.2%)</td>
<td>Remaining: $0.94 m (43.7%)</td>
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### State Program Activities

<table>
<thead>
<tr>
<th>General</th>
<th>General</th>
<th>General</th>
<th>Effort: Wellhead Protection</th>
<th>Effort: Capacity Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff</td>
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<td></td>
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<tr>
<td>General Drinking Water Admin.</td>
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<tr>
<td>DWSRF Administration</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Data Management</td>
<td></td>
<td></td>
<td>Map underground infrastructure</td>
<td></td>
</tr>
<tr>
<td>Inspections</td>
<td></td>
<td></td>
<td>Complain investigations</td>
<td></td>
</tr>
<tr>
<td>Sanitary Surveys</td>
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<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Compliance Activities</td>
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<td>Engineering section will ensure compliance with SDWA requirements</td>
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<td>Enforcement</td>
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### Capacity Development Program

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<tr>
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### General Activities

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<tbody>
<tr>
<td>Public Education/Outreach</td>
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<td>General outreach on the importance of WHPP and GWP</td>
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<tr>
<td>Operator Certification</td>
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<tr>
<td>Other System Training</td>
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<td>Circuit Riding/Site Visits</td>
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<td>Hydrologic sensitivity assessments</td>
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<td>Pilot Studies</td>
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<tr>
<td>Plant Optimization (AWOP)</td>
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<tr>
<td>Leak Detection/Water Efficiency/ Energy Efficiency</td>
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<td>System Partnerships</td>
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<tr>
<td>Restructuring/Consolidation</td>
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<td>Small System Assistance</td>
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<tr>
<td>Disadvantaged System Assistance</td>
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<td></td>
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<tr>
<td>Other Technical Assistance</td>
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### DWSRF Help

<table>
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<th>Security Issues</th>
<th>ERP Assistance</th>
<th>VA Assistance</th>
<th>SWP Efforts</th>
<th>SWP Efforts</th>
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<tbody>
<tr>
<td>Loan Application Assistance</td>
<td>Planning/Design/Engineering Services</td>
<td>Engineering plan reviews</td>
<td>Source Water Protection &amp; Mgmt</td>
<td>Source Water Protection &amp; Mgmt</td>
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<td>VA Assistance</td>
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<td>SWP Efforts</td>
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<td>SWP Efforts</td>
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### Other

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<td>Update IT equipment as needed</td>
<td>Comprehensive performance evaluations</td>
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October 2010

A-5
## DWSRF Set-Aside Spending

### Arkansas

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<tr>
<td>1. Assess water system needs; provide corrective action plans addressing identified deficiencies.</td>
</tr>
<tr>
<td>2. Assistance in well siting, aquifer identification, construction, source inventories, hydrologic assessments.</td>
</tr>
<tr>
<td>3. Training and technical assistance in drafting consumer confidence reports and source water protection plans.</td>
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</table>
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

**State:** California

### Financial Information:

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<th>Percentage</th>
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<tr>
<td>IUP: 2008</td>
<td>Set-aside</td>
<td>$33.96 m (4.2%)</td>
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<tr>
<td>Governor's Report: 2008</td>
<td>Set-aside</td>
<td>$15.62 m (1.9%)</td>
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<tr>
<td></td>
<td>Expended</td>
<td>$13.84 m (1.7%)</td>
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<td>Remaining</td>
<td>$4.47 m (28.6%)</td>
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### General Activities:

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<th>Category</th>
<th>Activities</th>
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<td>DWSRF Set-Aside Spending</td>
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<tr>
<td>Administrative &amp; Technical Assistance</td>
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<tr>
<td>Small System Technical Assistance</td>
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<tr>
<td>State Program Management</td>
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<tr>
<td>Local Assistance &amp; other State Programs</td>
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### State Program:

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<td>Data Management</td>
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<td>Inspections</td>
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<td>Sanitary Surveys</td>
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<td>Compliance Activities</td>
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### Capacity Development:

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### General Activities:

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<tbody>
<tr>
<td>Public Education/Outreach</td>
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<tr>
<td>Circuit Riding/Site Visits</td>
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<tr>
<td>Rate Studies</td>
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<tr>
<td>Pilot Studies</td>
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<tr>
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<td>Leak Detection/Water Efficiency/</td>
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<td>Energy Efficiency</td>
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<td>System Partnerships</td>
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<td>Restructuring/Consolidation</td>
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### Security Issues:

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<td>VA Assistance</td>
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### SWP Efforts:

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<tr>
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<tbody>
<tr>
<td>Source Water Protection &amp; Mgmt</td>
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<td>Wellhead Protection &amp; Mgmt</td>
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<tr>
<td>Land Acquisition</td>
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</tbody>
</table>

### Other:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>See comment 1</td>
</tr>
</tbody>
</table>

---

October 2010
### DWSRF Set-Aside Spending
#### California

<table>
<thead>
<tr>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. A portion of the Administration set-aside is used to fund positions of the SDWSRF Fiscal Support Team in the Accounting Section of the CDPH Administration functional area.</td>
</tr>
<tr>
<td>2. CDPH plans to continue the use of third-party contractors who offer personnel with specialized small water system expertise to assist small water systems in developing their TMF capacities. These third party contractors will present workshops throughout the state regarding the TMF elements.</td>
</tr>
<tr>
<td>3. CDPH will develop strategies to encourage water systems to complete the online TMF Tune-up and will use the statistical information obtained to evaluate the effectiveness of the set-aside programs. A portion of the set-aside funds will support the development of a courses that would satisfy the high school diploma requirement for operator certification.</td>
</tr>
<tr>
<td>4. CDPH provides preliminary engineering assistance through U.C. Davis “Center for Appropriate Technology for Small Water Systems.”</td>
</tr>
</tbody>
</table>
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

<table>
<thead>
<tr>
<th>State Program</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Governor's Report: 2008</strong></td>
<td><strong>Financial Information:</strong></td>
<td><strong>Financial Information:</strong></td>
<td><strong>Financial Information:</strong></td>
<td><strong>Financial Information:</strong></td>
</tr>
<tr>
<td></td>
<td>State: Colorado</td>
<td>Set-aside: $6.19 m (4.0%)</td>
<td>Set-aside: $2.81 m (1.8%)</td>
<td>Set-aside: $8.45 m (5.5%)</td>
</tr>
<tr>
<td></td>
<td>Expended: $3.51 m (56.8%)</td>
<td>Expended: $1.27 m (45.2%)</td>
<td>Expended: $6.45 m (76.3%)</td>
<td>Expended: $11.64 m (63.4%)</td>
</tr>
<tr>
<td></td>
<td>Remaining: $2.67 m (43.1%)</td>
<td>Remaining: $1.82 m (64.8%)</td>
<td>Remaining: $2.00 m (23.7%)</td>
<td>Remaining: $6.71 m (36.6%)</td>
</tr>
</tbody>
</table>

### General Activities
- DWSRF Administration
- Data Management
- Inspections
- Sanitary Surveys
- Compliance Activities
- Enforcement

### Capacity Development
- Capacity Development Program
- Technical
- Managerial
- Financial

### General Activities
- Public Education/Outreach
- CCR preparation
- Improvements to CDPHE Web site
- Operator Certification
- Development of a comprehensive training curriculum
- Operator training for DBPP and GWR
- Circuit Riding/Site Visits
- Rate Studies
- Pilot Studies
- Plant Optimization (AWOP)
- Leak Detection/Water Efficiency/Energy Efficiency
- System Partnerships
- Restructuring/Consolidation
- Small System Assistance
- Disadvantaged System Assistance
- Other Technical Assistance
- Technical assistance to implement source water protection

### DWSRF Help
- Loan Application Assistance
- Planning/Design/Engineering Services
- See comment 1

### Security Issues
- IERP Assistance
- VA Assistance

### SWP Efforts
- Source Water Protection & Mgmt
- Implementation of a program to assist systems with radionuclides in their source waters
- Wellhead Protection & Mgmt
- Implement WHP program
- Land Acquisition
- X

### Other
- Financial assistance
- Regulations development
- Radionuclide Disposal Options Toolbox

October 2010

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## DWSRF Set-Aside Spending

**Colorado**

<table>
<thead>
<tr>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Colorado will use the Small System Training and Technical Assistance (SSTTA) set-aside to provide planning and design grants to small systems.</td>
</tr>
</tbody>
</table>
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

**State: Connecticut**

<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td><strong>Financial Information:</strong></td>
<td><strong>Financial Information:</strong></td>
</tr>
<tr>
<td>Set-aside: $3.7 m (4%)</td>
<td>Set-aside: $1.85 m (2.0%)</td>
</tr>
<tr>
<td>Expended: $3.47 m (93.8%)</td>
<td>Expended: $1.74 m (94.2%)</td>
</tr>
<tr>
<td>Remaining: $0.23 m (6.2%)</td>
<td>Remaining: $0.11 m (5.9%)</td>
</tr>
</tbody>
</table>

### General Activities

<table>
<thead>
<tr>
<th>Capacity Development Program</th>
<th>Technical</th>
<th>Managerial</th>
<th>Financial</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff</td>
<td>General Drinking Water Admin.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>General Drinking Water Admin.</td>
<td>DWSRF Administration</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>DWSRF Administration</td>
<td>Data Management</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Data Management</td>
<td>Inspections</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Inspections</td>
<td>Sanitary Surveys</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Sanitary Surveys</td>
<td>Compliance Activities</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Compliance Activities</td>
<td>Enforcement</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Enforcement</td>
<td>Capacity Development at public schools</td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>

### State Program

<table>
<thead>
<tr>
<th>General Activities</th>
<th>General</th>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td>General</td>
<td>General Drinking Water Admin.</td>
<td>X</td>
</tr>
<tr>
<td>General Drinking Water Admin.</td>
<td>DWSRF Administration</td>
<td>X</td>
</tr>
<tr>
<td>DWSRF Administration</td>
<td>Data Management</td>
<td>X</td>
</tr>
<tr>
<td>Data Management</td>
<td>Inspections</td>
<td>X</td>
</tr>
<tr>
<td>Inspections</td>
<td>Sanitary Surveys</td>
<td>X</td>
</tr>
<tr>
<td>Sanitary Surveys</td>
<td>Compliance Activities</td>
<td>X</td>
</tr>
<tr>
<td>Compliance Activities</td>
<td>Enforcement</td>
<td>X</td>
</tr>
<tr>
<td>Enforcement</td>
<td>Capacity Development at public schools</td>
<td>X</td>
</tr>
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</table>

### Technical Activities

<table>
<thead>
<tr>
<th>Technical</th>
<th>Managerial</th>
<th>Financial</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Education/Outreach</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Operator Certification</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Other System Training</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Circuit Riding/Site Visits</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rate Studies</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pilot Studies</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Plant Optimization (AWOP)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Leak Detection/Water Efficiency/Energy Efficiency</td>
<td></td>
<td></td>
</tr>
<tr>
<td>System Partnerships</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Restructuring/Consolidation</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Small System Assistance</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Disadvantaged System Assistance</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Other Technical Assistance</td>
<td>Technical assistance information to owners and operators</td>
<td>X</td>
</tr>
</tbody>
</table>

### Other Activities

<table>
<thead>
<tr>
<th>Other Activities</th>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td>Loan Application Assistance</td>
<td>X</td>
</tr>
<tr>
<td>Planning/Design/Engineering Services</td>
<td>X</td>
</tr>
<tr>
<td>EBP Assistance</td>
<td>X</td>
</tr>
<tr>
<td>VA Assistance</td>
<td>X</td>
</tr>
<tr>
<td>Source Water Protection &amp; Mgmt</td>
<td>X</td>
</tr>
<tr>
<td>Wellhead Protection &amp; Mgmt</td>
<td>X</td>
</tr>
<tr>
<td>Land Acquisition</td>
<td>X</td>
</tr>
</tbody>
</table>

### Other

- See comment 1
- See comment 2
### DWSRF Set-Aside Spending

<table>
<thead>
<tr>
<th>State</th>
<th>Connecticut</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Comments</strong></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Connecticut will review and process PWS permits, review projects for environmental impacts, and review Certificate of Public Convenience and Necessity applications for the creation of new PWSs including evaluating feasible interconnections with existing PWSs, and perform Well Site Suitability Reviews for proposed new PWS groundwater sources.</td>
</tr>
<tr>
<td>2</td>
<td>Connecticut will educate systems on financial assessment tools and help obtain revenue sources; track, analyze and prepare reports concerning status of all eighty-four (84) PWSs serving over 1,000 persons that are required to submit water supply plans; review Water Supply Plans for community water systems serving greater than 1,000 persons; assist in the coordination of regional water supply forums; and review interim Conservation and Development changes for the Connecticut Office of Policy and Management.</td>
</tr>
</tbody>
</table>
### Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

**Delaware**

<table>
<thead>
<tr>
<th>DWSRF Set-Aside Spending</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; Other State Programs (15% Set-Aside)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Set-aside: $3.34 m (4.0%)</td>
<td>Set-aside: $1.64 m (2.0%)</td>
<td>Set-aside: $7.72 m (9.2%)</td>
<td>Set-aside: $8.71 m (10.4%)</td>
</tr>
<tr>
<td></td>
<td>Expended: $2.32 m (69.4%)</td>
<td>Expended: $1.06 m (64.0%)</td>
<td>Expended: $6.38 m (82.7%)</td>
<td>Expended: $5.54 m (63.6%)</td>
</tr>
<tr>
<td></td>
<td>Remaining: $1.02 m (30.5%)</td>
<td>Remaining: $0.59 m (36.0%)</td>
<td>Remaining: $1.33 m (17.2%)</td>
<td>Remaining: $3.17 m (36.4%)</td>
</tr>
<tr>
<td>Governor’s Report: 2008</td>
<td>General</td>
<td>Effort #1: General</td>
<td>Effort: Capacity Development, Documentation</td>
<td>Effort: Source Water Protection Activities (UIC program)</td>
</tr>
<tr>
<td></td>
<td>DWSRF Administration</td>
<td></td>
<td>Effort: PWS program</td>
<td>Effort: Capacity Development</td>
</tr>
<tr>
<td></td>
<td>Data Management</td>
<td></td>
<td></td>
<td>Effort: Groundwater Protection</td>
</tr>
<tr>
<td></td>
<td>Inspections</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Sanitary Surveys</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Compliance Activities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Enforcement</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Staff</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>General Drinking Water Admin.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>DWSRF Administration</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
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<td>X</td>
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<tr>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**General Activities**

- Public Education/Outreach
- Operator Certification
- Other System Training
- Circuit Riding/Site Visits
- Rate Studies
- Pilot Studies
- Plant Optimization (AWOP)
- Leak Detection/Water Efficiency/Energy Efficiency
- System Partnerships
- Restructuring/Consolidation
- Small System Assistance
- Disadvantaged System Assistance
- Other Technical Assistance

**Other Technical Assistance**

- See comment 1

**DWSRF Help**

- Loan Application Assistance
- Planning/Storage/Engineering Services

**Security Issues**

- ERP Assistance
- VA Assistance

**SWP Efforts**

- Source Water Protection & Mgmt
- Wellhead Protection & Mgmt
- Land Acquisition

**Governor’s Report: 2008**

- Northbridge loan tracking system

**General Effort #1**

- Development
- Documentation
- Source Water Protection Activities (UIC program)

**Other Efforts**

- Staff
- General Drinking Water Admin.
- DWSRF Administration
- Data Management
- Inspections
- Sanitary Surveys
- Compliance Activities
- Enforcement

**Governor’s Report: 2008**

- Northbridge loan tracking system

**Other Efforts**

- Staff
- General Drinking Water Admin.
- DWSRF Administration
- Data Management
- Inspections
- Sanitary Surveys
- Compliance Activities
- Enforcement

**October 2010**

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## DWSRF Set-Aside Spending
### Delaware

<table>
<thead>
<tr>
<th></th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Technical assistance to meet SDWA requirements.</td>
</tr>
</tbody>
</table>
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

<table>
<thead>
<tr>
<th>State</th>
<th>Florida</th>
</tr>
</thead>
</table>

### DWSRF Set-Aside Spending

<table>
<thead>
<tr>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td><strong>Financial Information:</strong></td>
<td><strong>Financial Information:</strong></td>
</tr>
<tr>
<td>Set-aside: $6.77 m (2.5%)</td>
<td>Set-aside: $6.37 m (2.3%)</td>
</tr>
<tr>
<td>Expended: $8.3 m (122.5%)</td>
<td>Expended: $4.03 m (63.2%)</td>
</tr>
<tr>
<td>Remaining: $1.53 m (-22.6%)</td>
<td>Remaining: $2.33 m (36.9%)</td>
</tr>
</tbody>
</table>

### Reserved for use in future years

<table>
<thead>
<tr>
<th>General PWSS Program Enhanced and Source Water Protection Program</th>
<th>No set-aside-specific information included in state report</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reserved for use in future years</td>
<td>X</td>
</tr>
</tbody>
</table>

### General Activities

- **Staff**
  - Circuit riders, professional engineers, comprehensive technical assistance managers, assistant engineers

- **DWSRF Administration**
  - X

- **Data Management**
  - X

- **Inspections**
  - X

- **Sanitary Surveys**
  - X

- **Compliance Activities**
  - X

- **Enforcement**
  - X

### Capacity Development Program

- **Capacity Development Program**
  - X

- **Technical**
  - X

- **Managerial**
  - X

- **Financial**
  - X

### General Activities

- **Public Education/Outreach**
  - X

- **Operator Certification**
  - X

- **Other System Training**
  - X

- **Circuit Riding/Site Visits**
  - Technical assistance visits, circuit riders

- **Rate Studies**
  - X

- **Pilot Studies**
  - X

- **Plant Optimization (AWOP)**
  - X

- **Leak Detection/Water Efficiency/Energy Efficiency**
  - X

- **System Partnerships**
  - X

- **Restructuring/Consolidation**
  - X

- **Small System Assistance**
  - X

- **Disadvantaged System Assistance**
  - X

- **Other Technical Assistance**
  - X

### DWSRF Help

- **Loan Application Assistance**
  - Technical assistance for loan/grant applications provided by circuit riders

- **Planning/Design/Engineering Services**
  - Preparation of facilities plans; federal value engineering requirements

### Security Issues

- **ERP Assistance**
  - X

<table>
<thead>
<tr>
<th>VA Assistance</th>
</tr>
</thead>
</table>

### SWP Efforts

- **Source Water Protection & Mgmt**
  - X

- **Wellhead Protection & Mgmt**
  - X

- **Land Acquisition**
  - X

### Other

- X

---

**State Program Management**

<table>
<thead>
<tr>
<th>(10% Set-Aside)</th>
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</thead>
<tbody>
<tr>
<td>Financial Information:</td>
</tr>
<tr>
<td>Set-aside: $20.90 m (7.6%)</td>
</tr>
<tr>
<td>Expended: $16.39 m (78.4%)</td>
</tr>
<tr>
<td>Remaining: $4.52 m (21.6%)</td>
</tr>
<tr>
<td>Financial Information:</td>
</tr>
<tr>
<td>Set-aside: $2.93 m (1.1%)</td>
</tr>
<tr>
<td>Expended: $2.93 m (100.0%)</td>
</tr>
<tr>
<td>Remaining: $0.00 m (0.0%)</td>
</tr>
</tbody>
</table>

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October 2010 A-15
<table>
<thead>
<tr>
<th>DWSRF Set-Aside Spending</th>
<th>Florida</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Comments</strong></td>
<td></td>
</tr>
<tr>
<td>1. Includes CPEs, collecting turbidity data to evaluate optimizational goals, Performance-Based AWOP Training Program.</td>
<td></td>
</tr>
</tbody>
</table>
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### State: Georgia

#### Financial Information:
- **Set-aside:** $8.44 m (4.2%)
- **Expended:** $5.63 m (66.7%)
- **Remaining:** $2.81 m (33.3%)

#### Governor's Report: 2008

<table>
<thead>
<tr>
<th>Effort #1: General</th>
<th>Effort #1: General</th>
<th>Effort: Source Water Assessment</th>
<th>Effort: Capacity Development</th>
<th>Effort: Waterborne Disease Strategy Implementation</th>
<th>Effort: Groundwater Protection</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>General Drinking Water Admin.</td>
<td>Development of the National Needs Survey</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>DWSRF Administration</td>
<td>Project ranking and administration</td>
<td>Implement EPA-approved SWAP</td>
<td>Implementation of DRPP and HSWTR</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Data Management</td>
<td>Develop GIS coverage</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Inspections</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Sanitary Surveys</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Compliance Activities</td>
<td></td>
<td>Drinking Water Fix-System, see comment 4</td>
<td>Asst affected systems with compliance</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Enforcement</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
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</tbody>
</table>

#### Capacity Development

<table>
<thead>
<tr>
<th>Program</th>
<th>Effort: General</th>
<th>Effort: Technical</th>
<th>Effort: Managerial</th>
<th>Effort: Financial</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capacity Development Program</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

#### Public Education/Outreach
- X
- CCR assistance

#### Other System Training
- Operator certification
- Other system training, see comment 4

#### Circuit Riding/Site Visits
- X
- X

#### General Activities

<table>
<thead>
<tr>
<th>Effort: General</th>
<th>Effort: Technical</th>
<th>Effort: Managerial</th>
<th>Effort: Financial</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plant Optimization (AWOP)</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Leak Detection/Water Efficiency/Energy Efficiency</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>System Partnerships</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Restructuring/Consolidation</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Small System Assistance</td>
<td></td>
<td></td>
<td>See comment 1</td>
</tr>
<tr>
<td>Disadvantaged System Assistance</td>
<td></td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

#### Other Technical Assistance
- Provide GIS support to DWSN programs
- Technical assistance to surface water systems

#### DWSRF Help
- Loan Application Assistance
- Planning/Design/Engineering Services: Project planning, review, and approval
- Water development and conservation plans

#### Security Issues
- ERP Assistance
- VA Assistance

#### SWP Efforts
- Source Water Protection & Mgmt: X
- Wellhead Protection & Mgmt
- Land Acquisition
- Water resource assessments
- Water resource assessments

### Set-Aside Spending

<table>
<thead>
<tr>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial Information:</td>
<td>Financial Information:</td>
</tr>
<tr>
<td>Set-aside: $17.49 m (8.6%)</td>
<td>Set-aside: $19.97 m (9.8%)</td>
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<tr>
<td>Expended: $13.69 m (78.3%)</td>
<td>Expended: $10.73 m (53.7%)</td>
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<tr>
<td>Remaining: $3.80 m (21.7%)</td>
<td>Remaining: $9.24 m (46.2%)</td>
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### October 2010

A-17
<table>
<thead>
<tr>
<th>DWSRF Set-Aside Spending</th>
<th>Georgia</th>
</tr>
</thead>
<tbody>
<tr>
<td>Comments</td>
<td></td>
</tr>
<tr>
<td>1 Contracts with Georgia Rural Water Association (GRWA) for small system assistance.</td>
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</tr>
<tr>
<td>2 Implement Georgia's Comprehensive State-wide Water Management Plan - water resource assessments, water development and conservation plans.</td>
<td></td>
</tr>
<tr>
<td>3 Implementation of the Comprehensive State-wide Water Management Plan, administration of the Public Water System Supervision Program.</td>
<td></td>
</tr>
<tr>
<td>4 Annual report to EPA; tri-annual Report to the Governor.</td>
<td></td>
</tr>
<tr>
<td>5 Analyze Cryptosporidium samples.</td>
<td></td>
</tr>
<tr>
<td>6 Operator training contracts with Georgia Water and Wastewater Institute and GRWA.</td>
<td></td>
</tr>
<tr>
<td>7 Training to 1,135 students and/or 70 courses.</td>
<td></td>
</tr>
<tr>
<td>8 Business plans, operations and maintenance plans.</td>
<td></td>
</tr>
<tr>
<td>9 Ground Water Under the Direct Influence Program.</td>
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</table>
### Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

#### Hawaii

**DWSRF Set-Aside Spending**

<table>
<thead>
<tr>
<th>State Program</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Financial Information:</td>
<td>Financial Information:</td>
<td>Financial Information:</td>
<td>Financial Information:</td>
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<tr>
<td></td>
<td>Set-aside: $2.68 m (2.9%)</td>
<td>Set-aside: $1.32 m (1.4%)</td>
<td>Set-aside: $6.68 m (7.3%)</td>
<td>Set-aside: $5.19 m (5.6%)</td>
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<tr>
<td></td>
<td>Expended: $1.72 m (64.2%)</td>
<td>Expended: $0.71 m (53.6%)</td>
<td>Expended: $3.98 m (59.6%)</td>
<td>Expended: $1.79 m (34.4%)</td>
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<tr>
<td></td>
<td>Remaining: $0.96 m (35.8%)</td>
<td>Remaining: $0.63 m (47.7%)</td>
<td>Remaining: $2.70 m (40.4%)</td>
<td>Remaining: $3.40 m (65.5%)</td>
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<td>See comment 1</td>
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<td>Data Management</td>
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<td>Inspections</td>
<td>Construction inspections</td>
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<td></td>
<td>Sanitary Surveys</td>
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<td>Construction for conducting surveys</td>
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<td>Cases Program</td>
<td>Compliance Activities</td>
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<td>Enforcement</td>
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<td>Operator Certification</td>
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<td>See comment 3</td>
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<td></td>
<td>Other System Training</td>
<td>Post sanitary survey training</td>
<td>Security and cross-connection training</td>
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<td></td>
<td>Circuit Riding/Site Visits</td>
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<td>X</td>
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<tr>
<td></td>
<td>Rate Studies</td>
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<td>Pilot Studies</td>
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<td>Plant Optimization (AWOP)</td>
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<td>Leak Detection/Water Efficiency/</td>
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<td></td>
<td>Energy Efficiency</td>
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<td>System Partnerships</td>
<td></td>
<td></td>
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<td></td>
<td>Restoring/Consolidation</td>
<td></td>
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<td></td>
<td>Small System Assistance</td>
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<td>X</td>
<td>X</td>
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<tr>
<td></td>
<td>Other Technical Assistance</td>
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<td>See comment 4</td>
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<td>DWSRF Help</td>
<td>Loan Application Assistance</td>
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<tr>
<td></td>
<td>Planning/Design/Engineering Services</td>
<td></td>
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<td></td>
<td>Security Issues</td>
<td>ERPA</td>
<td>X</td>
<td>X</td>
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<td></td>
<td>VA Assistance</td>
<td></td>
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<tr>
<td></td>
<td>SWP Efforts</td>
<td>Source Water Protection &amp; Mgmt</td>
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<tr>
<td></td>
<td>Wellhead Protection &amp; Mgmt</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Land Acquisition</td>
<td></td>
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<tr>
<td>Other</td>
<td>Legal consultation</td>
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<td>Quality assurance measures</td>
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**October 2010**

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## DWSRF Set-Aside Spending
### Hawaii

<table>
<thead>
<tr>
<th></th>
<th>Comments</th>
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<tbody>
<tr>
<td>1</td>
<td>The state will fund 2009 set-aside activities with existing funds from previous capitalization grants, and will reserve FFY 2008 set-aside funds for future activities.</td>
</tr>
<tr>
<td>2</td>
<td>A non-profit contractor provided the training at no cost to the operators. Initially, 75% of the operators passed the certification examinations on the first try.</td>
</tr>
<tr>
<td>3</td>
<td>Continuing education program with the University of Hawaii's Outreach College.</td>
</tr>
<tr>
<td>4</td>
<td>Security equipment for systems (cameras, fencing, etc.); post-sanitary survey technical assistance.</td>
</tr>
</tbody>
</table>
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### Idaho

<table>
<thead>
<tr>
<th>State Program</th>
<th>General Activities</th>
<th>Capacity Development</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (35% Set-Aside)</th>
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</thead>
<tbody>
<tr>
<td></td>
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<td></td>
<td>Financial Information: Set-aside: $3.74 m (3.9%)</td>
<td>Financial Information: Set-aside: $3.15 m (3.3%)</td>
<td>Financial Information: Set-aside: $7.32 m (7.6%)</td>
<td>Financial Information: Set-aside: $12.72 m (13.3%)</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>Expended: $2.83 m (75.6%)</td>
<td>Expended: $1.49 m (47.3%)</td>
<td>Expended: $5.49 m (74.9%)</td>
<td>Expended: $9.23 m (72.6%)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Remaining: $0.91 m (24.3%)</td>
<td>Remaining: $1.72 m (54.6%)</td>
<td>Remaining: $1.84 m (25.1%)</td>
<td>Remaining: $3.49 m (27.4%)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Effort: Wellhead Protection Strategy</th>
<th>Effort: Capacity Development Strategy</th>
</tr>
</thead>
</table>

- **General Drinking Water Admin.**
  - X

- **DWSRF Administration**
  - X

- **Data Management**
  - X

- **Inspections**
  - X

- **Sanitary Surveys**
  - X

- **Compliance Activities**
  - X

- **Enforcement**
  - X

<table>
<thead>
<tr>
<th>Effort: Wellhead Protection Strategy</th>
<th>Effort: Capacity Development Strategy</th>
</tr>
</thead>
</table>

- **Public Education/Outreach**
  - X

- **Operator Certification**
  - X

- **Other System Training**
  - X

- **Circuit Riding/Site Visits**
  - X

- **Rate Studies**
  - X

- **Pilot Studies**
  - X

- **Plant Optimization (AWOP)**
  - X

- **Leak Detection/Water Efficiency/ Energy Efficiency**
  - X

- **System Partnerships**
  - X

- **Restructuring/Consolidation**
  - X

- **Small System Assistance**
  - X

- **Disadvantaged System Assistance**
  - X

- **Other Technical Assistance**
  - X

  Development and implementation of drinking water protection plan

<table>
<thead>
<tr>
<th>Effort: Wellhead Protection Strategy</th>
<th>Effort: Capacity Development Strategy</th>
</tr>
</thead>
</table>

- **Loan Application Assistance**
  - X

- **Planning/Design/Engineering Services**
  - X

- **ERP Assistance**
  - VA Assistance

- **Other Technical Assistance**
  - X

  Idaho Water/Wastewater Agency Response Network

### October 2010

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## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### Illinois

#### DWSRF Set-Aside Spending

<table>
<thead>
<tr>
<th>State</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
</tr>
</thead>
<tbody>
<tr>
<td>IUP: 2008</td>
<td>Financial Information: Set-aside: $13.29 m (4.0%)</td>
<td>Financial Information: Set-aside: $0.00 m (0.0%)</td>
<td>Financial Information: Set-aside: $0.00 m (0.0%)</td>
<td>Financial Information: Set-aside: $3.85 m (1.2%)</td>
</tr>
<tr>
<td>Governor's Report: 2008</td>
<td>Expended: $9.23 m (69.5%) Remaining: $4.05 m (30.5%)</td>
<td>Expended: $0.00 m (0.0%) Remaining: $0.00 m (0.0%)</td>
<td>Expended: $0.00 m (0.0%) Remaining: $0.00 m (0.0%)</td>
<td>Expended: $4.10 m (100.4%) Remaining: $-0.25 m (-6.5%)</td>
</tr>
</tbody>
</table>

#### General Activities

- **Staff**
  - General Drinking Water Admin.
- **DWSRF Administration**
- **Data Management**
- **Inspections**
- **Sanitary Surveys**
- **Compliance Activities**
- **Enforcement**

#### Capacity Development Program

- **Capacity Development Program**
- **Technical**
- **Managerial**
- **Financial**

#### General Activities

- **Public Education/Outreach**
- **Operator Certification**
- **Other System Training**
- **Circuit Riding/Site Visits**
- **Rate Studies**
- **Pilot Studies**
- **Plant Optimization (AWOP)**
- **Leak Detection/Water Efficiency/Energy Efficiency**
- **System Partnerships**
- **Restructuring/Consolidation**
- **Small System Assistance**
- **Disadvantaged System Assistance**
- **Other Technical Assistance**

#### DWSRF Help

- **Loan Application Assistance**
- **Planning/Design/Engineering Services**

#### Security Issues

- **ERP Assistance**
- **VA Assistance**

#### SWP Efforts

- **Source Water Protection & Mgmt**
- **Wellhead Protection & Mgmt**
- **Land Acquisition**

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October 2010
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### Indiana

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td></td>
<td>Set-aside: $2.37 m (1.7%)</td>
<td>Set-aside: $1.31 m (1.0%)</td>
<td>Set-aside: $1.66 m (1.2%)</td>
<td>Set-aside: $2.16 m (1.6%)</td>
<td>Set-aside: $2.16 m (1.6%)</td>
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<tr>
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<td>Expended: $1.79 m (75.8%)</td>
<td>Expended: $0.89 m (67.8%)</td>
<td>Expended: $1.37 m (82.5%)</td>
<td>Expended: $2.16 m (100.0%)</td>
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</tr>
<tr>
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<td>Remaining: $0.57 m (24.1%)</td>
<td>Remaining: $0.65 m (49.0%)</td>
<td>Remaining: $0.29 m (17.5%)</td>
<td>Remaining: $0.00 m (0.0%)</td>
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</tbody>
</table>

### General Activities

- Administrative & Technical Assistance (4% Set-Aside)
- Small System Technical Assistance (2% Set-Aside)
- State Program Management (10% Set-Aside)
- Local Assistance & other State Programs (15% Set-Aside)

### Notes

- No set-aside-specific information included in state report

---

October 2010

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## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### DWSRF Set-Aside Spending

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<th>Iowa</th>
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<tbody>
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<td><strong>IUP: 2008</strong></td>
<td><strong>Administrative &amp; Technical Assistance</strong> (4% Set-Aside)</td>
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<tr>
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<td><strong>Financial Information:</strong></td>
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<tr>
<td></td>
<td>Set-aside: $5.79 m (4.3%)</td>
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<tr>
<td></td>
<td>Expended: $4.00 m (69.1%)</td>
</tr>
<tr>
<td></td>
<td>Remaining: $1.79 m (30.9%)</td>
</tr>
<tr>
<td><strong>Governor's Report: 2008</strong></td>
<td><strong>Small System Technical Assistance</strong> (2% Set-Aside)</td>
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<tr>
<td></td>
<td><strong>Financial Information:</strong></td>
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<tr>
<td></td>
<td>Set-aside: $2.69 m (2.0%)</td>
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<td>Expended: $2.26 m (84.0%)</td>
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<tr>
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<td>Remaining: $0.43 m (16.0%)</td>
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<td><strong>State Program Management</strong></td>
<td><strong>State Program Management</strong> (10% Set-Aside)</td>
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<td>Set-aside: $4.57 m (3.4%)</td>
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<td>Expended: $3.41 m (74.7%)</td>
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<td>Remaining: $1.16 m (25.4%)</td>
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<tr>
<td><strong>Local Assistance &amp; other State Programs</strong></td>
<td><strong>Local Assistance &amp; other State Programs</strong> (15% Set-Aside)</td>
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<td><strong>Financial Information:</strong></td>
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<td>Set-aside: $9.72 m (7.2%)</td>
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<td>Remaining: $5.08 m (52.3%)</td>
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### State Program General Activities

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<tr>
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<tr>
<td>Financial</td>
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### General Activities

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<th>General</th>
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<th>General</th>
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<tbody>
<tr>
<td>Public Education/Outreach</td>
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October 2010
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## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### Kansas

#### IUP: 2008

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#### Governor’s Report: 2008

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October 2010 | A-26
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**Kentucky**

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## DWSRF Set-Aside Spending

### Kentucky

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### Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

#### State: Louisiana

<table>
<thead>
<tr>
<th>DWSRF Set-Aside Spending</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
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<tr>
<td>IUP: 2008</td>
<td>Financial Information:</td>
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<tr>
<td>Governor’s Report: 2008</td>
<td>Set-aside: $2.86 m (2.4%)</td>
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<td>Expended: $2.86 m (100.0%)</td>
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<tr>
<td></td>
<td>Remaining: $0.00 m (0.0%)</td>
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<td>Financial Information:</td>
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<tr>
<td></td>
<td>Set-aside: $1.65 m (1.4%)</td>
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<td></td>
<td>Expended: $1.55 m (94.2%)</td>
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<td>Remaining: $0.37 m (22.4%)</td>
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<td>Set-aside: $2.15 m (1.8%)</td>
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<td>Expended: $2.15 m (100.0%)</td>
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<td>Remaining: $0.00 m (0.0%)</td>
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#### Staff
- General Drinking Water Admin.
- DWSRF Administration
- Data Management
- Inspections
- Sanitary Surveys
- Compliance Activities
- Enforcement

#### Capacity Development
- Capacity Development Program
- Technical
- Managerial
- Financial

#### General Activities
- Public Education/Outreach
- Operator Certification
- Other System Training: See comment 1
- Circuit Riding/Site Visits: See comment 2
- Rate Studies
- Pilot Studies
- Plant Optimization (AWOP)
- Leak Detection/Water Efficiency/Energy Efficiency
- System Partnerships
- Restructuring/Consolidation: See comment 3
- Small System Assistance
- Disadvantaged System Assistance
- Other Technical Assistance

#### DWSRF Help
- Loan Application Assistance
- Planning/Design/Engineering Services

#### Security Issues
- ERP Assistance
- VA Assistance

#### SWP Efforts
- Source Water Protection & Mgmt
- Wellhead Protection & Mgmt
- Land Acquisition

Other: Equipment, automation

October 2010
## DWSRF Set-Aside Spending

### Louisiana

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<td>1</td>
<td>Louisiana is addressing the prevention of bacteriological MCL violations by holding quarterly Safe Drinking Water Compliance Training Schools.</td>
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<tr>
<td>2</td>
<td>On-site visits with the owners/operators of systems experiencing compliance problems.</td>
</tr>
<tr>
<td>3</td>
<td>Review of source water problems and drinking water needs; identification and evaluation of technical options.</td>
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<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
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<td>Set-aside: $1.75 m (1.8%)</td>
<td>Set-aside: $6.30 m (8.4%)</td>
<td>Set-aside: $7.54 m (7.6%)</td>
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<td>Expended: $1.39 m (79.7%)</td>
<td>Expended: $7.15 m (85.5%)</td>
<td>Expended: $7.03 m (93.2%)</td>
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<td>Remaining: $0.35 m (20.0%)</td>
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<table>
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<tr>
<th>General Activities</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
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<tr>
<td>DWSRF Help</td>
<td>Financial Information:</td>
<td>Financial Information:</td>
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<td>Planning/Design/Engineering Services</td>
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<td>Financial Information:</td>
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<td>Set-aside: $3.65 m (3.7%)</td>
<td>Set-aside: $1.75 m (1.8%)</td>
<td>Set-aside: $6.30 m (8.4%)</td>
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<td>VA Assistance</td>
<td>Expended: $3.21 m (88.0%)</td>
<td>Expended: $1.39 m (79.7%)</td>
<td>Expended: $7.15 m (85.5%)</td>
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<td>Source Water Protection &amp; Mgmt</td>
<td>Remaining: $0.23 m (6.3%)</td>
<td>Remaining: $0.35 m (20.0%)</td>
<td>Remaining: $1.21 m (14.3%)</td>
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<td>Wellhead Protection &amp; Mgmt</td>
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October 2010  

A-31
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<tr>
<td>1</td>
<td>2 FTEs: Water Quality Specialist circuit riders from Maine RWA (MRWA).</td>
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<td>2</td>
<td>Newsletter; school awareness outreach and contracts to encourage planning and implementation of source protection.</td>
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<td>3</td>
<td>Capacity development grants of no more than $10,000 for professional services.</td>
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<td>Maryland</td>
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<td></td>
<td>Set-aside: $3.88 m (3.7%)</td>
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<td></td>
<td>Expended: $3.69 m (95.0%)</td>
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<td></td>
<td>Remaining: $0.19 m (4.9%)</td>
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**State Program**

- **General**
  - Staff
  - General Drinking Water Admin.
  - DWSRF Administration
- **Data Management**
  - Inspections
  - Sanitary Surveys
  - Compliance Activities
  - Enforcement

**Capacity Development**

- **Capacity Development Program**
  - Technical
  - Managerial
  - Financial

**General Activities**

- **Public Education/Outreach**
- **Operator Certification**
- **Other System Training**
- **Circuit Riding/Site Visits**
- **Rate Studies**
- **Pilot Studies**
- **Plant Optimization (AWOP)**
- **Leak Detection/Waste Efficiency/Energy Efficiency**
- **System Partnerships**
- **Restructuring/Consolidation**
- **Small System Assistance**
- **Disadvantaged System Assistance**
- **Other Technical Assistance**

**DWSRF Help**

- **Loan Application Assistance**
- **Planning/Design/Engineering Services**
- **ERP Assistance**
- **VA Assistance**

**SWP Efforts**

- **Source Water Protection & Mgmt**
- **Wellhead Protection & Mgmt**
- **Land Acquisition**

**Other**

---

October 2010

A-33
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### Massachusetts

#### DWSRF Set-Aside Spending
- **State:** Massachusetts
- **Financial Information:**
  - Set-aside: $11.31 m (4.2%)
  - Expended: $11.19 m (99.0%)
  - Remaining: $0.11 m (1.0%)

#### State Program

<table>
<thead>
<tr>
<th>Effort Description</th>
<th>General</th>
<th>General</th>
<th>Effort Source Water Protection Activities (UIC program)</th>
<th>Effort: PWSS program</th>
<th>Effort: Operator Certification</th>
<th>Effort: Wellhead Protection</th>
<th>Effort: Capacity Implementation</th>
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#### Capacity Development

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#### General Activities

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<th>Activity Description</th>
<th>General</th>
<th>Effort Source Water Protection Activities (UIC program)</th>
<th>Effort: PWSS program</th>
<th>Effort: Operator Certification</th>
<th>Effort: Wellhead Protection</th>
<th>Effort: Capacity Implementation</th>
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<td>Operator Certification</td>
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<td>Other System Training</td>
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<tr>
<td>Circuit Riding/Site Visits</td>
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<td>Compliance Activities</td>
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#### DWSRF Help

<table>
<thead>
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<th>Effort Source Water Protection Activities (UIC program)</th>
<th>Effort: PWSS program</th>
<th>Effort: Operator Certification</th>
<th>Effort: Wellhead Protection</th>
<th>Effort: Capacity Implementation</th>
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<td>X</td>
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<td>SWP Assistance</td>
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<td>VA Assistance</td>
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<td>Source Water Protection &amp; Mgmt</td>
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<td>X</td>
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<td>X</td>
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<td>Land Acquisition</td>
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<td>Other</td>
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#### October 2010
### DWSRF Set-Aside Spending

**Massachusetts**

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>1</td>
<td>Capacity development efforts integrated with sanitary survey process.</td>
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## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

<table>
<thead>
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<th>State: Michigan</th>
<th>State Revolving Fund (DWSRF) Set-Aside Spending</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>Local Assistance &amp; Other State Programs (15% Set-Aside)</th>
<th>Local Assistance &amp; Other State Programs (15% Set-Aside)</th>
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<tbody>
<tr>
<td></td>
<td>Set-aside: $14.67 m (4.6%)</td>
<td>Set-aside: $4.65 m (1.3%)</td>
<td>Set-aside: $13.75 m (3.7%)</td>
<td>Set-aside: $16.83 m (4.6%)</td>
<td>Set-aside: $2.23 m (0.6%)</td>
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<td>Expended: $10.71 m (73.0%)</td>
<td>Expended: $2.65 m (57.0%)</td>
<td>Expended: $9.69 m (70.5%)</td>
<td>Expended: $14.61 m (86.8%)</td>
<td>Remaining: $2.23 m (13.2%)</td>
</tr>
<tr>
<td></td>
<td>Remaining: $3.96 m (27.0%)</td>
<td>Remaining: $2.00 m (43.0%)</td>
<td>Remaining: $4.06 m (29.5%)</td>
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</table>

### General Effort
- **Critical Contaminants Effort:** Arsenic-Related Efforts, Capacity Development, Source Water Protection, Operator Certification, Wellhead Protection

### General Drinking Water Admin.
- 5 FTEs: Program Administration
- 2.5 FTEs: Program Administration and Support

### Data Management
- Database enhancements and maintenance

### Inspections
- X

### Sanitary Surveys
- X

### Compliance Activities
- X

### Enforcement
- X

### Capacity Development
- Capacity Development Program
- Technical
- Financial

### Public Education/Outreach
- Quarterly newsletter

### Operator Certification
- Training, development for operators/systems

### Other System Training
- Circuit Riding/Site Visits

### Rate Studies
- X

### Plant Optimization (AWOP)
- Contract to develop probabilistic wellhead delineation model

### Effluent/Inefficiency Efficiency
- X

### System Partnerships
- X

### Restructuring/Consolidation
- X

### Small System Assistance
- See comment 10

### Disadvantaged System Assistance
- X

### Other Technical Assistance
- See comment 6

### DWSRF Help
- Loan Application Assistance
- Planning/Designs/Engineering Services
- ERP Assistance
- VA Assistance

### Security Issues
- Source Water Protection & Mgmt
- Wellhead Protection & Mgmt
- Land Acquisition

### Other
- Grants for AWM Program
- Wellhead protection grants

---

October 2010

A-36
## DWSRF Set-Aside Spending

**Michigan**

<table>
<thead>
<tr>
<th>Comments</th>
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<tbody>
<tr>
<td>1. Capacity assessment criteria applied to new CWSs and NTNCWSs, and certain existing systems.</td>
</tr>
<tr>
<td>2. 1.75 FTEs: Abandoned Well Management (AWM) Program, Wellogic data administration, and SWP Program; 4.6 FTEs: On-site Wastewater Program.</td>
</tr>
<tr>
<td>3. Develop and administer online Wellogic data management system for active and abandoned wells; data management support services.</td>
</tr>
<tr>
<td>4. AWM Program training; training on well plugging requirements.</td>
</tr>
<tr>
<td>5. Special pilot projects to explore abandoned well management.</td>
</tr>
<tr>
<td>6. 65 state matching grants to help locate and plug abandoned wells inside WHP areas; assistance to local departments of health on AWM Program; plugging requirements.</td>
</tr>
<tr>
<td>7. Source Water Protection Program serving 70 communities.</td>
</tr>
<tr>
<td>8. Statewide AWM Program.</td>
</tr>
<tr>
<td>9. Database system in place with Operator Training and Certification Unit; recordkeeping and compliance tracking.</td>
</tr>
<tr>
<td>10. Modeling with existing databases to help smaller communities cost-effectively initiate WHP efforts.</td>
</tr>
<tr>
<td>11. Cost-sharing (matching grants) with local suppliers for WHP.</td>
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<tr>
<td>DWSRF Set-Aside Spending</td>
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<tr>
<td>--------------------------</td>
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<tr>
<td>State: Minnesota</td>
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October 2010
<table>
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<tr>
<th>DWSRF Set-Aside Spending</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
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<td>Expended: $2.84 m (76.6%)</td>
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<td>Remaining: $0.87 m (23.5%)</td>
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State Program

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<td>Sanitary Surveys</td>
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<td>Compliance Activities</td>
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Capacity Development Program

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General Activities

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<thead>
<tr>
<th>General</th>
<th>DWSRF Help</th>
<th>Security Issues</th>
<th>SWP Efforts</th>
<th>Other</th>
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<tbody>
<tr>
<td>Public Education/Outreach</td>
<td>Operator Certification</td>
<td>Other System Training</td>
<td>Circuit Riding/Site Visits</td>
<td>On-site technical assistance</td>
</tr>
<tr>
<td>Rate Studies</td>
<td>Pilot Studies</td>
<td>Plant Optimization (AWOP)</td>
<td>Leak Detection/Water Efficiency/Energy Efficiency</td>
<td>System Partnerships</td>
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<tr>
<td>Restructuring/Consolidation</td>
<td>Small System Assistance</td>
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<td>Other System Training</td>
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<td>Source Water Protection &amp; Mgmt</td>
<td>Wellhead Protection &amp; Mgmt</td>
<td>Land Acquisition</td>
</tr>
</tbody>
</table>

IUP: October 2010
Governor's Report: October 2010

No set-aside-specific information provided in state report
### Missouri

#### DWSRF Set-Aside Spending

**Administrative & Technical Assistance (4% Set-Aside)**
- Financial Information: Set-aside: $4.98 m (4.0%)  
  - Expended: $4.31 m (86.6%)  
  - Remaining: $0.67 m (13.5%)

**Small System Technical Assistance (2% Set-Aside)**
- Financial Information: Set-aside: $2.51 m (2.0%)  
  - Expended: $1.75 m (69.7%)  
  - Remaining: $0.76 m (30.3%)

**State Program Management (10% Set-Aside)**
- Financial Information: Set-aside: $11.50 m (9.2%)  
  - Expended: $11.12 m (96.7%)  
  - Remaining: $0.36 m (3.1%)

**Local Assistance & Other State Programs (15% Set-Aside)**
- Financial Information: Set-aside: $6.19 m (4.9%)  
  - Expended: $3.86 m (62.3%)  
  - Remaining: $2.34 m (37.8%)

#### General Effort #1: PWSS

- Data Management
- Inspections
- Sanitary Surveys
- Compliance Activities: Existing and near-term SDWA requirements
- Enforcement

#### Capacity Development Program

- Capacity Development Program
- Technical
- Managerial
- Financial

#### General Activities

- Public Education/Outreach
- Operator Certification
- Other System Training
- Circuit Riding/Site Visits
- Rate Studies
- Pilot Studies
- Plant Optimization (AWOP)
- Leak Detection/Water Efficiency/Energy Efficiency
- System Partnerships
- Restructuring/Consolidation
- Small System Assistance
- Disadvantaged System Assistance
- Other Technical Assistance

#### DWSRF Help

- Loan Application Assistance
- Planning/Design/Engineering Services

#### Security Issues

- ERP Assistance
- VA Assistance

#### SWP Efforts

- Source Water Protection & Mgmt
- Wellhead Protection & Mgmt
- Land Acquisition

#### Other

- Staff training/equipment
- Consumer confidence report

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**Governor’s Report: 2008**

**IUP: 2008**

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<tr>
<th>State Program</th>
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October 2010
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### Montana

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<tr>
<td><strong>General</strong></td>
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</tr>
<tr>
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<td><strong>Set-aside: $6.33 m (6.2%)</strong></td>
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<tr>
<td>Expended: $3.75 m (91.8%)</td>
<td>Expended: $5.24 m (82.8%)</td>
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<td>Remaining: $0.34 m (8.3%)</td>
<td>Remaining: $1.09 m (17.2%)</td>
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<tr>
<td><strong>Set-aside: $1.18 m (1.2%)</strong></td>
<td><strong>Set-aside: $1.79 m (1.8%)</strong></td>
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<tr>
<td>Expended: $1.08 m (91.6%)</td>
<td>Expended: $1.71 m (95.6%)</td>
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<tr>
<td>Remaining: $0.10 m (8.5%)</td>
<td>Remaining: $0.08 m (4.5%)</td>
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### State Program

- **Staff**
  - General Drinking Water Admin.
  - DWSRF Administration
- **Data Management**
- **Inspections**
- **Sanitary Surveys**
- **Compliance Activities**
- **Enforcement**

### Capacity Development

- **Capacity Development Program**
  - Technical
  - Managerial
  - Financial
- **Public Education/Outreach**
  - Operator Certification
- **Other System Training**
- **Circuit Riding/Site Visits**

### General Activities

- **Rate Studies**
- **Pilot Studies**
- **Plant Optimization (AWOP)**
- **Leak Detection/Water Efficiency/Energy Efficiency**
- **System Partnerships**
- **Restructuring/Consolidation**
- **Small System Assistance**
- **Disadvantaged System Assistance**
- **Other Technical Assistance**

### DWSRF Help

- **Loan Application Assistance**
- **Planning/Design/Engineering Services**
- **ERP Assistance**
- **VA Assistance**

### SWP Efforts

- **Source Water Protection & Mgmt**
- **Wellhead Protection & Mgmt**
- **Land Acquisition**

### Other

- Annual evaluation of the program

---

### Montana DWSRF Set-Aside Spending

- **Administrative & Technical Assistance (4% Set-Aside)**
  - Financial Information:
    - Set-aside: $4.09 m (4.0%)
    - Expended: $3.75 m (91.8%)
    - Remaining: $0.34 m (8.3%)

- **Small System Technical Assistance (2% Set-Aside)**
  - Financial Information:
    - Set-aside: $1.18 m (1.2%)
    - Expended: $1.08 m (91.6%)
    - Remaining: $0.10 m (8.5%)

- **State Program Management (10% Set-Aside)**
  - Financial Information:
    - Set-aside: $6.33 m (6.2%)
    - Expended: $5.24 m (82.8%)
    - Remaining: $1.09 m (17.2%)

- **Local Assistance & other State Programs (15% Set-Aside)**
  - Financial Information:
    - Set-aside: $1.79 m (1.8%)
    - Expended: $1.71 m (95.6%)
    - Remaining: $0.08 m (4.5%)
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<tr>
<td>1</td>
<td>Provide on-site assistance to address source water problems, treatment, pumping, storage, and distribution system.</td>
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</table>
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

<table>
<thead>
<tr>
<th>State</th>
<th>Nebraska</th>
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</table>

### Financial Information:
- **Set-aside:** $2.36 m (2.4%)
- **Expended:** $2.24 m (94.8%)
- **Remaining:** $0.12 m (5.1%)

### Governor’s Report: 2008
- **Set-aside:** $1.84 m (1.8%)
- **Expended:** $1.41 m (76.7%)
- **Remaining:** $0.43 m (23.4%)

### IUP: 2008
- **Set-aside:** $3.48 m (3.5%)
- **Expended:** $3.45 m (99.1%)
- **Remaining:** $0.03 m (0.9%)

### Set-Aside Spending

<table>
<thead>
<tr>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
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<td>$0.12 m (5.1%)</td>
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<td>$2.39 m (49.0%)</td>
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### Staff
- General Drinking Water Admin.
- DWSRF Administration
- Data Management
- Inspections
- Sanitary Surveys
- Compliance Activities
- Enforcement

### Capacity Development

<table>
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<tr>
<th>Capacity Development Program</th>
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<tr>
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<tr>
<td>Circuit Riding/Site Visits</td>
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<tr>
<td>Rate Studies</td>
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<td>Pilot Studies</td>
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<td>Efficiency/Energy Efficiency</td>
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<tr>
<td>Disadvantaged System Assistance</td>
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<tr>
<td>Other Technical Assistance</td>
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### DWSRF Help
- Loan Application Assistance
- Planning/Design/Engineering Services
- SRC Assistance

### Security Issues
- ERP Assistance
- VA Assistance

### SWP Efforts
- Source Water Protection & Mgmt
- Wellhead Protection & Mgmt
- Land Acquisition

### Other
- Security Grants
### Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

#### Nevada

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#### General

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#### Capacity Development

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#### General Activities

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#### SWP Efforts

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<th>Wellhead Protection &amp; Mgmt</th>
<th>Land Acquisition</th>
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## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

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October 2010
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### State: New Jersey

<table>
<thead>
<tr>
<th>Financial Information</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
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</thead>
<tbody>
<tr>
<td>Expended: $8.52 m (100.0%)</td>
<td>Financial Information: Set-aside: $8.52 m (4%)</td>
<td>Financial Information: Set-aside: $3.62 m (1.7%)</td>
<td>Financial Information: Set-aside: $14.55 m (6.8%)</td>
<td>Financial Information: Set-aside: $2.79 m (3.3%)</td>
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<tr>
<td>Remaining: $0.00 m (0.0%)</td>
<td>Expended: $8.52 m (100.0%)</td>
<td>Expended: $3.29 m (90.9%)</td>
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<td>Expended: $2.79 m (100.0%)</td>
</tr>
<tr>
<td>Remaining: $0.00 m (0.0%)</td>
<td>Remaining: $0.00 m (0.0%)</td>
<td>Remaining: $0.33 m (9.1%)</td>
<td>Remaining: $1.58 m (10.1%)</td>
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### General Effort
- PWSS
- Source Water Program
- Capacity Development

### State Programs

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<th>Effort: Source Water Program</th>
<th>Effort: Capacity Development</th>
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### Capacity Development Program

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### General Activities

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<td>Other System Training</td>
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<td>Pilot Studies</td>
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<td>Plant Optimization (AWOP)</td>
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<td>Leak Detection/Water Efficiency/Energy Efficiency</td>
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<td>System Partnerships</td>
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<td>Remounting/Consolidation</td>
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<td>Small System Assistance</td>
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<td>Other Technical Assistance</td>
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### DWSRF Help

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<th>Effort: Source Water Program</th>
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<td>Loan Application Assistance</td>
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<td>Planning/Design/Engineering Services</td>
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### Security Issues

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<td>ERP Assistance</td>
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<td>VA Assistance</td>
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### SWP Efforts

<table>
<thead>
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<th>Effort: Source Water Program</th>
<th>Effort: Capacity Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>Source Water Protection &amp; Mgmt</td>
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<tr>
<td>Wellhead Protection &amp; Mgmt</td>
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<td>Land Acquisition</td>
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### Other

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<th>Effort: PWSS</th>
<th>Effort: Source Water Program</th>
<th>Effort: Capacity Development</th>
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<tbody>
<tr>
<td>Sampling for small systems: compliance of CCRs (contract with NJWA)</td>
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<td>See comment 1</td>
<td>CCR assistance</td>
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October 2010
<table>
<thead>
<tr>
<th>DWSRF Set-Aside Spending</th>
<th>New Jersey</th>
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<tbody>
<tr>
<td><strong>Comments</strong></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Multi-media Mitigation Radon Program efforts; special purpose sampling.</td>
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## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

<table>
<thead>
<tr>
<th>State: New Mexico</th>
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</thead>
<tbody>
<tr>
<td><strong>Financial Information:</strong></td>
</tr>
<tr>
<td>Set-Aside: $3.35 m (4.0%) Expended: $3.15 m (93.9%) Remaining: $0.20 m (6.0%)</td>
</tr>
<tr>
<td>Set-Aside: $1.68 m (2.0%) Expended: $1.57 m (94.0%) Remaining: $0.10 m (6.0%)</td>
</tr>
<tr>
<td>Set-Aside: $8.38 m (10.0%) Expended: $7.77 m (92.8%) Remaining: $0.61 m (7.3%)</td>
</tr>
</tbody>
</table>

| State Program Capacity Development Effort: SWAPP Effort: Capacity Development |
|-------------------|-------------------|-------------------|
| **General Activities:** |
| General Drinking Water Admin. |
| DWSRF Administration |
| Data Management |
| Inspections |
| Sanitary Surveys |
| Compliance Activities |
| Enforcement |
| Capacity Development Program |
| Technical |
| Managerial |
| Financial |
| **Public Education/Outreach:** |
| Operator Certification |
| Other System Training |
| Circuit Riding/Site Visits |
| Rate Studies |
| Pilot Studies |
| Plant Optimization (AWOP) |
| Leak Detection/Water Efficiency/Energy Efficiency |
| System Partnerships |
| Restructuring/Consolidation |
| Small System Assistance |
| Disadvantaged System Assistance |
| Other Technical Assistance |
| Oversight staff |
| **DWSRF Help:** |
| Loan Application Assistance |
| Planning/Design/Engineering Services |
| **Security Issues:** |
| ERP Assistance |
| VA Assistance |
| **SWP Efforts:** |
| Source Water Protection & Mgmt |
| Wellhead Protection & Mgmt |
| Land Acquisition |
| **Other:** |
| GWUDI program |

<table>
<thead>
<tr>
<th>Financial Information: IUP: 2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Set-Aside: $12.56 m (15.0%) Expended: $11.97 m (95.3%) Remaining: $0.59 m (4.7%)</td>
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</table>

<table>
<thead>
<tr>
<th>Financial Information: Governor's Report: 2008</th>
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</thead>
<tbody>
<tr>
<td>Set-Aside: $8.38 m (10.0%) Expended: $7.77 m (92.8%) Remaining: $0.61 m (7.3%)</td>
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### October 2010

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<table>
<thead>
<tr>
<th>DWSRF Set-Aside Spending</th>
<th>New Mexico</th>
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</thead>
<tbody>
<tr>
<td><strong>Comments</strong></td>
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</tr>
<tr>
<td>1. Develop public outreach; literature and events about regulations and the Capacity Development Program.</td>
<td></td>
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</table>
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### New York

<table>
<thead>
<tr>
<th>State Program</th>
<th>General Activities</th>
<th>Capacity Development Program</th>
<th>Other System Training</th>
<th>Circuit Riding/Site Visits</th>
<th>Rate Studies</th>
<th>DWSRF Help</th>
<th>Security Issues</th>
<th>SWP Efforts</th>
<th>Other</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Training and support of local health unit staff</td>
<td>Overseas contract providing circuit rider support to small systems</td>
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</tbody>
</table>

### Financial Information

- **IUP: 2008**
  - **State:** New York
  - **Financial Information:**
    - Set-aside: $20.47 m (3.6%)
    - Expended: $22.63 m (110.5%)
    - Remaining: $-2.15 m (-10.5%)
  - **Governor’s Report: 2008**
    - **Financial Information:**
      - Set-aside: $10.24 m (1.8%)
      - Expended: $11.14 m (108.8%)
      - Remaining: $-0.90 m (-8.8%)

### General Activities

- **Administrative & Technical Assistance (4% Set-Aside)**
  - General
  - X
- **Small System Technical Assistance (2% Set-Aside)**
  - General
  - X
- **State Program Management (10% Set-Aside)**
  - General
  - X
- **Local Assistance & Other State Programs (15% Set-Aside)**
  - General
  - No set-aside-specific information provided in state report
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

<table>
<thead>
<tr>
<th>State</th>
<th>North Carolina</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
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</thead>
<tbody>
<tr>
<td></td>
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<td>Financial Information:</td>
<td>Financial Information:</td>
<td>Financial Information:</td>
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<tr>
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<td></td>
<td>Set-aside: $7.42 m (4.0%)</td>
<td>Set-aside: $3.71 m (2.0%)</td>
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<td>Expended: $2.69 m (72.9%)</td>
<td>Expended: $10.98 m (72.3%)</td>
<td>Expended: $8.11 m (47.1%)</td>
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<td>Remaining: $2.07 m (27.9%)</td>
<td>Remaining: $1.02 m (27.5%)</td>
<td>Remaining: $4.21 m (27.7%)</td>
<td>Remaining: $9.12 m (52.9%)</td>
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<table>
<thead>
<tr>
<th>State Program</th>
<th>General</th>
<th>Effort: PWSS</th>
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<th>Effort: Capacity Development</th>
<th>Effort: Wellhead Protection</th>
<th>Effort: Capacity Development</th>
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<td>Other System Training</td>
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<td>Disadvantaged System Assistance</td>
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<td>Other Technical Assistance</td>
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<th>Effort: Wellhead Protection</th>
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October 2010

A-51
<table>
<thead>
<tr>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Investigate MCL exceedances; identify corrective actions.</td>
</tr>
<tr>
<td>2. Provide water system security assistance.</td>
</tr>
<tr>
<td>3. Software and hardware upgrades; maintenance of computer applications; data conversion; GPS/GIS work; data management.</td>
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</table>
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

<table>
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<th>State: North Dakota</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
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<tr>
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<td>Set-aside: $4.00 m (4.0%)</td>
<td>Set-aside: $1.68 m (1.7%)</td>
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<td>State Program Management (10% Set-Aside)</td>
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<td>Help develop and implement protection strategies.</td>
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<td>3</td>
<td>Delineate drinking water source protection areas; contaminant source inventories; susceptibility analyses.</td>
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### DWSRF Set-Aside Spending

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<th>Small System Technical Assistance (2% Set-Aside)</th>
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<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
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### State Program

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October 2010
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

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<td><strong>Conduct SWP loans</strong></td>
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<td><strong>Sanitary Surveys</strong></td>
<td><strong>Place source water assessment</strong></td>
<td><strong>Inspect SWPs</strong></td>
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<td><strong>Compliance Activities</strong></td>
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<td><strong>Investigating and resolving SNCs by</strong></td>
<td><strong>Work with SNCs</strong></td>
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<td><strong>Investigating and resolving SNCs by</strong></td>
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<td><strong>Capacity Development</strong></td>
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<td><strong>Inventoried and resolving SNCs by</strong></td>
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<td><strong>Public Education/Outreach</strong></td>
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<td><strong>Pilot Studies</strong></td>
<td><strong>Place source water assessment</strong></td>
<td><strong>Investigate SWPs</strong></td>
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<td><strong>System Partnerships</strong></td>
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<td><strong>Other Technical Assistance</strong></td>
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**Date:** October 2010
### Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

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<thead>
<tr>
<th>State</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
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<td>Remaining: $9.50 m (28.0%)</td>
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<tr>
<th>General Effort</th>
<th>Capability enhancement</th>
<th>Source Water Assessment and Protection</th>
<th>Source Water Protection Program</th>
<th>Capacity Development</th>
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<table>
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<table>
<thead>
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<th>Source Water Protection Program</th>
<th>Capacity Development</th>
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<tbody>
<tr>
<td>Effort</td>
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<table>
<thead>
<tr>
<th>Other</th>
<th>Capability enhancement</th>
<th>Source Water Assessment and Protection</th>
<th>Source Water Protection Program</th>
<th>Capacity Development</th>
</tr>
</thead>
</table>

**General Effort:**
- Capability enhancement

**State Program Effort:**
- Capability enhancement

**Capacity Development Effort:**
- Capability enhancement

**General Activities:**
- Capability enhancement

**DWSRF Help**
- Capability enhancement

**Security Issues**
- Capability enhancement

**SWP Efforts**
- Capability enhancement

**Other**
- Capability enhancement

---

**IUP: 2008**
- Financial Information: Set-aside: $11.24 m (4%)
- Expended: $9.38 m (83.5%)
- Remaining: $1.86 m (16.5%)

**Governor’s Report: 2008**
- Financial Information: Set-aside: $4.53 m (1.6%)
- Expended: $4.53 m (100.0%)
- Remaining: $0.00 m (0.0%)

**State Program**
- General Drinking Water Admin.
- DWSRF Administration
- Data Management
- Inspections
- Sanitary Surveys
- Compliance Activities
- Enforcement

**Capacity Development**
- Capacity Development Program
- Technical
- Managerial
- Financial

**Public Education/Outreach**
- Capability enhancement

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**October 2010**
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

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<tr>
<th>State</th>
<th>Puerto Rico</th>
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<tbody>
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<td>IUP: 2008</td>
<td><strong>Administrative &amp; Technical Assistance (4% Set-Aside)</strong></td>
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<tr>
<td></td>
<td>Set-aside: $3.53 m (3.0%)</td>
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<tr>
<td></td>
<td>Expended: $2.76 m (78.2%)</td>
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<tr>
<td></td>
<td>Remaining: $0.77 m (21.8%)</td>
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<tr>
<td></td>
<td><strong>Small System Technical Assistance (2% Set-Aside)</strong></td>
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<tr>
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<td>Set-aside: $2.08 m (1.8%)</td>
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<td>Expended: $1.27 m (61.3%)</td>
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<td>Remaining: $0.80 m (38.5%)</td>
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<td><strong>State Program Management (10% Set-Aside)</strong></td>
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<td>Set-aside: $0.23 m (0.2%)</td>
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<td>Remaining: $0.00 m (0.0%)</td>
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<td></td>
<td><strong>Local Assistance &amp; other State Programs (15% Set-Aside)</strong></td>
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<td>Set-aside: $1.26 m (1.1%)</td>
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<table>
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<td>Compliance Activities</td>
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</table>

| General Activities     |         |         |         |         |
| Public Education/Outreach |     |         |         |         |
| Operator Certification | X       |         |         |         |
| Other System Training  | X       |         |         |         |
| Circuit Riding/Site Visits |     |         |         |         |
| Rate Studies           |         |         |         |         |
| Pilot Studies          |         |         |         |         |
| Plant Optimization (AWOP) |     |         |         |         |
| Leak Detection/Water Efficiency/Energy Efficiency |     |         |         |         |
| System Partnerships    |         |         |         |         |
| Restructuring/Consolidation |   |         |         |         |
| Small System Assistance | X       |         |         |         |
| Disadvantaged System Assistance |         |         |         | X |
| Other Technical Assistance |     |         |         |         |

| DWSRF Help             |         |         |         |         |
| Loan Application Assistance |     |         |         |         |
| Planning/Design/Engineering Services |     |         |         | X |
| Security Issues        | ERP Assistance |         |         |         |
| VA Assistance          |         |         |         |         |
| SWP Efforts            | Source Water Protection & Mgmt |         |         | X |
|                        | Wellhead Protection & Mgmt |         |         |         |
|                        | Land Acquisition |         |         |         |
| Other                  |         |         |         |         |

October 2010
### Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

<table>
<thead>
<tr>
<th>State Program</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; Other State Programs (15% Set-Aside)</th>
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<td>Set-aside: $1.67 m (2.0%)</td>
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<td>Expended: $0.95 m (56.5%)</td>
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<td>Remaining: $0.73 m (43.7%)</td>
<td>Remaining: $1.67 m (21.8%)</td>
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<td>Source Water Protection &amp; Mgmt</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Security Issues</td>
<td>Wellhead Protection &amp; Mgmt</td>
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<tr>
<td>Issues</td>
<td>Land Acquisition</td>
<td></td>
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<tr>
<td>SWP Efforts</td>
<td>Equipment purchase for drinking water analysis at DOI lab</td>
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<tr>
<td></td>
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</table>

October 2010

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## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### State: South Carolina

<table>
<thead>
<tr>
<th>Financial Information:</th>
<th>State Program Capacity Development General Activities</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IUP, 2008</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Governor’s Report: 2008</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Financial Information:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Set-aside: $3.85 m (4.3%)</td>
<td>Administrative &amp; Technical Assistance (4% Set-Aside)</td>
<td>State Program Management (10% Set-Aside)</td>
<td>Local Assistance &amp; other State Programs (15% Set-Aside)</td>
</tr>
<tr>
<td>Expended: $2.60 m (67.5%)</td>
<td>Small System Technical Assistance (2% Set-Aside)</td>
<td>Financial Information:</td>
<td>Financial Information:</td>
</tr>
<tr>
<td>Remaining: $1.25 m (32.5%)</td>
<td>Financial Information:</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Financial Information:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Expended: $1.22 m (76.3%)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Remaining: $0.38 m (23.9%)</td>
<td></td>
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<tr>
<td></td>
<td>Expended: $1.25 m (65.2%)</td>
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</tr>
<tr>
<td></td>
<td>Remaining: $0.67 m (35.1%)</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>Expended: $1.64 m (86.9%)</td>
<td></td>
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<tr>
<td></td>
<td>Remaining: $0.25 m (13.1%)</td>
<td></td>
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</tbody>
</table>

### State Program

- **General**
  - No set-aside-specific information provided in state report
- **Effort: General**
- **Effort: Wellhead Protection Program**

### Capacity Development

- **Staff**
- **General Drinking Water Admin.**
- **DWSRF Administration**
- **Data Management**
- **Inspections**
- **Sanitary Surveys**
- **Compliance Activities**
- **Enforcement**

### State Program Capacity Development General Activities

- **Capacity Development Program**
- **Technical**
- **Managerial**
- **Financial**

### General Activities

- **Public Education/Outreach**
- **Operator Certification**
- **Other System Training**
- **Circuit Riding/Site Visits**
- **Rate Studies**
- **Pilot Studies**
- **Plant Optimization (AWOP)**
- **Leak Detection/Water Efficiency/Energy Efficiency**
- **System Partnerships**
- **Restructuring/Consolidation**
- **Small System Assistance**
- **Disadvantaged System Assistance**
- **Other Technical Assistance**

### DWSRF Help

- **Loan Application Assistance**
- **Planning/Design/Engineering Services**

### Security Issues

- **ERP Assistance**
- **VA Assistance**

### SWP Efforts

- **Source Water Protection & Mgmt**
- **Wellhead Protection & Mgmt**
- **Land Acquisition**

### October 2010

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<table>
<thead>
<tr>
<th></th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Track compliance with Operating Permit requirements; new department-wide computer tracking system: EFIS.</td>
</tr>
<tr>
<td>2</td>
<td>Issue 150-200 Operating Permits annually until complete; track compliance; annual reports to EPA.</td>
</tr>
<tr>
<td>State Program</td>
<td>Administrative &amp; Technical Assistance (4% Set-Aside)</td>
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<tr>
<td>---------------</td>
<td>-----------------------------------------------------</td>
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<tr>
<td>Governor's Report: 2008</td>
<td>Financial Information: Set-Aside: $4.00 m (4.0%) Expended: $3.04 m (75.9%) Remaining: $0.96 m (24.0%)</td>
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<tr>
<td>General</td>
<td>General</td>
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<tr>
<td>Capacity Development Program</td>
<td>Capacity Development Program</td>
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<tr>
<td>General Activities</td>
<td>Public Education/Outreach</td>
</tr>
<tr>
<td></td>
<td>Operator Certification</td>
</tr>
<tr>
<td></td>
<td>Other System Training</td>
</tr>
<tr>
<td></td>
<td>Circuit Riding/Site Visits</td>
</tr>
<tr>
<td></td>
<td>Rate Studies</td>
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<tr>
<td></td>
<td>Pilot Studies</td>
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<td></td>
<td>Plant Optimization (AWOP)</td>
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<tr>
<td></td>
<td>Leak Detection/Water Efficiency/Energy Efficiency</td>
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<td>System Partnerships</td>
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<td>Restructuring/Consolidation</td>
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<td>Small System Assistance</td>
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<tr>
<td></td>
<td>Disadvantaged System Assistance</td>
</tr>
<tr>
<td></td>
<td>Other Technical Assistance</td>
</tr>
<tr>
<td>DWSRF Help</td>
<td>Loan Application Assistance</td>
</tr>
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<td></td>
<td>Planning/Design/Engineering Services</td>
</tr>
<tr>
<td>Security Issues</td>
<td>ERP Assistance</td>
</tr>
<tr>
<td></td>
<td>VA Assistance</td>
</tr>
<tr>
<td>SWP Efforts</td>
<td>Source Water Protection &amp; Mgmt</td>
</tr>
<tr>
<td></td>
<td>Wellhead Protection &amp; Mgmt</td>
</tr>
<tr>
<td></td>
<td>Land Acquisition</td>
</tr>
<tr>
<td>Other</td>
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</table>
### Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

**State:** Tennessee

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Financial Information:</td>
<td>Financial Information:</td>
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<tr>
<td>Set-aside: $4.05 m (3.9%)</td>
<td>Set-aside: $2.02 m (2.0%)</td>
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<tr>
<td>Expended: $4.07 m (100.5%)</td>
<td>Expended: $1.95 m (96.4%)</td>
</tr>
<tr>
<td>Remaining: $-0.02 m (-0.5%)</td>
<td>Remaining: $0.07 m (3.5%)</td>
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<table>
<thead>
<tr>
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<th>General</th>
<th>General</th>
<th>Effort: Wellhead Protection</th>
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<tbody>
<tr>
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<tr>
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<td>X</td>
<td></td>
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</tr>
<tr>
<td>Data Management</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Inspections</td>
<td>X</td>
<td></td>
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</tr>
<tr>
<td>Sanitary Surveys</td>
<td>X</td>
<td></td>
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<tr>
<td>Compliance Activities</td>
<td>X</td>
<td></td>
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</tr>
<tr>
<td>Enforcement</td>
<td>X</td>
<td></td>
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</tr>
<tr>
<td>Capacity Development Program</td>
<td>X</td>
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</tr>
<tr>
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<tr>
<td>Other System Training</td>
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<tr>
<td>Circuit Riding/ Site Visits</td>
<td>X</td>
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</tr>
<tr>
<td>Rate Studies</td>
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<tr>
<td>Pilot Studies</td>
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<td>Plant Optimization (AWOP)</td>
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<tr>
<td>Leak Detection/Water Efficiency/Energy Efficiency</td>
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<tr>
<td>System Partnerships</td>
<td>X</td>
<td></td>
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</tr>
<tr>
<td>Restructuring/Consolidation</td>
<td>X</td>
<td></td>
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<tr>
<td>Small System Assistance</td>
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<td>Disadvantaged System Assistance</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Other Technical Assistance</td>
<td>X</td>
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<tr>
<td>Loan Application Assistance</td>
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<td></td>
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<tr>
<td>Planning/Design/Engineering Services</td>
<td>X</td>
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</tr>
<tr>
<td>ERP Assistance</td>
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<tr>
<td>VA Assistance</td>
<td>X</td>
<td></td>
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<tr>
<td>Source Water Protection &amp; Mgmt</td>
<td>X</td>
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<tr>
<td>Wellhead Protection &amp; Mgmt</td>
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<td>Land Acquisition</td>
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<tr>
<td>Pharmaceutical and personal care product sampling</td>
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**October 2010**

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## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

<table>
<thead>
<tr>
<th>State</th>
<th>Texas</th>
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<tbody>
<tr>
<td><strong>DWSRF Set-Aside Spending</strong></td>
<td><strong>Administrative &amp; Technical Assistance (4% Set-Aside)</strong></td>
</tr>
<tr>
<td>IUP: 2008</td>
<td>Financial Information: Set-aside: $19.24 m (2.8%)</td>
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<td>Governor’s Report: 2008</td>
<td>Expended: $17.36 m (90.2%) Remaining: $1.88 m (9.8%)</td>
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### State Program

<table>
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<tr>
<th>General</th>
<th>General</th>
<th>Effort: PWS Program management</th>
<th>Effort: Source Water Protection</th>
<th>Effort: Capacity Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff</td>
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<tr>
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<tr>
<td>DWSRF Administration</td>
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<tr>
<td>Data Management</td>
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<tr>
<td>Inspections</td>
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<tr>
<td>Sanitary Surveys</td>
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<tr>
<td>Compliance Activities</td>
<td></td>
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<tr>
<td>Enforcement</td>
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### Capacity Development

<table>
<thead>
<tr>
<th>General Activities</th>
<th>Effort: Source Water Protection</th>
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<tbody>
<tr>
<td>Capacity Development Program</td>
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<tr>
<td>Technical</td>
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<tr>
<td>Managerial</td>
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<tr>
<td>Financial</td>
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### General Activities

<table>
<thead>
<tr>
<th>General Activities</th>
<th>Effort: Source Water Protection</th>
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</thead>
<tbody>
<tr>
<td>Public Education/Outreach</td>
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<tr>
<td>Operator Certification</td>
<td>X</td>
</tr>
<tr>
<td>Other System Training</td>
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<tr>
<td>Circuit Riding/Site Visits</td>
<td>Investigate complaints of PWSs</td>
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<tr>
<td>Rate Studies</td>
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<tr>
<td>Pilot Studies</td>
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<tr>
<td>Plant Optimization (AWOP)</td>
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<tr>
<td>Leak Detection/Water Efficiency/Energy Efficiency</td>
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<tr>
<td>System Partnerships</td>
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<tr>
<td>Restructuring/Consolidation</td>
<td>X</td>
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<tr>
<td>Small System Assistance</td>
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<tr>
<td>Disadvantaged System Assistance</td>
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</tr>
<tr>
<td>Other Technical Assistance</td>
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### DWSRF Help

<table>
<thead>
<tr>
<th>General Activities</th>
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<tr>
<td>Loan Application Assistance</td>
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<tr>
<td>Planning/Design/Engineering Services</td>
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<tr>
<td>ERP Assistance</td>
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<td>VA Assistance</td>
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<td>Source Water Protection &amp; Mgmt</td>
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<td>Wellhead Protection &amp; Mgmt</td>
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<td>Land Acquisition</td>
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### Security Issues

<table>
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### SWP Efforts

<table>
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<th>General Activities</th>
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### Other

See comment 1.
## DWSRF Set-Aside Spending

### Texas

<table>
<thead>
<tr>
<th>Comments</th>
</tr>
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<tbody>
<tr>
<td>1. Enter into joint funding agreement with USGS to establish baseline pesticide levels in public drinking water sources.</td>
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</tbody>
</table>
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

<table>
<thead>
<tr>
<th>State</th>
<th>Utah</th>
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<tbody>
<tr>
<td><strong>DWSRF Set-Aside Spending</strong></td>
<td><strong>Financial Information:</strong> Set-aside: $3.67 m (4.0%)&lt;br&gt;Expended: $2.46 m (67.1%)&lt;br&gt;Remaining: $1.21 m (33.0%)</td>
</tr>
<tr>
<td><strong>Governor's Report: 2008</strong></td>
<td><strong>Financial Information:</strong> Set-aside: $3.41 m (3.7%)&lt;br&gt;Expended: $2.96 m (86.9%)&lt;br&gt;Remaining: $0.45 m (13.2%)</td>
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<td><strong>State Program Effort:</strong> PWSS</td>
<td><strong>Effort: PWSS:</strong> 16 FTEs</td>
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<tr>
<td><strong>State Program Capacity Development General Activities</strong></td>
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<tr>
<td><strong>General Activities</strong></td>
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<td><strong>General Drinking Water Admin.</strong></td>
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<tr>
<td><strong>DWSRF Administration</strong></td>
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<tr>
<td><strong>Data Management</strong></td>
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<td><strong>Inspections</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Sanitary Surveys</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Compliance Activities</strong></td>
<td>X</td>
</tr>
<tr>
<td><strong>Enforcement</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Capacity Development Program Effort</strong></td>
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</tr>
<tr>
<td><strong>Effort: Capacity Development Program</strong></td>
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</tr>
<tr>
<td><strong>General</strong></td>
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</tr>
<tr>
<td><strong>Technical</strong></td>
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<tr>
<td><strong>Managerial</strong></td>
<td>X</td>
</tr>
<tr>
<td><strong>Financial</strong></td>
<td>X</td>
</tr>
<tr>
<td><strong>Public Education/Outreach</strong></td>
<td>Quarterly newsletter; developing Consumer Confidence Reports</td>
</tr>
<tr>
<td><strong>Operator Certification</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Other System Training</strong></td>
<td>See comment 1</td>
</tr>
<tr>
<td><strong>Circuit Riding/Site Visits</strong></td>
<td>On-site assistance including computer support for systems serving &lt;3,300</td>
</tr>
<tr>
<td><strong>Rate Studies</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Pilot Studies</strong></td>
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</tr>
<tr>
<td><strong>Plant Optimization (AWOP)</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Leak Detection/Water Efficiency/Energy Efficiency</strong></td>
<td></td>
</tr>
<tr>
<td><strong>System Partnerships</strong></td>
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</tr>
<tr>
<td><strong>Reconstructing/Consolidation</strong></td>
<td></td>
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<tr>
<td><strong>Small System Assistance</strong></td>
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<td><strong>Disadvantaged System Assistance</strong></td>
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<tr>
<td><strong>Other Technical Assistance</strong></td>
<td>See comment 2</td>
</tr>
<tr>
<td><strong>Other Program Effort</strong></td>
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<td><strong>Financial and managerial audits for targeted systems</strong></td>
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<td><strong>Local Assistance &amp; other State Programs</strong></td>
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<td><strong>Financial Information:</strong> Set-aside: $3.41 m (3.7%)&lt;br&gt;Expended: $2.96 m (86.9%)&lt;br&gt;Remaining: $0.45 m (13.2%)</td>
<td><strong>Financial Information:</strong> Set-aside: $8.97 m (9.8%)&lt;br&gt;Expended: $7.10 m (79.2%)&lt;br&gt;Remaining: $1.87 m (20.8%)</td>
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<td>DWSRF Set-Aside Spending</td>
<td>Comments</td>
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<td>-------------------------</td>
<td>---------</td>
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<tr>
<td><strong>Utah</strong></td>
<td></td>
</tr>
<tr>
<td><strong>1</strong></td>
<td>Training for system boards and councils; computer training for water system personnel serving &lt;3,300; help water system personnel understand and develop Consumer Confidence Reports; onsite training for systems.</td>
</tr>
<tr>
<td><strong>2</strong></td>
<td>Assist systems serving &lt;10,000 in preparing management, conservation, financial, capital improvement, sampling, cross connection control plans, and financial/management audits.</td>
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</tbody>
</table>
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### Vermont

#### Financial Information:
- Set-aside: $3.67 m (4.1%)
- Expended: $3.34 m (91.0%)
- Remaining: $0.33 m (9.0%)
- Set-aside: $1.84 m (2.0%)
- Expended: $1.32 m (72.1%)
- Remaining: $0.51 m (27.7%)
- Set-aside: $7.53 m (8.4%)
- Expended: $5.39 m (71.5%)
- Remaining: $2.15 m (28.6%)

### Effort:
- **Land Acquisition and Conservation Easement Loan Program**
- **Voluntary Source Water Protection Loan Program**
- **Wellhead Protection Program**
- **Technical and Financial Capacity Implementation**

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### Governor’s Report 2005

- Financial Information: Set-aside: $6.90 m (7.7%)
- Expended: $5.75 m (83.4%)
- Remaining: $1.15 m (16.7%)

### Capacity Development

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### Other

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### DWSRF Set-Aside Spending

#### Vermont

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<tr>
<td><strong>1</strong> Adoption and implementation of new regulations; engineering and construction supervision; compliance supervision.</td>
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<td><strong>2</strong> Review and approval of source protection plans; create and review source water assessments.</td>
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## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### Virginia

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### Financial Information:

- **Set-Aside: $6.08 m (4.0%)**
  - Expended: $5.44 m (89.6%)
  - Remaining: $0.63 m (10.3%)

- **Set-Aside: $2.05 m (1.4%)**
  - Expended: $1.96 m (95.7%)
  - Remaining: $0.09 m (4.4%)

- **Set-Aside: $7.77 m (5.1%)**
  - Expended: $6.75 m (86.9%)
  - Remaining: $1.02 m (13.1%)

- **Set-Aside: $7.34 m (4.9%)**
  - Expended: $5.95 m (81.1%)
  - Remaining: $1.39 m (18.9%)

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October 2010
### DWSRF Set-Aside Spending

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<tbody>
<tr>
<td><strong>Comments</strong></td>
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<tr>
<td>1. Consolidate regulatory oversight of TNCs under Office of Drinking Water (vs. local departments of health).</td>
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<tr>
<td>2. Assist systems with implementation of new federal rules.</td>
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<tr>
<td>3. Contract with Virginia Tech to conduct Waterworks Operators Short Courses and Class VI Operators Short Courses.</td>
</tr>
<tr>
<td>4. Funds will support distance learning at Mountain Empire Community College (manage Web site, scholarships, etc.).</td>
</tr>
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<td>5. New effort will help owners upgrade aged waterlines.</td>
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## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### Financial Information:

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<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
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<td>Wellhead Protection &amp; Mgmt</td>
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</table>
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### West Virginia

#### Governor’s Report: 2008

<table>
<thead>
<tr>
<th>DWSRF Set-Aside Spending</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
<th>Local Assistance &amp; other State Programs (15% Set-Aside)</th>
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<tr>
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<td>Financial Information:</td>
<td>Financial Information:</td>
<td>Financial Information:</td>
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<td>Set-aside: $3.04 m (3.6%)</td>
<td>Set-aside: $1.66 m (2.0%)</td>
<td>Set-aside: $7.60 m (9.1%)</td>
<td>Set-aside: $10.29 m (12.3%)</td>
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<tr>
<td></td>
<td>Expended: $2.26 m (74.4%)</td>
<td>Expended: $1.56 m (94.3%)</td>
<td>Expended: $10.24 m (134.8%)</td>
<td>Expended: $6.98 m (67.8%)</td>
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<tr>
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<td>Remaining: $0.78 m (25.7%)</td>
<td>Remaining: $0.09 m (5.8%)</td>
<td>Remaining: $2.65 m (-34.9%)</td>
<td>Remaining: $3.32 m (32.8%)</td>
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</table>

#### Capacity Development

- **Staff**
  - General Drinking Water Admin.
  - DWSRF Administration
- **Data Management**
- **Inspections**
- **Sanitary Surveys**
- **Compliance Activities**
- **Enforcement**

#### General Activities

- **Public Education/Outreach**
- **Operator Certification**
- **Other System Training**
- **Circuit Riding/Site Visits**
- **Rate Studies**
- **Pilot Studies**
- **Plant Optimization (AWOP)**
- **Tank Detection/Water Efficiency/Energy Efficiency**
- **System Partnerships**
- **Restructuring/Consolidation**
- **Small System Assistance**
- **Disadvantaged System Assistance**
- **Other Technical Assistance**

#### DWSRF Help

- **Loan Application Assistance**
- **Planning/Design/Engineering Services**

#### Security Issues

- **ERP Assistance**
- **VA Assistance**

#### SWP Efforts

- **Source Water Protection & Mgmt**
- **Wellhead Protection & Mgmt**
- **Land Acquisition**

### October 2010
## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

<table>
<thead>
<tr>
<th>State Program Spending</th>
<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
<th>Small System Technical Assistance (2% Set-Aside)</th>
<th>State Program Management (10% Set-Aside)</th>
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<td>Set-aside: $5.21 m (2.9%) Expended: $4.25 m (81.6%) Remaining: $0.96 m (18.4%)</td>
<td>Set-aside: $3.37 m (1.9%) Expended: $3.03 m (89.9%) Remaining: $0.34 m (10.1%)</td>
<td>Set-aside: $8.40 m (4.7%) Expended: $5.00 m (59.5%) Remaining: $3.40 m (40.5%)</td>
<td>Set-aside: $5.50 m (3.1%) Expended: $5.50 m (100.0%) Remaining: $0.00 m (0.0%)</td>
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<td>General</td>
<td>General</td>
<td>Effort: Wellhead Protection (WHP)</td>
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### State Program

- **Staff**
- **General Drinking Water Admin.**
- **DWSRF Administration**
- **Data Management**
- **Inspections**
- **Sanitary Surveys**
- **Compliance Activities**
- **Enforcement**

### Capacity Development

- **Capacity Development Program**
- **Technical**
- **Managerial**
- **Financial**

### General Activities

- **Public Education/Outreach**
- **Operator Certification**
- **Other System Training**
- **Circuit Riding/ Site Visits**
- **Rate Studies**
- **Pilot Studies**
- **Plant Optimization (AWOP)**
- **Leak Detection/Water Efficiency/ Energy Efficiency**
- **System Partnerships**
- **Restructuring/ Consolidation**
- **Small System Assistance**
- **Disadvantaged System Assistance**
- **Other Technical Assistance**

### DWSRF Help

- **Loan Application Assistance**
- **Planning/ Design/ Engineering Services**

### Security Issues

- **ERP Assistance**
- **VA Assistance**

### SWP Efforts

- **Source Water Protection & Mgmt**
- **Wellhead Protection & Mgmt**
- **Land Acquisition**

### Other

- Equipment upgrades

---

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## Analysis of the Use of Drinking Water State Revolving Fund Set-Asides: Promoting System Sustainability

### Wyoming State Revolving Fund Set-Aside Spending

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<th>Administrative &amp; Technical Assistance (4% Set-Aside)</th>
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<td>Remaining: $2.16 m (58.9%)</td>
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# Appendix B

## U.S. EPA - DWSRF Regional Contact Information

<table>
<thead>
<tr>
<th>Region 1</th>
<th>Region 6</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 Post Office Square, Suite 100</td>
<td>1445 Ross Avenue</td>
</tr>
<tr>
<td>Boston, MA 02109</td>
<td>Dallas, TX 75202</td>
</tr>
<tr>
<td><em>Mark Spinale (CT, NH, RI)</em></td>
<td><em>Javier Balli</em></td>
</tr>
<tr>
<td><em>(617) 918-1547</em></td>
<td><em>(214) 665-7261</em></td>
</tr>
<tr>
<td><em>James Bourne (MA)</em></td>
<td></td>
</tr>
<tr>
<td><em>(617) 918-1610</em></td>
<td></td>
</tr>
<tr>
<td><em>Josh Nemzer (ME)</em></td>
<td></td>
</tr>
<tr>
<td><em>(617) 918-1961</em></td>
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</tr>
<tr>
<td><em>Olga Vergara (VT)</em></td>
<td></td>
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<tr>
<td><em>(617) 918-1519</em></td>
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<tbody>
<tr>
<td>290 Broadway</td>
<td>901 North 5th Street</td>
</tr>
<tr>
<td>New York, NY 10007</td>
<td>Kansas City, KS 66101</td>
</tr>
<tr>
<td><em>Alicia Suarez (NJ, NY)</em></td>
<td><em>Rao Surampalli</em></td>
</tr>
<tr>
<td><em>(212) 637-3851</em></td>
<td><em>(913) 551-7453</em></td>
</tr>
<tr>
<td><em>Alex Rivera (PR)</em></td>
<td></td>
</tr>
<tr>
<td><em>(787) 977-5845</em></td>
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<thead>
<tr>
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<tr>
<td>1650 Arch Street</td>
<td>1595 Wynkoop Street</td>
</tr>
<tr>
<td>Philadelphia, PA 19103</td>
<td>Denver, CO 80202</td>
</tr>
<tr>
<td><em>Mary T. Brewster</em></td>
<td><em>Karin Tatum (CO, MT, ND, SD, WY)</em></td>
</tr>
<tr>
<td><em>(215) 814-5456</em></td>
<td><em>(303) 312-7823</em></td>
</tr>
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<table>
<thead>
<tr>
<th>Region 4</th>
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<tbody>
<tr>
<td>61 Forsyth Street</td>
<td>75 Hawthorne Street</td>
</tr>
<tr>
<td>Atlanta, GA 30303</td>
<td>San Francisco, CA 94105</td>
</tr>
<tr>
<td><em>Sheryll Parsons (FL, NC, KY, SC)</em></td>
<td><em>José T. Caratini</em></td>
</tr>
<tr>
<td><em>(404) 562-9337</em></td>
<td><em>(415) 972-3566</em></td>
</tr>
<tr>
<td><em>Carl Biemiller (AL, GA, TN, MS)</em></td>
<td></td>
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<tr>
<td><em>(404) 562-9341</em></td>
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<table>
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<tr>
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<tr>
<td>77 W. Jackson Blvd.</td>
<td>1200 Sixth Avenue</td>
</tr>
<tr>
<td>Chicago, IL 60604</td>
<td>Seattle, WA 98101</td>
</tr>
<tr>
<td><em>Gerry Bakker</em></td>
<td><em>Rick Green</em></td>
</tr>
<tr>
<td><em>(312) 886-0177</em></td>
<td><em>(206) 553-8504</em></td>
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