

DEC 16 1998

**MEMORANDUM**

SUBJECT: Guidance for 1999 National Wastewater Operations and Maintenance (O&M) Excellence Awards Program

FROM: Gary W. Hudiburgh, Chief  
Municipal Assistance Branch *15/*

TO: Water Quality Branch Managers (Regions I-X)

This memorandum provides the Office of Wastewater Management's (OWM) nomination guidance for the Environmental Protection Agency's (EPA) 1999 Operations and Maintenance (O&M) Awards program. Attached are instructions for the Regional O&M Awards Managers, and the national Award Applicants. Nominations for national O&M awards should be received in headquarters by **Friday, May 21, 1999**.

Section 501(e) of the Clean Water Act authorizes the EPA to develop and implement a recognition program for municipalities and industries that demonstrate outstanding technological achievements or innovative processes, methods or devices in their waste treatment and pollution abatement programs. Recognition is made through the EPA's National Wastewater Management Excellence Awards program. The awards application process is approved by OMB in accordance with the Paperwork Reduction Act requirements through December 31, 2000.

The EPA's National Wastewater Management Excellence Awards presentation will be at the Water Environment Federation (WEF) Conference in New Orleans, Louisiana, from Saturday, October 9, to Wednesday, October 13, 1999. The national awards presentation is scheduled for Monday, October 11, 1999. We realize October 11, is a national holiday (Columbus Day) for Federal and some State government agencies.

On behalf of the EPA, national first and second place wastewater management excellence awards are presented for Operations and Maintenance (O&M), Beneficial Use of Biosolids, Pretreatment Management, Storm Water Management, and Combined Sewer Overflow Controls. The awards materials include a certificate and engraved plaque with the Administrator's inscribed signature and first place award winners also receive a plant flag.

The Regional O&M Manager's Guidance is Attachment I which contains instructions for the Regional O&M Managers; the EPA/State nomination/award procedure and national schedule; the Regional O&M Manager's application checklist form which provides the opportunity for the Regional O&M Manager to describe events that the plant overcame, or noteworthy cost savings

supporting the outstanding/innovative designation; and, the Regional Manager's nomination form. Regional Managers may also provide information on outstanding activities that support the reduction of pollutant discharges from key point and nonpoint sources, if it is provided by the applicant. This information could be useful to help measure the success of the Agency's goal by 2005 to attain a 20% reduction of pollutant discharges from key point sources and non-point source runoff from 1992 levels.

Attachment II is the Applicant's Guidance which contains instructions for the applicant; the national awards eligibility criteria; and the information for inclusion in the application package, i.e., the questionnaire and narrative format; forms (plant compliance, cash flow summary, plant layout, and service area); and, captioned photographic prints depicting innovative/outstanding work, processes, or achievements. Please note that Storm Water Controls is added to the list of recommended O&M topics for responding to Part IX. Also requested is essential National Pollutant Discharge Elimination System (NPDES) permit information which includes the State's authorization letter, the conventional (pH, BOD, TSS, O&G, Fecal Coliform) limitations, any advanced treatment limitations, and any unusual discharge constraints.

Each Region may nominate one facility for each of the following plant award categories: Small Secondary, Medium Secondary, Large Secondary, Small Advanced, Medium Advanced, Large Advanced, Small Non-Discharging, Large Non-Discharging, and Most Improved Plant (MIP). MIP nominations demonstrate the effectiveness of the CWA Section 104(g)(1) program and applications are encouraged from all regions. Headquarters (HQ) presents first and second place national O&M awards in each plant award category.

States, Regions, and HQ each have their own unique review processes and historically review extensive supporting data. Because of their extensive reviews, HQ's extensive review of this supporting data is redundant and unnecessary.

As usual, we would like to keep the number of pages in the national nomination package to no more than 30 pages. The package should only contain the requested: manager's application checklist form; manager's nomination form; applicant's completed questionnaire, narratives and forms; applicant's captioned photographic prints; and essential NPDES permit information.

HQ would also like to ensure that we have diversity in the nation's O&M programs. Accordingly, we restrict national nominations to plants which have not won a national first place award within the last five years, nor a national second place award within the last three years. A publication which includes a history of the O&M awards program and a compilation of the annual national winners is currently being developed and will be available for your use.

An electronic version of the questionnaire and forms are also being sent to each Regional O&M Manager. The Regional O&M Managers are encouraged to distribute copies of the questionnaire and awards program information to State Managers, Native American Tribal Nations, municipalities, US military commands, and other appropriate institutions and professional groups. General information regarding the EPA's National Wastewater Management Excellence Awards program is accessible via Internet at <http://www.epa.gov/owm/muni.htm>.

Maria Campbell is the O&M Awards Program Manager. If you have any questions about the guidance, please call her at 202-260-5815.

#### Attachments

cc: Regional O&M Awards Managers  
Michael Cook, Director, OWM  
Michael Quigley, Director, Municipal Support Division  
James Pendergast, Director, Permits Division

**GUIDANCE FOR**  
**U.S. ENVIRONMENTAL PROTECTION AGENCY'S**  
**1999 OPERATIONS & MAINTENANCE (O&M)**  
**EXCELLENCE AWARDS**

ATTACHMENT I - O&M Awards Manager's Guidance and Forms

ATTACHMENT II - Applicant's Guidance, Questionnaire Format,  
and Forms

U.S. Environmental Protection Agency  
Office of Wastewater Management  
Municipal Assistance Branch (4204)

**December 1998**

**O&M AWARDS  
GUIDANCE FOR  
REGIONAL/STATE O&M AWARDS MANAGERS**

**U.S. ENVIRONMENTAL PROTECTION AGENCY'S  
1999 OPERATIONS & MAINTENANCE  
EXCELLENCE AWARDS**

U.S. Environmental Protection Agency  
Office of Wastewater Management  
Municipal Assistance Branch (4204)

**December 1998**

## 1999 USEPA O&M AWARDS PROGRAM Manager's Guidance

### Background

The objectives of the Operations and Maintenance (O&M) Excellence Awards Program are: to sensitize the public about the contributions that publicly owned wastewater treatment facilities make to clean water, to encourage public support for effective O&M, sewer use, and user charge systems, and to recognize communities that continue to meet permit requirements from outstanding O&M practices. Since 1986, the O&M Awards program has provided recognition to these plants.

When the O&M Awards Program began in 1986, EPA offered national first place awards in six categories: small, medium and large in both secondary and advanced treatment plant categories. In 1988, EPA expanded the O&M Awards Program by adding small and large non-discharging categories, and second place awards. In 1990, EPA added the Most Improved Plant category (MIP).

The O&M Awards program is one of five awards programs currently managed under the National Wastewater Management Excellence Awards Program (National Awards Program). The National Awards Program consists of the O&M, Beneficial Biosolids Use, Pretreatment Management, Storm Water Management, and Combined Sewer Overflow Management Awards Programs.

### EPA HQ Award Selection Procedures

The national O&M Awards panel will convene soon after the ***Friday, May 21st*** submission deadline. The national O&M panelists will be selected from lists prepared by Environmental Protection Agency (EPA), Water Environment Federation (WEF), the Association of State and Interstate Water Pollution Control Administrators (ASIWPCA) and other groups. Panelists will consider: demonstrated evidence of and achievements resulting from innovative and outstanding O&M programs and management, continual high levels of effluent compliance, cost and safety improvements, and the apparent difficulty to operating the plant.

The panel will recommend first and second place winners for each of the categories. EPA will complete an environmental compliance review and winners will be invited to attend the awards ceremony on ***October 11th*** at the WEF Conference in ***New Orleans, Louisiana***.

### EPA Regional Nomination Procedures

Regions are encouraged to select Regional O&M Award winners in: the Most Improved Plant category, the Non-Discharging categories, and the sized based, treatment level categories. Regions may nominate one candidate per national O&M Awards category.

## **1999 USEPA O&M AWARDS PROGRAM**

### **Manager's Guidance**

Regions should use an appropriate Regional process in selecting their national nominees. We strongly encourage that Regions solicit State wastewater regulatory agencies, WEF local associations, Native American Tribal Nations, State and Federal wastewater facilities, US military commands, Environmental Training Centers, and other appropriate institutions and professional groups for category candidates.

Regions should ensure that nominations forwarded to Headquarters (HQ) are currently in compliance with all EPA and State environmental permits and administrative orders (air, wastewater, biosolids, groundwater, storm water, combined sewer overflow, separate sanitary sewer and overflows, etc); are nominated in the appropriate category; have demonstrated outstanding or innovative O&M practices; have completed the questionnaire and forms; and have included captioned photographic prints and essential National Pollutant Discharge Elimination System (NPDES) information.

Regions are responsible for forwarding the nomination package, for receipt by ***Friday, May 21, 1999*** to:

Maria E. Campbell, O&M Awards Program Manager  
USEPA (4204), 401 M St SW, Washington, DC 20460.

#### State Nomination Review Procedures

The State O&M Award Managers are strongly encouraged to develop a State O&M award procedure which provides public recognition for State nominees/winners and is consistent with the Regional/national awards program. States are encouraged to widely publicize this awards program and to request applications from appropriate facilities. In their nomination process, States should equally consider facilities who have applied without State encouragement as facilities who have applied as the result of encouragement by the State or professional trade organizations.

States are encouraged to solicit applicants for each of the Regional award categories based on State O&M award procedures which should be consistent with EPA guidelines. Applicants should be solicited from WEF local associations, Native American Tribal Nations, State and Federal wastewater facilities including US military commands, Environmental Training Centers, and other appropriate institutions and professional groups.

States should ensure that their Regional O&M Award nominees meet the minimum criteria to be a Regional winner. The State must verify the category and the acceptability of the applicant's compliance record before nominating the applicant for a Regional award. Each nomination should be accompanied by the completed questionnaire and supporting forms.

**1999 USEPA O&M AWARDS  
Manager's Guidance**

**SCHEDULE**

<u>Activity</u>	<u>Completion Framework</u>
o Headquarters transmits O&M Excellence Awards guidance and information to Regional Offices.	Dec 1998
o Regional Offices forward awards program guidance to States and Tribes, and request them to initiate process with appropriate communities.	Dec/Jan 99
o Applicants submit application packages to States and Tribes.	Jan/Feb 99
o States and Tribes provide Regional nominees and submit nominee background to Regional Offices.	Mar/Apr 99
o Regional Offices review applicants and make national nominations.	Apr/May 99
o Regional Offices transmit national nominees to Headquarters.	May 21, 1999
o National Selection Panel reviews all nominations and recommends list of winners.	May/Jun 99
o Assistance Administrator notifies Regional Administrator, Congress, and others that O&M and other wastewater management excellence awardees will be invited to attend ceremony.	Jul/Aug 99
o Assistant Administrator and OWM Office Director recognize national awardees at WEF Conference.	Oct 11, 1999

**1999 USEPA O&M AWARDS  
Manager's Application Checklist Form**

Plant Name \_\_\_\_\_

**(SHOULD BE CONSISTENT WITH THE APPLICANT'S QUESTIONNAIRE)**

**I. APPLICATION REVIEW**

\_\_\_\_\_ Parts I through VII of Questionnaire are completed in full and included in the package.

\_\_\_\_\_ Parts VIII and IX of Questionnaire (narratives) are included in the package. Five topics should be submitted.

\_\_\_\_\_ If applying for the Most Improved Plant Category, Part X of Questionnaire must be completed in full. Part IX, which contains the trainer's narrative, must also be included in the package.

\_\_\_\_\_ Plant Compliance Forms (two years) are completed and included in the package.

\_\_\_\_\_ Cash Flow Summary Form is completed and included in the package.

\_\_\_\_\_ Plant Layout is completed with a sketch and written description of the existing plant treatment process and is included in the package.

\_\_\_\_\_ Service Area Layout is completed and included in the package.

\_\_\_\_\_ Captioned photographic prints as specified are included in the package.

\_\_\_\_\_ Essential NPDES permit information is included in the package.

**II. NOMINATION REVIEW**

\_\_\_\_\_ Manager's Nomination Form and Application Checklist are completed and included in the applicant's package.

Describe any unusual, complex, challenging, man made, or natural event of the last five years that the applicant overcame, or cost savings achieved that supports this nomination of an outstanding, unique or innovative plant. You may also describe any outstanding activities that support the reduction of pollutant loadings from point source and nonpoint sources, if the information is provided by the applicant.

\_\_\_\_\_

\_\_\_\_\_

**1999 USEPA O&M AWARDS  
Manager's Nomination Form**

**I. CATEGORY AND COMPLIANCE CERTIFICATION**

A. Plant Name \_\_\_\_\_  
**(SHOULD BE CONSISTENT WITH THE APPLICANT'S QUESTIONNAIRE)**

B. Region \_\_\_\_\_/State \_\_\_\_\_

C. Approved Nomination Category \_\_\_\_\_ (based on  
average design flow/treatment level)  
**(MUST BE CONSISTENT WITH NPDES PERMIT LIMITS AND FLOW)**

D. EPA Awards Manager certifying nomination category

\_\_\_\_\_  
Signature / Date

E. EPA Awards Manager certifying compliance record

\_\_\_\_\_  
Signature / Date

**II. POLITICAL NOTIFICATION**

A. Plant's US Senators and Representatives Names and Addresses:

\_\_\_\_\_  
\_\_\_\_\_

B. State Governor's Name and Address: \_\_\_\_\_

\_\_\_\_\_

**III. MANAGEMENT NOTIFICATION**

A. EPA Regional O&M Awards Manager Name/Address/Phone/Fax

\_\_\_\_\_

B. State O&M Awards Manager Name/Address/Phone/Fax

\_\_\_\_\_

**O&M AWARDS**  
**GUIDANCE, QUESTIONNAIRE, AND FORMS**  
**FOR**  
**APPLICANTS**

**U.S. ENVIRONMENTAL PROTECTION AGENCY'S**  
**1999 OPERATIONS & MAINTENANCE**  
**EXCELLENCE AWARDS**

U.S. Environmental Protection Agency  
Office of Wastewater Management  
Municipal Assistance Branch (4204)

**December 1998**

# 1999 USEPA O&M AWARDS PROGRAM

## Applicant's Guidance

### Application Procedures

Under Section 501(e) of the Clean Water Act (CWA), EPA provides awards to facilities and industries that demonstrate outstanding and innovative waste treatment and pollution abatement practices. Facilities may submit Operations and Maintenance (O&M) Awards applications on their own initiative or may have been encouraged to submit an application by the State or a professional trade organization. All O&M Awards applications, nevertheless, must be reviewed by the State O&M manager, the designated State regulatory agency, or Tribal authority, as appropriate, and the data verified prior to its submission to an EPA Regional Office.

Although the State and Region may require sufficient backup data for their respective review, national nomination packages should be no more than 30 pages and should not contain extraneous and voluminous supporting data. Essential data should be described within the questionnaire and narratives. Supporting data such as computer printouts which demonstrate unique or innovative procedure should be appropriately summarized.

The completed application package must include:

1. The completed questionnaire and narratives which include:
  - Parts I through VII,
  - Narratives which are substituted for the descriptive Parts VIII and IX, and
  - if applying for the Most Improved Plant category, Part X and its narrative.
2. The Cash Flow Summary Form. Applicant should:
  - Exclude depreciation
  - Include all utility-related accounting funds (Operations, Replacement, Bond & Interest, Construction, etc.)
  - Use Financial Management System For POTWS, USEPA 430/9-84-005, June 1984 as an accounting guide.
3. The Plant Layout Sketch with a written description of the existing plant treatment processes, the Plant Compliance Form, and the Service Area Layout Sketch.
4. Copies of the essential NPDES and environmental permits which relate to the plant's effluent limits and operation which includes the State's authorization letter, the conventional (pH, BOD, TSS, O&G, Fecal Coliform) limitations, any advanced treatment limitations, and any unusual discharge constraints.
5. Up-to-date photographs of the plant's staff demonstrating the innovative and outstanding O&M practices. Photographic prints could be used in EPA and Water Environment Federation (WEF) publications. Brochures, laminations, photocopies, slides or digital photographs are not usable.

# 1999 USEPA O&M AWARDS PROGRAM

## Applicant's Guidance

### Evaluation Criteria

Regional and national panels will consider: demonstrated evidence of and achievements resulting from innovative and outstanding O&M programs and management, continuing high levels of effluent compliance, and the apparent difficulty to operating and maintaining the plant.

Most Improved Plant (MIP) reviews will also consider: demonstrated improvements in effluent quality and overall operation and maintenance; the complexity of the problems and obstacles overcome in reaching compliance goals; the apparent foundation for long-term, sustained permit compliance; and the timely achievements of the improvements.

### Eligibility Requirements

Facilities and States must adhere to the submittal deadlines of the national and Regional O&M Award schedules to be assured of national consideration.

Any publicly-owned wastewater treatment facility is eligible to be considered under the national O&M Awards program. This includes Native American Tribal facilities. Other requirements are:

1. The Awards category eligibility will be based on average design capacity and treatment level. The plant should have been in operation at the same treatment level and design capacity for at least two years as covered in the two calendar years of data reported in the compliance section.
2. Within the last three years, the plant must not have been upgraded to meet secondary or advanced limits nor have gone through an expansion which exceeded the January 1, 1994 average design capacity by 50%.
3. The plant must not have been a national first place O&M award winner within the last five years, nor a national second place O&M award winner within the last three years.
4. To qualify for the MIP category, the plant must have an average design capacity of less than 5.0 mgd and be able to demonstrate that improvements resulted from a State or federally managed on-site technical assistance program, specifically the EPA Section 104(g)(1) On-site Assistance Program for small communities.
5. To qualify for the non-discharging plant category, the plant must not discharge to surface waters at any time or season (zero-discharge). Plants with intermittent or seasonal discharges, however, are eligible to be considered for other awards categories.

**1999 USEPA O&M AWARDS  
Applicant's Guidance**

Awards Category Eligibility

<u>Category</u>	<u>1.0 mgd or less</u>	<u>1.1 to 10.0 mgd</u>	<u>10.1 mgd or more</u>
Secondary Treatment Plant	Small (S-S)	Medium (M-S)	Large (L-S)
Advanced Treatment Plant	Small (S-A)	Medium (M-A)	Large (L-A)
Non-Discharging Plant	Small (S-ND)	Large (L-ND)	Large (L-ND)
Most Improved Treatment Plant (MIP)		Eligible if less than 5.0 mgd	Not eligible

A plant should be included in the secondary treatment plant category if the plant's effluent is designed and permitted (30 day average) to release up to 30 milligram per liter (mg/l) of both 5 day-biochemical oxygen demand (BOD5) and total suspended solids (TSS) to the surface waters, and as a minimum, remove 85% of the BOD5 and TSS from the influent. This definition, however, may not apply in some States (and plants are still eligible) that allow higher TSS limits when lagoons or trickling filters are used to provide secondary treatment, or in a few States where EPA and States have agreed to a more stringent definition of secondary treatment, or where a plant has been granted a 301(h) waiver. A plant is not considered a secondary treatment plant when the effluent requirements include any of the conditions that meet the definition of advanced treatment as listed in the following paragraph.

A plant should be included in the advanced treatment plant category if the plant's effluent is designed and permitted (30 day average) to meet any one of the following conditions: a) release less than 30 milligram per liter (mg/l) of both 5 day-biochemical oxygen demand (BOD5) and total suspended solids (TSS) to the surface waters, and as a minimum remove 85% of the BOD5 and TSS from the influent, or (b) remove ammonia, nitrogen, or phosphorus, or (c) provide additional treatment after a secondary process using coagulation and filtration. A plant should be considered advanced even if advanced treatment applies only on a seasonal or periodic basis.

## **1999 USEPA O&M AWARDS Applicant's Guidance**

A plant should be included in the non-discharging plant category if there is never effluent being discharged to surface waters, even on a seasonal or periodic basis. The plant cannot have an NPDES permit, except if there is a no discharge permit, but can have state-specific and technology-specific limits for non-surface water related discharges.

A plant should be included in the MIP category if the plant received plant assistance under a State/EPA outreach program, i.e, the Section 104(g)(1) On-site Assistance Program.

### **Recommended O&M Topics**

The topics and questions on the following pages should be considered when responding to Part VIII - "Summary of Award Justification" and Part IX - "Outstanding and Innovative O&M Practices" of the questionnaire. The applicant must enclose a one page, composite narrative for responding to Part VIII and at least five narratives, of no more than two pages each, for responding to Part IX. The O&M topics to be considered are:

- o Process Control and Field Monitoring
- o Equipment Maintenance Management
- o Laboratory Management
- o Pollution Prevention
- o Biosolids Management
- o Septage Management
- o Toxic Waste Controls
- o Collection System Controls
- o Collection System Maintenance Management
- o Financial Management
- o Public Education
- o Automation

**1999 USEPA O&M AWARDS  
Applicant's Guidance**

**Recommended O&M Topics (Continued)**

- o Storm Water Controls
- o Safety Education
- o Plant Staffing and Training
- o O&M Reviews and Best Management Practices (BMP)
- o Non-dischargers
- o Most Improved Plant

**1999 USEPA O&M AWARDS**  
**Applicant's Guidance**

Recommended O&M Topics

- o Process Control and Field Monitoring: Why did the plant seek O&M improvements through process control and monitoring? Describe any innovative, outstanding and unique process control and field monitoring practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: before and after improvements in your compliance record; the process (i.e. D.O., MLSS, etc) and permit monitoring which is done in-house and under contract; the operational control and process modification improvements; the influent, effluent, groundwater, etc. monitoring programs and their use in evaluating and modifying management practices; and the software, computers and other automation systems which improve operational control and monitoring.
- o Equipment Maintenance Management: Why did the plant seek O&M improvements through equipment maintenance management? Describe any innovative, outstanding and unique equipment maintenance practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the plant's approach and the significant program features to long term equipment reliability and effective maintenance/repair management.
- o Laboratory Management: Why did the plant seek O&M improvements through laboratory management? Describe any innovative, outstanding and unique laboratory management practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the improvements that have been made in your laboratory management which enhance plant operations, process control, field monitoring, and permit reporting?
- o Pollution Prevention: Why did the plant seek O&M improvements through pollution prevention? Describe any innovative, outstanding and unique pollution prevention practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe any self-audits and plant studies to: conserve energy and water use, recycle plant material, and reduce key point and non-point source pollutants at the wastewater treatment plant; as well as, conserve water use and prevent pollutants in the community.
- o Biosolids Management: Why did the plant seek O&M improvements through biosolids management? Describe any innovative, outstanding and unique biosolids management practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe the plant's short term and long term approach to managing biosolids.

**1999 USEPA O&M AWARDS**  
**Applicant's Guidance**

Recommended O&M Topics

- o Septage Management: Why did the plant seek O&M improvements through septage management? Describe any innovative, outstanding and unique septic tank management practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe the plant's short term and long term approach to managing septage.
- o Toxic Waste Controls: Why did the plant seek O&M improvements through toxic waste control? Describe any innovative, outstanding and unique toxic waste control practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the plant's approach to controlling industrial dischargers and pretreatment and achieving an efficient waste management program for your community and the environment; the practices which mitigate and ensure biosolids loadings and toxics minimally impact operations, biosolids management, plant safety, or the environment; and the practices which identify and enforce against illegal septic tank dumping, toxic midnight dumpings, and household hazardous wastes dumpings.
- o Collection System Controls: Why did the plant seek O&M improvements through collection system controls? Describe any innovative, outstanding and unique collection system control practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the plant's approach to controlling infiltration and inflow and combined sewer overflows (CSOs) and separate sewer overflows and how this has affected plant performance and the surface waters; and the before and after rainfalls and maximum flows to combined sewer outfalls and separate sanitary sewers, the before and after flows caused by infiltration/inflows, and the before and after percent (round to 10s of percent) of the system's sewer collection laterals which are affected by combined sewers or by excessive Infiltration/Inflow (I/I).
- o Collection System Maintenance Management: Why did the plant seek O&M improvements through collection system maintenance? Describe any innovative, outstanding and unique collection system maintenance practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally describe: the plant's program for pipe reliability, and maintenance and repairs. Provide data on the average age of the sewers and how your program has affected the number of sewer breaks and stoppages.
- o Financial Management: Why did the plant seek O&M improvements through financial management? Describe any innovative, outstanding and unique financial management practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the plant's approach to financial management and collections to ensure emergency and planned funding of O&M expenses.

**1999 USEPA O&M AWARDS**  
**Applicant's Guidance**

Recommended O&M Topics

- o Public Education: Why did the plant seek O&M improvements through public education? Describe any innovative, outstanding and unique public education practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the approach that the plant took to involve the general public and public officials in the management of your facility; and the public education or community service activities sponsored by your facility.
  
- o Automation: Why did the plant seek O&M improvements through automation? Describe any innovative, outstanding and unique automation practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe the automation systems, the software and record keeping that the plant took to improve overall operating efficiencies and management.
  
- o Storm Water Controls: How did the municipality seek O&M improvements through storm water controls, either on a voluntary basis or in response to regulatory or statutory requirements? Describe how the municipality implemented an innovative storm water control program or project to control a new problem or a new approach, such as a watershed approach, to reducing or eliminating storm water discharges. Provide documented environmental benefits, i.e, reopening of shellfish beds, reduced beach closings, and attainment of water quality standards. Additionally, describe the cost, labor, material, environmental, or time savings derived from such practices.
  
- o Safety Education: Why did the plant seek O&M improvements through safety education? Describe any innovative, outstanding and unique plant safety education practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe the improvements to and effectiveness of the safety program considering the number of lost-time injuries, and the current number and most days without an accident.
  
- o Plant Staffing and Training: Why did the plant seek O&M improvements through plant staffing and training? Describe any innovative, outstanding and unique plant staffing and training practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the plant's approach to personnel staffing and training programs and how it has contributed to long term compliance; the plant's approach to assessing staffing needs and the managerial, contractual, hiring, and budgetary controls which ensure that imminent, emergency and staffing shortfalls are timely resolved; and the number of: certified operators, municipal and contract staff, operators working the 1st shift (8am to 4pm)/2nd shift/3rd shift, staff working almost exclusively on equipment maintenance/in the laboratory/on sewer repair and cleaning.

**1999 USEPA O&M AWARDS**  
**Applicant's Guidance**

Recommended O&M Topics

- o O & M Reviews and Best Management Practices (BMP): Why did the plant seek O&M improvements through BMPs? Describe any innovative, outstanding and unique BMPs; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe the in-house, contractual, and State activities which were implemented at the plant to mitigate impacts from O&M on the groundwater, odor, CSOs, storm water, health, etc.
  
- o ONLY FOR NON-DISCHARGING CATEGORY NOMINEES: Describe any innovative, outstanding and unique O&M practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the management initiatives which have been implemented to ensure that plant effluent does not have a negative impact on groundwater, air quality, human health, agriculture products, livestock, etc; and the management approaches to handle unusual periods of inclement weather.
  
- o ONLY FOR MOST IMPROVED PLANT NOMINEES: Describe your improved O&M practices; and cost, labor, material, environmental, or time savings derived from such practices. Describe before and after improvements in: compliance record, staff skills and achievements; and process control and monitoring. Also explain how Section 104(g) on-site technical assistance contributed to the plant's improvement.

## **COVER SHEET**

# **QUESTIONNAIRE for the OPERATIONS AND MAINTENANCE AWARDS PROGRAM**

Interested respondents may express their concerns regarding this questionnaire. The respondents' burden for this collection of information is estimated to average 8 hours per response. The collection burden includes the time for the respondent to review instructions, search existing data sources, gather and maintain the data needed, and complete and review the collection of information. The States' burden is estimated to average 6 hours to review the responses.

Send comments regarding this burden estimate or any other aspect of this collection of information including suggestions for reducing the burden: to Chief, Regulatory Information Division (2137 ), US Environmental Protection Agency, 401 M St SW, Washington, DC 20460; and to Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

**QUESTIONNAIRE AND FORMS**

**FOR**

**O&M AWARDS APPLICANT**

(See Applicant's Guidance for  
Additional Information  
and Instructions)

**U.S. ENVIRONMENTAL PROTECTION AGENCY**

**1999 OPERATIONS & MAINTENANCE**

**EXCELLENCE AWARDS**

U.S. Environmental Protection Agency  
Office of Wastewater Management  
Municipal Assistance Branch (4204)

**December 1998**

**1999 USEPA O&M AWARDS PROGRAM  
Questionnaire Format**

I. AWARD CATEGORY

A. Proposed award category \_\_\_\_\_

B. Year won national O&M 1st \_\_\_\_\_ / 2nd \_\_\_\_\_ place award

II. FACILITY IDENTIFICATION (\*) NAMES TO BE ENGRAVED ON PLAQUES

\* A. Official name of plant  
(name should be consistent with the NPDES permit)

\_\_\_\_\_

\* B. Location of plant (Municipality/State)

\_\_\_\_\_

C. Name and type of public ownership

\_\_\_\_\_

III. AWARD NOTIFICATION

A. Elected Administrator  
(i.e. Mayor, Authority Board President)

Name \_\_\_\_\_

Organizational Title \_\_\_\_\_

Organizational Address \_\_\_\_\_

\_\_\_\_\_

B. Application Contact

Name/Title \_\_\_\_\_

\_\_\_\_\_

Address/Telephone (w) \_\_\_\_\_ (fax) \_\_\_\_\_

**1999 USEPA O&M AWARDS PROGRAM  
Questionnaire Format**

**IV. ENVIRONMENTAL LIMITS**

- A. # of reportable NPDES violations  
(1/97 - 12/97 \_\_\_\_\_) (1/98 - 12/98 \_\_\_\_\_)
- B. Date of last reportable NPDES violation \_\_\_\_\_
- C. Explain any reportable NPDES violations of 1/97 to 12/98 (i.e. date, type, and causes of reporting/ effluent violation; plant's action to resolve violations)
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- D. ATTACH Essential (see applicant's instructions) NPDES/Biosolids permit which indicate the operating constraints of the plant. As appropriate, non-dischargers may substitute ground water permits.
- E. Complete and ATTACH the included Plant Compliance Forms (one for each calendar year). As appropriate, similar forms should be devised for biosolids and ground water discharge data.

**V. PLANT FLOWS (Note: Report B. as the 24 hour maximum yearly flow and Report C. through E. as the 1998 average monthly composite)**

- A. Design Flow (DF) \_\_\_\_\_ mgd
- B. 1998 Peak Flow \_\_\_\_\_ mgd \_\_\_\_\_ % of DF
- C. 1998 Average Flow (AF) \_\_\_\_\_ mgd \_\_\_\_\_ % of DF
- D. 1998 Industrial Flow \_\_\_\_\_ mgd \_\_\_\_\_ % of AF
- E. 1998 Week-end Flow \_\_\_\_\_ mgd \_\_\_\_\_ % of AF
- F. What is the estimated population and size of the plant's service area?
- \_\_\_\_\_ people
- \_\_\_\_\_ square mile

**1999 USEPA O&M AWARDS PROGRAM  
Questionnaire Format**

**VI. FINANCING**

- A. List (or highlight an attachment) user charge fees and describe the flow/pollutant based criteria for charging households, industries, commercial, septage, etc. Estimate the number of households, small/large industries, etc. in each category.

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- B. Complete and ATTACH at the end of this questionnaire, the Cash Flow Summary Form using the plant's most recent and complete fiscal year. Estimates are acceptable.

**VII. INFRASTRUCTURE**

- A. If known, provide the plant's original design flow \_\_\_\_\_ mgd, level of treatment \_\_\_\_\_, and year that operations were initiated \_\_\_\_\_.
- B. Provide the year and description of any significant plant and sewer upgrades and expansions.

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- C. Complete and ATTACH at the end of this questionnaire, a Plant's Layout sketch using Block Diagrams to identify the plant's liquid waste and biosolids unit processes. Include a written description of the existing plant treatment processes.
- D. Complete and ATTACH at the end of this questionnaire, a Service Area Layout sketch. The conceptual sketch need not be dimensionally correct nor accurately scaled but should depict and identify: the sewer and also the unsewered communities which discharge septage to the plant; major industrial plants and industrial parks; the wastewater treatment plant; separate and combined sewer outfalls; the points of the plant's effluent discharges; the approximate location and routes of the principle river of the drainage basin; and effluent and biosolids land application areas.

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- E. Separate Sanitary Sewers (SSSs) and Infiltration/Inflow (I/I) for your treatment plant: If your treatment plant authority has a separate department or other entity responsible for SSSs and I/I problems, please attempt to have them provide the information.
1. Budget for SSS inspection/cleaning: \$ \_\_\_\_\_
  2. Budget for SSS maintenance/repair: \$ \_\_\_\_\_
  3. Approximate length of collection system: \_\_\_\_\_  
Approximate age of the collection system: \_\_\_\_\_ % less than 10 years old,  
\_\_\_\_\_ % between 10 and 35 years old, \_\_\_\_\_ % greater than 35 years old.
  4. Number of full time SSS maintenance, inspection, cleaning, and repair staff?
  5. Is there a sewer use/grease trap ordinance in place?
  6. What percentage of the SSSs are inspected each year?
  7. What percentage of the SSSs are cleaned each year?
  8. How frequently has your collection system experienced overflows or bypasses in the last two years?
  9. BOD5 concentration in the influent (monthly):
    - a. Dry (average) weather: BOD5 \_\_\_\_\_ mg/l
    - b. Wet (average) weather: BOD5 \_\_\_\_\_ mg/l
    - c. Peak wet weather month: BOD5 \_\_\_\_\_ mg/l
  10. What actions has the treatment system authority taken to control Separate Sanitary Sewer Overflows (SSOs), bypasses, I/I, and severe sulfide Corrosion? (Please include approximate percentage reductions in each problem area documented as a result of the corrective actions.)

**1999 USEPA O&M AWARDS PROGRAM**  
**Questionnaire Format**

Using guidance found on pages 4 through 9 of the Applicant's Guidance, "Recommended O&M Topics", prepare narratives for Parts VIII and IX. When submitting the application, substitute the narratives of Part VIII and Part IX for this sheet.

**VIII. O&M TOPICS - SUMMARY of AWARD JUSTIFICATION NARRATIVE**

The applicant is encouraged to include a one page or less narrative which summarizes the plant's outstanding, unique and innovative O&M practices. The applicant should explain the plant's most significant O&M practices, and the chemical/operational/maintenance/financial savings implemented which contributed to the plant's outstanding and unique performance.

Include at least three, up-to-date color or black and white photographic prints which depict these O&M practices. Include captions with photographic prints. Do not submit brochures, laminations, photocopies, slides or digital photographs.

A Most Improved Plant nominee may confine the narrative to describing how the 104(g) on-site technical assistance contributed to the plant's improvement; and what chemical/operational savings, cost-effective practices, or technical/financial/staffing improvements resulted from the on-site technical assistance.

**IX. O&M TOPICS - OUTSTANDING/INNOVATIVE O&M PRACTICE NARRATIVE**

The applicant must provide narratives on at least five key O&M topics. Each narrative should be two pages or less.

The applicant should explain in the narrative the outstanding, unique and innovative O&M practices which have contributed to the plant's success. Recommended O&M practices include: Process Control and Field Monitoring; Equipment Maintenance Management; Laboratory Management; Pollution Prevention; Biosolids Management; Septage Management; Toxic Waste Controls Management; Collection System Controls; Collection System Maintenance Management; Collection System Inspection/Maintenance Management; Financial Management; Public Education; Automation; Storm Water Controls; Safety Education; and Plant Staffing Training; O&M reviews and Best Management Practices.

Most Improved Plant category applicants and Non-Discharging category applicants may confine their narratives to their individually, recommended topics. An applicant, however, who can demonstrate additional outstanding and innovative practices in the other O&M Topics will receive additional consideration.

**1999 USEPA O&M AWARDS PROGRAM  
Questionnaire Format**

X. ONLY FOR MOST IMPROVED PLANT CATEGORY NOMINEE. This part should be completed by the trainer. The operator should review and approve the information before including it in the application. (\*) **The name as it is provided below will be engraved on the trainer's plaque for the winning 104(g) plant.**

A. 104(g) Personnel Information

(\*) 1. Name of Primary 104(g) Trainer

\_\_\_\_\_

(\*) 2. Organizational Title

\_\_\_\_\_

3. Work Address

\_\_\_\_\_

4. Telephone No. (w) \_\_\_\_\_ (fax) \_\_\_\_\_

B. Project Information

1. Dates 104(g) assistance initiated and ended

\_\_\_\_\_ to \_\_\_\_\_

2. Approximate on-site person-days spent by trainer

\_\_\_\_\_

C. **ATTACH** the trainer's narrative of two pages or less which explains the approach to: identify the candidate, develop the diagnostic evaluation, identify the problem, involve the public official, and to train the operator. The trainers should also explain the assistance program (i.e., financial management, public utility management, O&M management) that was developed, the on-site assistance successes and obstacles, the accomplishments, and the unique approaches to overcome unusual or especially difficult obstacles.

**1999 USEPA O&M AWARDS PROGRAM  
Plant Compliance Form I**

Plant Name \_\_\_\_\_

YEAR: <b>1997</b>	FLOW (MGD) OUT	BOD IN (ppm)	BOD OUT (ppm)	SS IN (ppm)	SS OUT (ppm)	O&G OUT (ppm)	pH OUT (SU)	Fecal Coliform OUT (#/100ml)
NPDES PERMIT LIMITS								
JAN.								
FEB.								
MAR.								
APR.								
MAY								
JUN.								
JUL.								
AUG.								
SEP.								
OCT.								
NOV.								
DEC.								
YEARLY AVE.							<b>XXXX XXXX XX</b>	
YEARLY MAX.								
YEARLY MIN.								

\* Attach additional pages, if necessary, for other parameters.  
(1 ppm is equivalent to 1 mg/l)

**1999 USEPA O&M Awards Program  
Plant Compliance Form I**

Plant Name \_\_\_\_\_

YEAR:	NH3-N Out (ppm)	PO4-P Out (ppm)						
1997								
NPDES PERMIT LIMITS								
JAN.								
FEB.								
MAR.								
APR.								
MAY								
JUN.								
JUL.								
AUG.								
SEP.								
OCT.								
NOV.								
DEC.								
YEARLY AVE.								
YEARLY MAX.								
YEARLY MIN.								

\* Attach additional pages, if necessary, for other parameters.  
(1 ppm is equivalent to 1 mg/l)

Plant Name \_\_\_\_\_

YEAR: 1998	FLOW (MGD) OUT	BOD IN (ppm)	BOD OUT (ppm)	SS IN (ppm)	SS OUT (ppm)	O&G OUT (ppm)	pH OUT (SU)	Fecal Coliform OUT (#/100ml)
NPDES PERMIT LIMITS								
JAN.								
FEB.								
MAR.								
APR.								
MAY								
JUN.								
JUL.								
AUG.								
SEP.								
OCT.								
NOV.								
DEC.								
YEARLY AVE.							XXXX XXXX XX	
YEARLY MAX.								
YEARLY MIN.								

\* Attach additional pages, if necessary, for other parameters.  
(1 ppm is equivalent to 1 mg/l)

**1999 USEPA O&M Awards Program  
Plant Compliance Form II**

Plant Name \_\_\_\_\_

<b>YEAR:</b> <b>1998</b>	<b>NH3-N</b> <b>Out</b> <b>(ppm)</b>	<b>PO4-P</b> <b>Out</b> <b>(ppm)</b>						
<b>NPDES</b> <b>PERMIT</b> <b>LIMITS</b>								
JAN.								
FEB.								
MAR.								
APR.								
MAY								
JUN.								
JUL.								
AUG.								
SEP.								
OCT.								
NOV.								
DEC.								
<b>YEARLY</b> <b>AVE.</b>								
<b>YEARLY</b> <b>MAX.</b>								
<b>YEARLY</b> <b>MIN.</b>								

\* Attach additional pages, if necessary, for other parameters.  
(1 ppm is equivalent to 1 mg/l)

WASTEWATER ENTERPRISE FUNDSBALANCE BEGINNING OF YEAR \_\_\_\_\_**REVENUES**

User Service Charges (OM&amp;R and Capital) \_\_\_\_\_

Overstrength Waste Surcharges \_\_\_\_\_

Hookup/Impact/Other Service Fees \_\_\_\_\_

Taxes/Special Assessments \_\_\_\_\_

Interest Earnings (On Cash &amp; Securities) \_\_\_\_\_

Fines/Penalties \_\_\_\_\_

Other Revenues (Bond Issuances, Discounts, Refundings, etc.) \_\_\_\_\_

**TOTAL REVENUES** \_\_\_\_\_**EXPENSES**

Administration/Travel/Training \_\_\_\_\_

Wages/Benefits \_\_\_\_\_

Contracts Operation Services \_\_\_\_\_

Electricity/Utilities/Fuel \_\_\_\_\_

Treatment Chemicals \_\_\_\_\_

Equipment Replacement/Parts \_\_\_\_\_

Purchased Materials/Supplies/

Maintenance and Repair Services \_\_\_\_\_

Other Expenses (Insurance, Legal, Consultants) \_\_\_\_\_

Debt Principle and Interest Payments \_\_\_\_\_

Other Payments (Capital Leases, etc.) \_\_\_\_\_

Capital Construction Outlays \_\_\_\_\_

Future Construction Utility Transfer Reserves

(Replacement, Bond &amp; Interest, etc.) \_\_\_\_\_

**TOTAL EXPENSES** \_\_\_\_\_

TRANSFERS OUT (to general fund etc.) \_\_\_\_\_

WASTEWATER ENTERPRISE FUNDSBALANCE END OF YEAR \_\_\_\_\_

**1999 USEPA O&M AWARDS PROGRAM  
Service Area Layout**

\_\_\_\_\_ Treatment Plant

**1999 USEPA O&M AWARDS PROGRAM  
Plant Layout**

\_\_\_\_\_ Treatment Plant

**1999 USEPA O&M AWARDS PROGRAM**  
**Plant Layout**

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Treatment Plant