

**Village of Boonville, New York
CMOM Business Practice Evaluation
Recommendations and Action Matrix
June 24, 2008**

Business Practice	Priority 1 = High 5 = Low	Findings	Recommendations	Risk	Consequences
Administrative Support Function – Human Resources					
Human Resources - Table of Organization	1.1	There is no up-to-date- organization table.	Develop an up-to-date organizational table and revise as necessary.	<ul style="list-style-type: none"> • High risk of loss of technical human resources due to inadequate succession planning to replace existing knowledge, skills, and abilities to manage, operate, and maintain assets. • Increased risk of accident 	<ul style="list-style-type: none"> • Increased frequency of sanitary sewer overflows (SSOs) and or other substandard performance. • Loss of institutional knowledge. • Level of service and efficiency decrease. • Potential lawsuits. • Decrease in moral
Human Resources - Position Descriptions		Up-to-date position descriptions do not exist.	Update position titles to include all related duties. Develop a mechanism for continuous review and updating.		
Human Resources – Succession Planning		Critical retirements are pending that will impact customer service and institutional knowledge. The utility has begun identifying potential key staff replacements.	Develop a succession policy to minimize the impact of pending retirements.		
Human Resources – Disciplinary Actions		The utility does not have a formal policy for disciplinary actions.	Develop a defined disciplinary policy.		
Human Resources – Certification Requirements		There are no collection system-related certification requirements.	Encourage and reward participation in the New York Water Environment Association (NYWEA) voluntary collection system operator certification.		
Human Resources - Training - Technical		Most of the technical training received is on-the-job training. Standard operating procedures (SOPs) are needed for equipment and tasks.	Identify and encourage technical and skill training opportunities.		
Human Resources - Training – Management		The management training provided is minimal.			
Human Resources – Compensation		Compensation is adequate and does not impact effective system operation.	Continue current business practice.		
Human Resources - Safety Program		The Chief Operator is the safety authority. There is no formal confined space entry program. There are no general safety SOPs. There is no traffic safety management program. There is no lock-out/tag-out SOP. Basic personal protective equipment is available. No safety-related performance measures are monitored.	Develop or implement the following: <ul style="list-style-type: none"> • Formal safety training and tracking. • Formal policy for dealing with safety violations. • Confined Space Awareness training for all staff • Formalized safety procedures for general collection system activities. • Traffic Management training for all staff • Formal lock out, tag out program • Identify safety equipment gaps and budget for their purchase. • Develop formal performance measures for tracking safety-related accident trends. 		
Human Resources - Workman's Compensation		There have been no recent lost-time accidents.	Continue current business practice.		

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Technical Support Function – Contingency Planning					
Planning Process and Tools	1.2	There currently is no formal sewer overflow response plan (SORP).	Incorporate staff knowledge and experience into a formal SORP for the gravity and pressure systems using the NYS DEC model SORP. When a formal SORP is developed, periodically verify that the following are up to date: <ul style="list-style-type: none"> • public notification procedures • regulatory notification procedures • emergency flow control procedures • emergency operations and maintenance procedures <p>After the SORP is developed, conduct periodic training using mock drills.</p>	Without proper contingency planning and training there is greater risk for longer-duration emergency events.	<ul style="list-style-type: none"> • Notice of Violation • Enforcement Action • Financial impact from fines • Negative impact on customer service
Collection System Policy – Strategic Goals					
Mission Statement	2.1	There is no formal mission statement. The Chief Operator was able to verbalize general principles.	Develop a formal mission statement and communicate it to staff and the public.	<ul style="list-style-type: none"> • Loss of customer service • Increased regulatory scrutiny of utility management, operation, and maintenance. • High risk of substandard asset performance, lawsuits, and accounting implications. • High risk of decreased level of service, efficiency, and moral. 	<ul style="list-style-type: none"> • Lack of clear message to the staff and general public. • Lack of documented policies will impact efficient employee succession. • Ineffective customer service/complaint management will erode customer and public support of utility operations. • Priorities are not established or are overlooked. • Safety consequences • Morale issues • Loss of service • Notice of Violation • Enforcement Action • Financial impact from fines • Level of service and efficiency decrease • Financial impact for bond rating
Customer Service Goals		There are no written customer service goals. Staff is service oriented. Calls and follow-ups are processed in a timely fashion.	Develop written goals and policies pertaining to: <ul style="list-style-type: none"> • Customer service • Regulatory compliance • Asset management • Work management 		
Regulatory Compliance Goals		There are no written goals regarding regulatory compliance. Participating in this evaluation supports the development of a formal CMOM program. Work to eliminate inflow and infiltration (I/I) within the system is on-going.			
Managing Utility Assets Goals		There are no written goals regarding asset management.			
Work Management Goals		There are no written goals regarding work management.			
Maintenance – Pump Station Preventive					
Maintenance Prioritization	2.2	Station visits are based on reliability and maintenance needs.	Develop and document pump station preventive maintenance program covering each identified component.	Pump station overflows of increased frequency and duration	<ul style="list-style-type: none"> • Notice of Violation • Enforcement Action • Financial impact from fines • Negative impact on customer service
Short-Term Pumping Station Repair		Short-term repairs are done with long range operation considered.			
Electronics		There are no scheduled programs for these components.			
Electrical		There are no scheduled programs.			

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Mechanical		There are no scheduled programs for these components.			
Physical		There are no scheduled programs for these components.			
Valve Exercise		There is no program in place.			
Cathodic Protection		There is no program in place.			
Corrosion Control		There is no program in place.			
Maintenance of Right-of-Ways					
Maintenance Prioritization	2.3	There is no program in place to prioritize maintenance activities within right-of-ways.	Develop a prioritized program for the maintenance of right-of-ways and easements. Use risk and consequence of failure as a decision-making criteria.	<ul style="list-style-type: none"> Lack of access limits maintenance tasks. Potential for undetected sanitary sewer overflows (SSOs). Response time (and duration) for emergency events increased. 	<ul style="list-style-type: none"> Notice of Violation Enforcement Action Financial impact from fines Financial impact from creating emergency access. Customer service impacts
Easements and Right-of-Ways		There is no program in place to maintain easements and right-of-ways.			
Administrative Support Function - Financial					
Budgeting	2.4	The Chief Operator prepares the budget with input from staff.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.	Low Risk	
Rate Analysis		Rate analysis is not performed for the collection system. Collection system operation, maintenance, and improvement activities are not financed through the sewer rate.	Continue current business practice. Explore opportunities to incorporate collections system operation and maintenance activities and expenses, along with wastewater treatment activities and expenses, into an enterprise fund.		
Cost of Management, Operation & Maintenance		Previous years expenditures are taken into account.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Capital Improvement Plan (CIP)		The Village has a 5-year CIP, but does not have a dedicated source of funds to implement it.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Maintenance – Gravity System Preventive					
Maintenance Prioritization	3.1	There is no formal process in place to prioritize maintenance activities. Several known problem areas have been identified and are periodically monitored to assess need for maintenance.	Develop a prioritized list of maintenance issues and activities within the gravity system.	Increased risk of SSOs	<ul style="list-style-type: none"> Notice of Violation Enforcement Action Financial impact from fines Negative impact on customer service
Hydraulic/Mechanical Cleaning		Hydraulic/mechanical cleaning equipment is available and used, but a systematic approach to cleaning is not utilized.	Develop a programmatic approach to hydraulic cleaning. Spot check 10% of cleaned lines to ensure quality of work.		
Fats, Oils, and Grease (FOG) Program		There is no written FOG control program in place.	Develop a FOG control program focusing initially on service areas serving restaurants and other high potential FOG dischargers.		

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Root Control		There is no formal root control program in place.	Develop a formal program to asses and control root issues.		
Manholes		There is no formal program in place to prioritize manhole inspections.	Develop a formal program of manhole inspections; utilizing a manhole inspection form.		
Condition Assessment - CCTV		There is no formal program in place to prioritize pipelines for CCTV inspection.	Develop a formal condition assessment program utilizing CCTV.		
Operations – Pump Stations					
Normal Operation	3.2	Pump stations are visited weekly for inspection and maintenance.	Develop a formal SOP and inspection checklist for each pump station; covering normal operations and periodic inspections.	Pump station overflows of increased frequency and duration	<ul style="list-style-type: none"> • Notice of Violation • Enforcement Action • Financial impact from fines • Negative impact on customer service • System efficiency decreases
Emergency Operation		No written SOPs are in place for emergency operation.	Develop formal SOP for emergency pump station operations.		
Supervisory Control and Data Acquisition (SCADA)		SCADA is not utilized.	Explore opportunities for SCADA enhancements to pump station operations.		
Maintenance – Emergency					
Program	3.3	The utility has an undocumented system in place to respond to customer calls and complaints, as well as other emergencies. All emergency responses are documented.	Formalize the current undocumented system.	Potential for longer-duration emergency events resulting in increased damages and associated costs. Potential lawsuits.	<ul style="list-style-type: none"> • Higher costs associated with the emergency • Safety issues • Higher insurance premiums
Maintenance – Corrective					
Priority System	3.4	An informal priority system exists. The highest priority is to respond to safety issues first. Corrective work prioritization also focuses on reducing I/I within the collection system in order to reduce activation of the Overflow Retention Facility.	Enhance and formalize the current informal priority system.	Without a priority system, staff and resources may not be utilized effectively.	Financial and customer service impacts due to poor staff/resource allocation.
Backlog System		There is a backlog in place. There is no written process to reduce backlog.	Develop a formal procedure to reduce backlog issues.		
Administrative Support Function – Customer Service					
Complaint Management	3.5	There is an effective but undocumented complaint management system in place.	Formalize the undocumented complaint management system into a written procedure.	Low risk	Ineffective complaint management and dissemination of information will erode customer and public support of utility operations.
Public Information		The staff is knowledgeable and information is distributed to the public when necessary.	Continue to look for opportunities to increase information available to the public; such as frequently asked questions, frequently requested telephone numbers, and information on upcoming utility operations.		
Public Education		The staff is knowledgeable. In the past, public tours of the treatment plant have been conducted.	Continue to look for opportunities for educating the public with information on the utility and its operation; especially for the collection system.		

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Operations – Line Location					
Line Location Program	3.6	There is a program in place. The utility participates in the Dig Safely program. There is no SOP for coverage or after-hours notification.	Enhance current business practice by developing an SOP for staff coverage and after-hour emergency calls.	Lack of timely utility identification increases the potential for damage to collection system components.	<ul style="list-style-type: none"> Financial impact from damage and associated repairs Negative impacts on customer service
Maintenance- Pressure System Preventive					
Maintenance Prioritization	4.1	There is no process in place to prioritize force main maintenance activities.	Develop a prioritized list of force main maintenance activities based on evaluation and history.	Increased risk of force main collapse or failure.	<ul style="list-style-type: none"> Notice of Violation Enforcement Action Financial impact from damages and fines Loss of customer service
Cleaning		There is no program in place for cleaning.	Track and use pump station data to determine if cleaning is necessary.		
Technical Support Function – Legal Support					
Sewer Use Ordinance (SUO)	4.2	The utility has an effective SUO in place. Restricted materials, limits and penalties are part of the SUO.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.	Low Risk	
Fats, Oils, and Grease Control Ordinance		The utility does not have a FOG control ordinance.	Continue current business practice. Develop a FOG control ordinance if FOG issues become problematic.		
Line Location		The Utility participates in and utilizes the Dig Safely program.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Liquidated Damages and Lawsuits		Back-ups are resolved in a timely matter once the cause of the back-up is determined.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Technical Support Function – Source Control					
Fats, Oils, and Grease Control	4.3	The utility does not have a FOG control program.	Continue current business practice. Develop a FOG control program if FOG issues become problematic.	Low risk Although FOG does not appear to be an issue at this point, additional FOG preventive measures should be explored and implemented.	Unaddressed FOG problem areas could lead to future blockages and SSOs.
Operations – Flow Monitoring					
Gravity Systems	4.4	There are no flow monitors in the gravity system.	Explore opportunities for temporary or permanent flow monitoring within the collection system.	Lack of flow data during wet weather events prevents identification of trouble spots.	Potential reduced capacity during wet weather events.
Pump Stations		The pump stations have run-time meters, not flow meters.	Continue to use pump run-time hour meters. Explore opportunities for temporary or permanent flow monitoring at the pump stations.		
Technical – Engineering					
As-Built Plans	4.5	As-built plans are retained. System repairs and improvements are documented in site logbooks.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.	<ul style="list-style-type: none"> Low potential risk for increased SSOs resulting from engineering oversights. SSOs resulting from inadequate capacity 	<ul style="list-style-type: none"> Financial impacts of replacing/correcting system components Loss of efficiency
Asset Inventory		There is no asset inventory.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		

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Sewerage System Maps		System maps are available and kept up-to-date.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Design of System Modifications		System modifications are designed by consultants following the standards outlined in Ten States "Recommended Standards for Wastewater Facilities".	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Construction Field Inspection		Utility or engineer conducts field inspection.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Acceptance Testing		Acceptance testing is done on all new construction.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Infrastructure Acquisition		There is no policy or procedure for infrastructure acquisition.	Develop a formal policy for infrastructure acquisition.		
Condition Assessment - Priorities		Repair, replacement, and rehabilitation decisions are prioritized in conjunction with street repair activities.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Condition Assessment - Practices		The Village has done limited smoke testing, CCTV, and manhole inspections; though no systematic approach to overall condition assessment is utilized.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Gravity Line - Criteria		There are no written criteria, but trouble spots or identified problem areas associated with excessive inflow and infiltration are the highest priority. The utility tries to coordinate work with road paving.	Establish formal criteria for rehabilitation and/or replacement.		
Rehabilitation/Replacement Gravity Line – Methods		The preferred method is to replace existing pipe with new plastic pipe.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Gravity Line – Design Specifications		The utility follows or improves upon the existing design when replacing gravity lines. Plastic pipe is used exclusively in replacement.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Gravity Line – Inspection		An informal inspection is done during replacement.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Gravity Line – Testing		No testing is done since replacement is done on an active sewer.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Manhole – Criteria		There are no written criteria. Deteriorating manholes, located in proximity to gravity line replacement activities, are replaced	Establish formal criteria for rehabilitation and/or replacement.		

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Rehabilitation/Replacement Manhole – Methods		Rehab and replacement decisions are made on a case-by-case basis.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Manhole – Design Specifications		The utility follows or improves upon the existing design when replacing gravity lines and manholes.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Manhole – Inspection		An informal inspection is done during replacement.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Manhole – Testing		No testing is done since replacement is done on an active sewer.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Pumping Stations – Criteria		There are no formal criteria. The decision is based on staff evaluation using pump hours/flow and maintenance history.	Establish formal criteria for rehabilitation and/or replacement.		
Rehabilitation/Replacement Pumping Stations – Methods and Techniques		Rehab and replacement decisions are made on a case-by-case basis.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Pumping Stations – Design Specifications		The utility follows the standards outlined in Ten States “Recommended Standards for Wastewater Facilities”.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Pumping Stations – Inspection		Inspection would be performed by a consultant	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Pumping Stations – Testing		Testing would be performed by a consultant.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Force Main – Criteria		There are no written criteria.	Establish formal criteria for rehabilitation and/or replacement.		
Rehabilitation/Replacement Force Main – Methods and Techniques		Rehab and replacement decisions are made on a case-by-case basis.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Force Main – Design Specifications		The utility follows the standards outlined in Ten States “Recommended Standards for Wastewater Facilities”.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Force Main – Inspection		Inspection would be performed by a consultant	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Rehabilitation/Replacement Force Main – Testing		Testing would be performed by a consultant.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Capacity Assurance - Flow Monitoring		No flow monitoring is conducted.	Explore opportunities for flow monitoring within the system.		

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Capacity Assurance Management - Assurance Process		Any additional flows, beyond existing system capacity, must be approved by NYS DEC.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Capacity Assurance - Pumping Stations Adequacy and Performance		The utility does not have a projection for all future growth options.	Develop future growth projections and their corresponding impact on system capacity.		
Capacity Assurance - New Construction		Any proposed new construction must first evaluate existing system capacity to ensure adequate capacity exists and the evaluation must be approved by NYS DEC before construction.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Capacity Assurance - New Service and Tap-Ins		Any proposed new service or tap-ins must first evaluate existing system capacity to ensure adequate capacity exists and the evaluation must be approved by NYS DEC.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Operations – Corrosion Control					
Corrosion Control Program	4.6	There is no program in place.	Develop a corrosion control program that incorporates collections system and pump station assets.	Increased risk of corrosion-related collection system failure, resulting in SSOs.	<ul style="list-style-type: none"> • Notice of Violation • Enforcement Action • Financial impact from fines
Technical Support Function – Information Management					
Overflow Reporting, Notification, and Record Keeping - Regulatory Agencies	5.1	The utility follows NYS DEC regulations and guidelines.	Continue current business practice. Periodically (minimum annually), review and update contact information, as needed. Incorporate documentation of business practice into a CMOM plan	<ul style="list-style-type: none"> • Low risk • Old information may be used to manage collection system operation and maintenance. 	<ul style="list-style-type: none"> • Notice of Violation • Enforcement Action • Financial impact from fines • Negative impact on customer service
Information Management - Components and Techniques		The utility effectively utilizes paper records to track operation and maintenance issues, complaints, financial issues (costs and budgets), etc.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed. Analyze data and track trends for efficient application of maintenance		
Administrative Support Function – Procurement					
Vehicle Purchase and Repair	5.2	There is a process in place for vehicle purchase. Routine repairs are done by utility staff.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.	Low Risk	
Equipment Purchase and Repair		The equipment purchase and repair process is effective and does not impair or restrict collection system operation and maintenance.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Tools Purchase and Inventory		The tools purchase and inventory process is effective and does not impair or restrict collection system operation and maintenance.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Spare Parts Purchase and Inventory		The spare parts purchase and inventory process is effective and does not impair or restrict collection system operation and maintenance.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		
Supplies Purchase and Inventory		The supplies purchase and inventory process is effective and does not impair or restrict collection system operation and maintenance.	Continue current business practice. Incorporate documentation of business practice into a CMOM plan, as the plan is developed.		