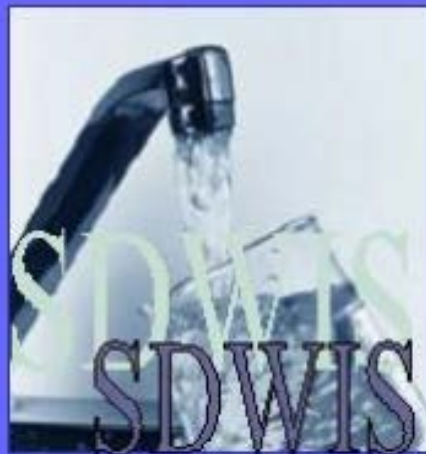


# Level 1 timeline of activities

SDWIS/STATE

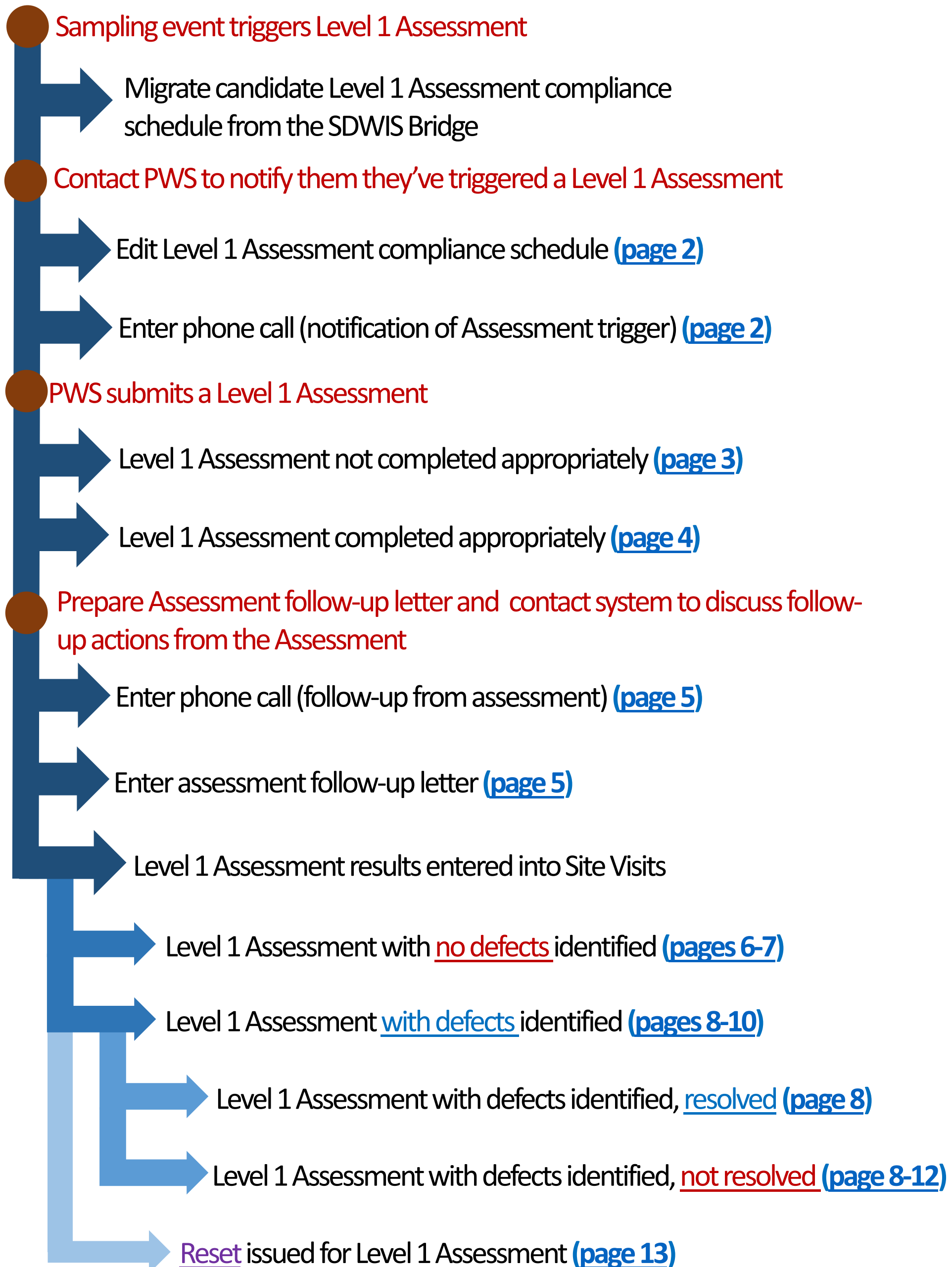
Release 3.32



- System Administration
- Inventory
- Site Visits
- Legal Entities
- Sampling
- Monitoring
- Enforcement
  - Enforcement Actions
- Compliance Schedules
  - Add
  - Maintain

## Links to helpful documents

- [Level 1 Assessment Form Staff Answer Key](#)
- [Template letters for Level 1 Assessment follow-up](#)



★ Follow the step by step instructions; DO NOT RELY ON THE SCREEN SHOTS!!! ★

# BEFORE THE ASSESSMENT HAS BEEN CONDUCTED

When a Level 1 Assessment has been triggered we need to notify the PWS immediately that it has been triggered. The Level 1 Assessment and corrections of any defects/issues identified is due 30 days after they've been notified. There are two items that need to be entered in SDWIS to track this part of the process (items specified below).

**Enter the phone call when we notified the PWS the Level 1 Assessment has been triggered**

### Enforcement Action Maintenance - Add

**Water System**  
 \*+ No. AK 2263080 >> Name TEST WATER SYSTEM

\*+Action Type PHA >> Name PHONE - RTCR ASSESSMENT Use for Federal reporting SOB

\*Enforcement Action Yea 2016 +FedRepID 0

State Asgn ID No. \*Regulating Agency AK DEPT OF ENVIRONMENTAL CONSERVATION >>

\*Status Taken Compliance Officer VANCE, JEANINE >>

\*+Status Date 05/16/2016 Comments  
 Notified PWS that they triggered a Level 1 Assessment due to multiple TC+ samples. Assessment due 6/15/16

\*Data Origin State

Year	FedRepID	Status	Vio. Type	Analyte Code	Analyte Name	State Period Begin Date	State Period End Date

**Enforcement** → **Enforcement Action** → **Add**

**Water System No:** Enter PWSID

**Action Type:** PHA PHONE – RTCR ASSESSMENT

**Compliance Officer:** Select the Compliance Officer

**Status Date:** The date to you notified the PWS that a Level 1 Assessment was triggered.

**Comments:** “Notified PWS that they triggered a Level 1 Assessment due to [reason], assessment due [enter date].”

Comments must document that you notified the PWS that a Level 1 Assessment was triggered and the due date of the assessment. You could also include what events triggered the Assessment.

**Associated violations:** There are no violations to associate with a Level 1 Assessment so you do not need to add anything here.

Scroll down and click **OK** to save the action

See SDWIS Bridge instructions for how to migrate the candidate compliance schedule  
**\*\*UNDER DEVELOPMENT\*\***

**Migrate the candidate Level 1 Assessment compliance schedule from the bridge and edit the schedule as appropriate**

Once the Level 1 Assessment compliance schedule has been migrated from the SDWIS Bridge, you'll need to edit the schedule. The Bridge will set the due date of the Assessment 30 days after the triggering event (ex: date of second TC+ sample) BUT the assessment is due 30 days after the PWS has been NOTIFIED an assessment has been triggered, these dates may differ.

***NOTE: Sometimes the Bridge will not create a candidate Level 1 Assessment compliance schedule. If this happens, you will need to enter the schedule manually.***

**Enforcement** → **Compliance Schedules** → **Maintain** → Select the **TCR1 – RTCR LEVEL 1 ASSESSMENT**

### Compliance Schedule Maintenance - Change

**Water System**  
 \*+ No. AK 2240820 >> Name

**Compliance Schedule**  
 No. 4  
 State Asgn ID No.  
 \*Regulating Agency ADEC DW KENAI/SOUTHEAST 3 DISTRICT >>  
 Compliance Officer BJORKMAN, JAMIE >>  
 Schedule Type TCR1 - RTCR LEVEL 1 ASSESSMENT  
 Effective Date 04/26/2016 Status Final  
 Closed Date 05/20/2016 Status Date  
 Description Notified Brenda Crimm of the level 1 assessment being triggered due to not enough repeats being collected.

Name	Due Date	Achieved Date	Condition (Derived)	Default Vio. Type
RTCR-LEVEL 1 – TC+ W/O ALL REPEATS	05/26/2016	05/20/2016	On Time	

Number of rows displayed: 1

Add Change Delete

\*\*\*Items listed in **Red** below require input when the Bridge generated the compliance schedule. If you are entering the schedule manually, you will also need to complete the items in **Green**\*\*\*

**Regulating Agency:** Select your office by deleting the default agency and then click the double arrows

**Compliance Officer:** Select the compliance officer

**Schedule Type:** TCR1 - RTCR LEVEL 1 ASSESSMENT

**Effective Date:** Date assessment was triggered

**Description:** Comments **must** document when the PWS was notified the Level 1 Assessment was triggered and any other important information about the triggering event.

Review the compliance schedule activity **due date**. This should match the assessment due date you gave the system when you called to notify them that they triggered an assessment.

*If you need to adjust the due date, select the Compliance Schedule Activity and hit the **Change** button*

*If you are adding the schedule manually, select the Compliance Schedule Activity and hit the **Add** button*

This will take you to the Compliance Schedule Activity Maintenance page

**Compliance Schedule Activity Name:** The activity listed here will change depending on how the assessment was triggered **RTCR-LEVEL 1 – MULTIPLE TC+ (due to multiple TC+ samples)** or **RTCR-LEVEL 1 – TC+ W/O ALL REPEATS (due to TC+ routine and missed repeats)**

**Due Date:** Enter the date you gave to the water system.

**Comments:** *Optional*

Once you're done click the **OK** button this will bring you back to the Compliance Schedule.



# Level 1 Assessment Form has been received but **NOT** complete

If the Level 1 Assessment has not been completed appropriately contact the PWS and let them know what items need to be corrected. We can extend the deadline up to 30 more days to make corrections to the assessment. We will track the extension through the compliance schedule.

**Enforcement** → **Compliance Schedules** → **Maintain** → **Enter PWSID**

## Compliance Schedule Maintenance List

Water System No.	Schedule Type	Status	Effective Date	Water System Name
AK2263080	RTCR LEVEL 1 ASSESSMENT	F	05/15/2016	TEST WATER SYSTEM
AK2263080	RTCR LEVEL 2 ASSESSMENT		01/08/2016	TEST WATER SYSTEM
AK2263080	RTCR SANITARY DEFECT	F	01/08/2016	TEST WATER SYSTEM
AK2263080	Construction Approval	F	07/20/2015	TEST WATER SYSTEM

From the Compliance Schedule Maintenance list, select **RTCR Level 1 Assessment**, double click to open (or highlight and from **Edit** menu select **Change**)

This will open the Compliance Schedule Maintenance page. Highlight the compliance schedule activity and click the **Change** button.



### Compliance Schedule Maintenance - Change

**Water System**  
 \*No. AK 2263080 >> Name TEST WATER SYSTEM

**Compliance Schedule**  
 No. 153  
 State Asgn ID No.   
 \*Regulating Agency AK DEPT OF ENVIRONMENTAL CONSERVATION >>  
 Compliance Officer VANCE, JEANINE >>  
 Schedule Type TCR1 - RTCR LEVEL 1 ASSESSMENT  
 Effective Date 05/15/2016  Status Final  
 Closed Date  Status Date   
 Description

**Compliance Schedule Activities**

Name	Due Date	Achieved Date	Condition (Derived)	Default Vio. Type
RTCR-LEVEL 1 - MULTIPLE TC+	06/24/2016		Pending	2A

Number of rows displayed: 1

\*\*\*Items listed in **Red** below require input.\*\*\*

**Due Date:** Make note of the previous due date before you delete it, then delete it and enter in the new due date

**Comment:** Add a comment noting that you extended the deadline, why you extended the deadline and what was the previous deadline date (that you just deleted).

Once you're done click the **OK** button this will bring you back to the Compliance Schedule Maintenance page.

Scroll down to the bottom of the screen and click **OK** again to save your changes.

### Compliance Schedule Activity Maintenance - Change

**Water System**  
 No. AK2263080 Name TEST WATER SYSTEM

**Compliance Schedule**  
 No. 153 Schedule Type TCR1 - RTCR LEVEL 1 ASSESSMENT  
 Effective Date 05/15/2016 Status Final  
 Closed Date Status Date

**Compliance Schedule Activity**  
 \*Name RTCR-LEVEL 1 - MULTIPLE TC+ >> Category Code RTCR  
 Due Date 06/24/2016    Projected Date    
 Achieved Date   Responsible Party   
 Reported Date    
 Condition Pending  
 Violation Status

**Comment**  
 Didn't evaluate their sampling procedures (all questions blank), extending the deadline. Originally due 6/14/16 now due 6/24/16

**Violation Type To Use When Creating a Candidate Violation**  
 Vio. Type 2A >> LEVEL 1 ASSESS, TC POS RT NO RPT (RTCR)

\*\*\*Now we wait until the PWS submits the Level 1 Assessment\*\*\*

# Level 1 Assessment Form has been received and deemed complete



Update the compliance schedule to document the Assessment form has been received

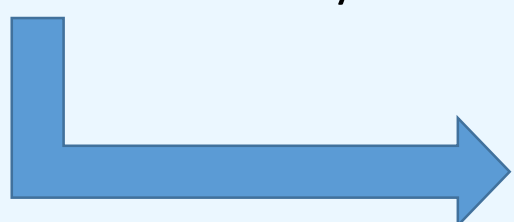
Enforcement → Compliance Schedules → Maintain → Enter PWSID

### Compliance Schedule Maintenance List

Water System No.	Schedule Type	Status	Effective Date	Water System Name
AK2263080	RTCR LEVEL 1 ASSESSMENT	F	05/15/2016	TEST WATER SYSTEM
AK2263080	RTCR LEVEL 2 ASSESSMENT		01/08/2016	TEST WATER SYSTEM
AK2263080	RTCR SANITARY DEFECT	F	01/08/2016	TEST WATER SYSTEM
AK2263080	Construction Approval	F	07/20/2015	TEST WATER SYSTEM

From the Compliance Schedule Maintenance list, select **RTCR Level 1 Assessment**, double click to open (or highlight and from **Edit** menu select **Change**)

This will open the Compliance Schedule Maintenance page. Highlight the compliance schedule activity and click the **Change** button. This will open the compliance schedule activity maintenance-change page.



### Compliance Schedule Maintenance - Change

**Water System**  
 No. AK 2263080 Name TEST WATER SYSTEM

**Compliance Schedule**  
 No. 153  
 State Asgn ID No.   
 \*Regulating Agency AK DEPT OF ENVIRONMENTAL CONSERVATION  
 Compliance Officer VANCE, JEANNE  
 Schedule Type TCR1 - RTCR LEVEL 1 ASSESSMENT  
 Effective Date 05/15/2016 Status Final  
 Closed Date  Status Date   
 Description

**Compliance Schedule Activities**

Name	Due Date	Achieved Date	Condition (Derived)	Default Vio. Type
RTCR-LEVEL 1 - MULTIPLE TC+	06/24/2016		Pending	2A

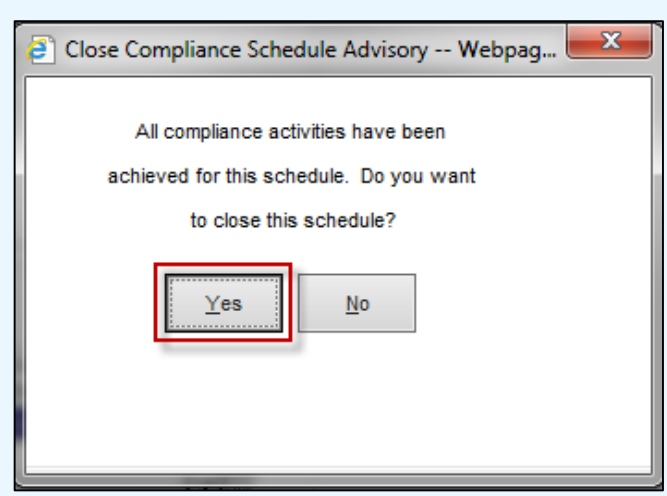
Number of rows displayed: 1 Add Change Delete

\*\*\*Items listed in **Red** below require input.\*\*\*

**Achieved Date:** Date when Level 1 Assessment form was received

**Comment:** Add a comment noting that the assessment was received

Once you're done click the **OK** button. This pop up should appear asking if you want to close the schedule, click **Yes**



After you've clicked yes this will bring you back to the Compliance Schedule Maintenance page.

Scroll down to the bottom of the screen and click **OK** again to save your changes.

### Compliance Schedule Activity Maintenance - Change

**Water System**  
 No. AK2263080 Name TEST WATER SYSTEM

**Compliance Schedule**  
 No. 153  
 Schedule Type TCR1 - RTCR LEVEL 1 ASSESSMENT  
 Effective Date 05/15/2016 Status Final  
 Closed Date  Status Date

**Compliance Schedule Activity**  
 \*Name RTCR-LEVEL 1 - MULTIPLE TC+ Category Code RTCR  
 Due Date 06/24/2016 Projected Date   
**Achieved Date 06/20/2016** Responsible Party   
 Reported Date   
 Condition On Time  
**Comment Submitted completed Level 1 Assessment form**

**Violation Type To Use When Creating a Candidate Violation**  
 Vio. Type 2A LEVEL 1 ASSESS, TC POS RT NO RPT (RTCR)

Documents Add New Activity **OK** Cancel Help

# Level 1 Assessment Form has been received and deemed complete continued...

After you've determined the assessment is complete you'll need to review it to see if any sanitary defects were identified and whether or not they've been addressed. You'll need this information for drafting the assessment response letter and for contacting the system to discuss the findings from the assessment. After you've called the system and completed the assessment letter, follow the instructions below:

**NOTE: The exact order of events described below may vary, they do not need to be entered in this specific order. Just be sure that each item is entered into the database.**



**Enter the Assessment consultation phone call (phone call discussing results of assessment)**

**Enforcement → Enforcement Action → Add**

### Enforcement Action Maintenance - Add

**Water System**  
 \*+ No. AK 2263080 >> Name TEST WATER SYSTEM

\*+Action Type PHA >> Name PHONE - RTRC ASSESSMENT Use for Federal reporting SO8

\*Enforcement Action Yea 2016 +FedRepID 59  
 State Asgn ID No. \*Regulating Agency AK DEPT OF ENVIRONMENTAL CONSERVATION >>

\*Status Taken >> Compliance Officer VANCE, JEANINE >>

\*+Status Date 06/21/2016 >> Comments Called PWS to discuss results of assessment, still need to fix the SD-LEAK defect identified gave them until 6/27/16 to get it corrected

\*Data Origin State >>

Year	FedRepID	Status	Vio. Type	Analyte Code	Analyte Name	State Period Begin Date	State Period End Date	F

**Water System No:** Enter PWSID

**Action Type:** PHA PHONE – RTRC ASSESSMENT

**Compliance Officer:** Select the Compliance Officer

**Status Date:** The date the EPS contacted the system to discuss the results of the Level 1 Assessment

**Comments:** Comments must document that you contacted the PWS to discuss the results of the Level 1 Assessment. Please note any deadlines you discussed regarding any follow-up actions and deadlines for sanitary defects or other issues identified.

**Associated violations:** There are no violations to associate with a Level 1 Assessment so you do not need to add anything here

Scroll down and click **OK** to save the action



**Enter the Assessment follow-up letter**

**Enforcement → Enforcement Action → Add**

### Enforcement Action Maintenance - Add

**Water System**  
 \*+ No. AK 2263080 >> Name TEST WATER SYSTEM

\*+Action Type LAS >> Name ASSESSMENT LETTER Use for Federal reporting SO8

\*Enforcement Action Yea 2016 +FedRepID 62  
 State Asgn ID No. \*Regulating Agency AK DEPT OF ENVIRONMENTAL CONSERVATION >>

\*Status Taken >> Compliance Officer VANCE, JEANINE >>

\*+Status Date 06/21/2016 >> Comments Assessment follow up letter sent - two defects were identified (SD-SPBX and SD-LEAK) the SPBX defect was resolved and the SD-LEAK will need to be corrected by 6/27/16

\*Data Origin State >>

Year	FedRepID	Status	Vio. Type	Analyte Code	Analyte Name	State Period Begin Date	State Period End Date	F

**Water System No:** Enter PWSID

**Action Type:** LAS – ASSESSMENT LETTER

**Compliance Officer:** Select the Compliance Officer

**Status Date:** The date the follow-up letter was sent to the system describing the results from the Level 1 Assessment

**Comments:** Comments must document that the follow-up assessment letter was sent. Include details about any corrective actions that still need to be taken and associated deadlines.

**Associated violations:** There are no violations to associate with a Level 1 Assessment so you do not need to add anything here

Scroll down and click **OK** to save the action



# Level 1 Assessment Form has been received and deemed complete continued...

Enter the Level 1 Assessment into Site Visit to document the findings of the assessment

If NO defects were identified continue following instructions below:  
If defects were identified skip to [page 8](#)

Site Visits → Site Visit → Add

**No:** The PWSID number

**Status:** C-Completed

**Due Date:** Date the Level 1 Assessment Form was due back to the DW Program

**Date of Visit:** Date the Level 1 Assessment was conducted (*this date should be noted on the form*)  
**NOTE:** This is **not** the date the form was received by the program  
**Primary Reason:** Select **LV1A- Level 1 Assessment rTCR**

**WS Notification Date:** The date that you notified the PWS that a Level 1 Assessment had been triggered. This date is very important, it is used by the Standard Response feature to calculate the Due Dates for the Sanitary Defects compliance schedule.

The categories will all be defaulted to **Z - Not Applicable**. You will need to change each of them to **N - No deficiencies/recommendations** by clicking on the down arrow and selecting the appropriate status

The Security, Financial, and Other categories can be left as **Z - Not Applicable**

Once you're done with this section, scroll down the page to Parties Present.

The individual(s) listed in this section should be those who were present at the time the assessment took place.

To add a person to this section choose **Associate** and enter the person's name. Then select the individual who conducted the assessment and select **Make Role Primary**.

**NOTE:** If an individual involved with the assessment is not entered in SDWIS you'll need to enter their name through Legal Entities first, then associate to the inspection.

**Make Role Primary:** Once an individual is selected, a P for Primary will appear in the Role column.

Leave the **Visit Frequency** and **Next Due Date** section **blank** since these inspections are triggered based on sample results

Since no defects were identified on the Level 1 Assessment you can scroll past the **Deficiencies** and **Schedule Activities by Deficiency** sections and go straight to the comments section

Example #1

You must include comments for each assessment. The comments should include the results of the Level 1 Assessment, whether issues or defects were identified, if the issues/defects were corrected, how they were corrected, and whether or not a reset was issued. If a reset is issued please [see page 13](#) for how to document the reset.

Example #2

Once comments are complete click to save the Site Visit.

See example of completed Site Visit on next page >>>

# Completed Site Visit for PWS with NO defects identified

## Site Visit Maintenance - Add

### Water System

\* No. AK 2263080 >> TEST WATER SYSTEM

Site Visit No. 0 \* Status C - Completed Due Date 06/24/2016 Date of Visit 05/30/2016

\* Primary Reason LV1A - Level 1 Assessment rTCR WS Notification Date 05/16/2016

\* Regulating Agency AK DEPT OF ENVIRONMENTAL CONSERVATION >> Highest Deficiency Severity None

### Category Evaluation Summary

Source	N - No deficiencies/recommendations	Management & Operations	N - No deficiencies/recommendations
Treatment	N - No deficiencies/recommendations	Operator Compliance	N - No deficiencies/recommendations
Distribution System	N - No deficiencies/recommendations	Security	Z - Not applicable
Finished Water Storage	N - No deficiencies/recommendations	Financial	Z - Not applicable
Pumps (fac, cntls, etc.)	N - No deficiencies/recommendations	Other	Z - Not applicable
M/R & Data Verification	N - No deficiencies/recommendations		

Specify Default Calculate Category Evaluation

### Parties Present

Role	Name	Organization	Mail Stop
P	COBBS, KELLY	ADEC DW PROGRAM	
	WESTBROOK, RACHEL		

Associate Disassociate Make Role Primary Set Role

Visit Frequency: Every 0 <NONE> Calculate Next Due Date  
Next Due Date Violation Type >>

### Deficiencies

No.	Severity	Category	Date Identified	WSF State Asgn ID	Description
-----	----------	----------	-----------------	-------------------	-------------

Add Associate Change Delete

Compliance Schedule No. 0

### Scheduled Activities by Deficiency

No.	Name	Due Date	Achieved Date	Condition (Derived)	Projected Da
-----	------	----------	---------------	---------------------	--------------

Custom Compliance Schedule Standard Response WS Modification OK Cancel Help

### Comments

No defects were identified during the assessment and PWS could not find a reason for the TC+ samples. A reset will NOT be issued for this Assessment. JPV

Did you close out the Level 1 Assessment Compliance schedule? (pg. 4)

Did you enter the Assessment follow-up phone call? (pg. 5)

Did you enter your Assessment follow-up letter? (pg. 5)

Did you enter the Site Visit? (pg. 6)

If the answer to all of the questions above is YES, congratulations you are DONE with the data entry for this Assessment!



# Level 1 Assessment Form has been received and deemed complete continued...

Enter the Level 1 Assessment into Site Visit to document the findings of the assessment

If defects were identified continue following instructions below:

Site Visits → Site Visit → Add

**No:** The PWSID number

**Status:** C-Completed

**Due Date:** Date the Level 1 Assessment Form was due back to the DW Program

**Date of Visit:** Date the Level 1 Assessment was conducted (*this date should be noted on the form*)  
**NOTE:** This is **not** the date the form was received by the program

**Primary Reason:** Select **LV1A- Level 1 Assessment rTCR**

## Site Visit Maintenance - Change

**WS Notification Date:** The date that you notified the PWS that a Level 1 Assessment had been triggered. This date is very important, it is used by the Standard Response feature to calculate the Due Dates for the Sanitary Defects compliance schedule.

Once you're done with this section, scroll down the page to **Parties Present**.

The individual(s) listed in this section should be those who were present at the time the assessment took place.

To add a person to this section choose **Associate** and enter the person's name. Then select the individual who conducted the assessment and **Make Role Primary**.

**Make Role Primary:** Once an individual is selected, a *P* for Primary will appear in the Role column.

Leave the **Visit Frequency** and **Next Due Date** section **blank** since these inspections are triggered based on sample results

Now let's add the Sanitary Defects that were identified during the Level 1 Assessment. You will need to add defects even if the PWS submitted documentation that the defect was resolved.

If the defect has been **RESOLVED** follow the instructions below:  
If the defect has **NOT** been resolved go to [page 9](#) for instructions

## Deficiency Maintenance - Add

Scroll down the page to the **Deficiencies** section and click **Add**.

**Deficiency Type:** Click on the double arrows **>>** and select the defect type. Remember all defects related to RTCR begin with **SD-XXXX**.

**Description:** Do **NOT** enter anything in this field

**Category:** If the category is not listed, it is because the specific defect selected is related to multiple categories. [Check the staff key](#) for which category should be selected

**Resolved Date:** If documentation was provided showing the defect was resolved, enter that date the documentation was provided to the department.

**Comments:** You must include comments related to the defect and how it was corrected including what documentation was provided.

Scroll down to the end of the page and click **OK**.



If the defect has NOT BEEN RESOLVED follow the instructions below:

## Deficiency Maintenance - Add

**Water System**  
 No. [AK] [2263080] >> [TEST WATER SYSTEM]

**Site Visit**  
 No. 20 Date of Visit 05/15/2015 WS Notification Date 05/16/2016

Deficiency No. 94

Deficiency Type [SD-LEAK] >> (RTCR-SD) Leaks (water) detected during assessment

Description

\* Severity [Significant] \* Category [SM - System Management & Operation]

Date Identified [05/30/2016] WS Notification Date [05/16/2016]

WSF State Asgn ID >>

Resolved Date

Comments [Leak was identified at XXX during the assessment]

Scroll down the page to the **Deficiencies** section and click **Add**.

**Deficiency Type:** Click on the double arrows >> and select the defect type. Remember all defects related to RTCR begin with **SD-XXXX**.

**Description:** Do **NOT** enter anything in this field

**Category:** If the category is not listed, it is because the specific defect selected is related to multiple categories. [Check the staff key](#) for which category should be selected

**Resolved Date:** Leave blank

**Comments:** You must include comments to provide more details about the defect

Scroll down to the end of the page and click **OK**.

Continue this process until you've added all the defects that were identified during the Level 1 Assessment

The categories will all be defaulted to **Z- Not Applicable**. You will need to select the appropriate status for each category by first clicking the **Calculate Category Evaluation** button. This will add the severity level for each of the defects you entered in the appropriate category.

**Category Evaluation Summary**

Source	[S - Significant deficiency(ies)]	Management & Operations	[N - No deficiencies/recommendations]
Treatment	[Z - Not applicable]	Operator Compliance	[N - No deficiencies/recommendations]
Distribution System	[N - No deficiencies/recommendations]	Security	[Z - Not applicable]
Finished Water Storage	[N - No deficiencies/recommendations]	Financial	[Z - Not applicable]
Pumps (fac, cntls, etc.)	[N - No deficiencies/recommendations]	Other	[Z - Not applicable]
M/R & Data Verification	[N - No deficiencies/recommendations]		

Specify Default **Calculate Category Evaluation**

For the remaining categories you will need to change them by clicking on the down arrow [v] and selecting the appropriate status as shown in the box to the right

[<NONE>]

S - Significant deficiency(ies)

M - Minor deficiency(ies)

R - Recommendation(s) made

**N - No deficiencies/recommendations**

X - Not evaluated

Z - Not applicable

Select **N – No deficiencies/recommendations** when the component was evaluated but no defects were identified

Select **Z-Not applicable** if the PWS does not have the particular component

Select **X-Not evaluated** or **Z-Not applicable** for the Security, Financial, and Other categories

Do not leave any categories listed as <NONE> this will generate a data error when we do our quarterly file transfer to EPA

### IMPORTANT NOTE!

Each defect type can only be entered once per category (source, treatment, distribution system, etc.). For example if a system completed the Level 1 Assessment and in the TREATMENT section answered two questions incorrectly that resulted in two SD-FTOA defects. You will only be able to enter one SD-FTOA defect for the Treatment category. You must use the comments section of the defect to explain what two items triggered the defect so that we can be sure the system corrects each item as appropriate.

# Level 1 Assessment Form complete – defects identified continued...

Now you are ready to apply the Standard Response to each defect that has NOT been resolved. The Standard Response will create a Compliance Schedule and appropriate compliance schedule activities for each unresolved defect.

No.	Severity	Category	Date Identified	WSF State Asgn ID	Description
93	SIG	SO	05/30/2016		SD-SPBX - (RTCR-SD) Improperly constructed source
94	SIG	SM	05/30/2016		SD-LEAK - (RTCR-SD) Leaks (water) detected during assessment

Compliance Schedule No. 0

**Scheduled Activities by Deficiency**

No.	Name	Due Date	Achieved Date	Condition (Derived)	Projected Date

Buttons: Custom Compliance Schedule, **Standard Response**, WS Modification, OK, Cancel, Help

Highlight the unresolved defect by clicking on it, then click on the **Standard Response** button.

Be sure to make a note of the defect type code (*in this example we would write down SD-LEAK*) because you will need this code to select the appropriate Standard Response.

This will bring you to the **Standard Response Maintenance List**

Standard Response	Type
RTCR SAN DEFECT - SD-FTOA	D
RTCR SAN DEFECT - SD-GSEA	D
RTCR SAN DEFECT - SD-LEAK	D
RTCR SAN DEFECT - SD-MCTN	D

You will need to scroll down till you find the appropriate RTCR Sanitary Defect Standard Response. They are all formatted as follows: RTCR-SAN DEFECT-SD-XXXX

Select the appropriate **Standard Response** by double clicking on the name (or by clicking on the name → Edit menu → Select)

You will be taken back to the Site Visit Maintenance page

No.	Severity	Category	Date Identified	WSF State Asgn ID	Description
93	SIG	SO	05/30/2016		SD-SPBX - (RTCR-SD) Improperly constructed source
94	SIG	SM	05/30/2016		SD-LEAK - (RTCR-SD) Leaks (water) detected during assessment

Compliance Schedule No. 154

**Scheduled Activities by Deficiency**

No.	Name	Due Date	Achieved Date	Condition (Derived)	Projected Date
94	RTCR-CORRECT SD - LEAK SANITARY DEFECT	06/15/2016		Pending	05/16/2016

Now you can see that the Defect has a compliance schedule activity associated to it.

If you have more unresolved defects, repeat the process until you've applied the Standard Response to each unresolved defect.

*Please be sure that you only have one defect selected/highlighted at a time in order for the Standard Response to be applied appropriately.*

*If you accidentally apply the Standard Response incorrectly you can make corrections through the Compliance Schedule screen, you cannot make the corrections from here (Site Visit)*

Once you applied the appropriate Standard Response to each unresolved defect, scroll down to the **Comments section**

Comments

PWS identified two defects during the Level 1 Assessment and no other issues. The SD-SPBX was resolved and documentation was submitted. The SD-LEAK defect was not resolved and after discussion with the system we are giving them until the end of the month to correct the issue (6/31/2016) as they are waiting on a part to correct the issue. As of right now we are unable to issue a reset until the defect is corrected JPV 6/21/16

You must include comments for each assessment. The comments should include the results of the Level 1 Assessment, whether the issues or defects were identified, if the issues/defects were corrected, how they were corrected, and whether or not a reset was issued. If a reset is issued please [see page 13](#) for how to document the reset.

Once comments are complete click **OK** to save the Site Visit.

**See example of completed Site Visit on next page >>>>**

# Completed Site Visit for PWS with defects identified

## Site Visit Maintenance - Add

### Water System

\* No. AK 2263080 >> TEST WATER SYSTEM

Site Visit No. 20 \* Status C - Completed Due Date 06/24/2016 Date of Visit 05/30/2016

\* Primary Reason LV1A - Level 1 Assessment rTCR WS Notification Date 05/16/2016

\* Regulating Agency AK DEPT OF ENVIRONMENTAL CONSERVATION >> Highest Deficiency Severity Significant

### Category Evaluation Summary

Source	S - Significant deficiency(ies)	Management & Operations	S - Significant deficiency(ies)
Treatment	Z - Not applicable	Operator Compliance	N - No deficiencies/recommendations
Distribution System	N - No deficiencies/recommendations	Security	X - Not evaluated.
Finished Water Storage	N - No deficiencies/recommendations	Financial	X - Not evaluated.
Pumps (fac, cntls, etc.)	N - No deficiencies/recommendations	Other	X - Not evaluated
M/R & Data Verification	N - No deficiencies/recommendations		

Specify Default Calculate Category Evaluation

### Parties Present

Role	Name	Organization	Mail Stop
P	COBBS, KELLY	ADEC DW PROGRAM	
	WESTBROOK, RACHEL		

Associate Djsassociate Make Role Primary Set Role

Visit Frequency: Every 0 <NONE> Calculate Next Due Date

Next Due Date Violation Type >>

### Deficiencies

No.	Severity	Category	Date Identified	WSF State Asgn ID	Description
93	SIG	SO	05/30/2016		SD-SPBX - (RTCR-SD) Improperly constructed source
94	SIG	SM	05/30/2016		SD-LEAK - (RTCR-SD) Leaks (water) detected during assessme

Add Associate Change Delete

Compliance Schedule No. 154

### Scheduled Activities by Deficiency

No.	Name	Due Date	Achieved Date	Condition (Derived)	Projected Da
94	RTCR-CORRECT SD - LEAK SANITARY DEFECT	06/15/2016		Pending	05/16/2016

Custom Compliance Schedule Standard Response WS Modification OK Cancel Help

Documents

### Comments

PWS identified two defects during the Level 1 Assessment and no other issues. The SD-SPBX was resolved and documentation was submitted. The SD-LEAK defect was not resolved and after discussion with the system we are giving them until the end of the month to correct the issue (6/31/2016) as they are waiting on a part to correct the issue. As of right now we are unable to issue a reset until the defect is corrected JPV 6/21/16

Did you close out the Level 1 Assessment Compliance schedule? (pg. 4)

Did you enter the Assessment follow-up phone call? (pg. 5)

Did you enter your Assessment follow-up letter? (pg. 5)

Did you enter the Site Visit? (pg. 6)

If the answer to all of the questions above is YES, you are ready to proceed to the final step, completing the Sanitary Defect Compliance schedule (NEXT PAGE)



# Level 1 Assessment Form complete – defects identified continued...

## Review & complete Sanitary Defect compliance schedule

**Enforcement** → **Compliance Schedule** → **Maintain** → **Enter PWSID**

From the Compliance Schedule Maintenance list, select **RTCR SANITARY DEFECT** compliance schedule, double click to open (or highlight and from **Edit** menu select **Change**)

**Water System**  
 No. AK 2263080 Name TEST WATER SYSTEM

**Compliance Schedule**  
 No. 154  
 State Asgn ID No.   
 \*Regulating Agency AK DEPT OF ENVIRONMENTAL CONSERVATION  
 Compliance Officer   
 Schedule Type TCSD - RTCR SANITARY DEFECT  
 Effective Date 05/16/2016 Status Final  
 Closed Date  Status Date 03/18/2016  
 Description Defect identified during Level 1 Assessment

Name	Due Date	Achieved Date	Condition (Derived)	Default Vio. Type
RTCR-CORRECT SD - LEAK SANITARY DEFECT	06/15/2016		Pending	2C

Number of rows displayed: 1

No.	Severity	Category	Date Identified	WSF State Asgn ID	Description
94	SIG	SM	05/30/2016		SD-LEAK - (RTCR-SD) Leaks (water) detected du

Review the compliance schedule to make sure it includes the compliance schedule activities and associated sanitary defects that you expect. Here are a couple of things you should look for;

- Check that each compliance schedule activity has the appropriate defect attached to the schedule.
- Check to make sure each compliance schedule activity has only ONE defect attached to it.
- Check that each unresolved defect entered into the Site Visit has an activity
- Review the corrective action due date for each defect and adjust as needed. This date MUST match the deadline dates that were outlined in the Assessment follow-up letter to the system.

\*\*\*Items listed in **Red** below require input.\*\*\*

**Compliance Officer:** Add the compliance officer

**Description:** Must include comments about whether the defects were identified during a Level 1 or Level 2 assessment.

**Activity Due Date:** This date may need to be adjusted to match the dates outlined in the Assessment follow-up letter. To adjust the due date select the Compliance Schedule Activity and hit the **Change** button.

This will take you to the **Compliance Schedule Activity Maintenance** page

**Compliance Schedule Activity Maintenance - Change**

**Water System**  
 No. AK2263080 Name TEST WATER SYSTEM

**Compliance Schedule**  
 No. 154  
 Schedule Type TCSD - RTCR SANITARY DEFECT  
 Effective Date 05/16/2016 Status Final  
 Closed Date  Status Date 03/18/2016

**Compliance Schedule Activity**  
 \*Name RTCR-CORRECT SD - LEAK SANITARY DEFECT Category Code RTCR  
 Due Date 06/27/2016 Projected Date 05/16/2016  
 Achieved Date  Responsible Party   
 Reported Date   
 Condition Pending  
 Violation Status  
 Comment Leak in XXXX was identified during the assessment

**Violation Type To Use When Creating a Candidate Violation**  
 Vio. Type 2C CORRECTIVE/EXPEDITED ACTIONS (RTCR)

**Due Date:** Delete the due date listed and enter the date from the Assessment follow-up letter.

**Comments:** Comments should include detail about the defect that needs to be corrected

Once you're done click the **OK** button this will bring you back to the Compliance Schedule.

Complete this process for each defect until all the activity due dates match the dates from the Assessment follow-up letter.

Once you're done click the **OK** button to save the changes to eh Compliance Schedule.

ONCE THE PWS SUBMITS DOCUMENTATION THAT A DEFECT HAS BEEN CORRECTED, REFER TO THE MANAGING SANITARY DEFECT COMPLIANCE SCHEDULE GUIDANCE DOCUMENT (coming soon)

**Congratulations you are DONE with the data entry for this Assessment!**

# Tracking when a "reset" for the Level 1 Assessment



As a reminder we can issue a Level 1 "reset" when "the State has determined a likely reason that caused the TC+ samples **AND** has established that the system has corrected the problem." You must consult with your Program Coordinator prior to issuing a reset.

There are 3 areas in SDWIS to enter information when a reset has been issued, listed below:

➤ **Site Visit (page 10)** - Add comment that a reset was issued in the **Comments** section of the Site Visit

Comments

No defects were identified that are defects that we are tracking. Sample error was identified and the problems have been corrected. **A reset will be issued.**

➤ **Assessment Letter (LAS) Enforcement Action (page 5)** - Add comment in the Assessment follow-up letter enforcement action that a reset was issued (*be sure that it's actually included in the letter as well*)

### Enforcement Action Maintenance - Change

**Water System**

\*+ No. AK 2240820 >> Name GRIZZLY RIDGE, LLC

\*+Action Type LAS >> Name ASSESSMENT LETTER Use for Federal reporting S08

\*Enforcement Action Yea 2016 +FedRepID 7018911

State Asgn ID No. \*Regulating Agency AK DEPT OF ENVIRONMENTAL CONSERVATION >>

\*Status Taken > Compliance Officer BJORKMAN, JAMIE >>

\*+Status Date 05/26/2016

\*Data Origin State

Comments: been addressed. I requested additional info on storage tank replacement that was done as a separate event after the assessment was triggered and corrected. **Reset was issued.**

➤ **Level 1 Assessment Compliance Schedule (page 4)**

- Add comment that a reset was issued in the **Description** of the Level 1 Assessment schedule
- Add comment that a reset was issued in the **Comment** section of the compliance schedule activity
- Delete the violation from the compliance schedule activity

### Compliance Schedule Maintenance - Change

**Water System**

\*+ No. AK 2240820 >> Name GRIZZLY RIDGE, LLC

**Compliance Schedule**

No. 4

State Asgn ID No.

\*Regulating Agency ADEC DW KENAI/SOUTHEAST 3 DISTRICT >>

Compliance Officer BJORKMAN, JAMIE >>

Schedule Type TCR1 - RTCR LEVEL 1 ASSESSMENT >

Effective Date 04/26/2016 Status Final >

Closed Date 05/20/2016 Status Date

Description: Notified Brenda Crimm of the level 1 assessment being triggered due to not enough repeats being collected. **Reset issued.**

### Compliance Schedule Activity Maintenance - Change

**Water System**

No. AK2240820 Name GRIZZLY RIDGE, LLC

**Compliance Schedule**

No. 4 Schedule Type TCR1 - RTCR LEVEL 1 ASSESSMENT >

Effective Date 04/26/2016 Status Final >

Closed Date 05/20/2016 Status Date

**Compliance Schedule Activity**

\*Name RTCR-LEVEL 1 - TC+ W/O ALL REPEATS >> Category Code RTCR

Due Date 05/26/2016 Projected Date

Achieved Date 05/20/2016 Responsible Party

Reported Date Comment Submitted level 1 assessment form - **Reset issued**

Condition

Violation Status

**Violation Type To Use When Creating a Candidate Violation**

Vio. Type 2A >> LEVEL 1 ASSESS, TC POS RT NO RPT (RTCR)

Delete violation

Documents Add New Activity OK Cancel Help