



**American Water Works
Association**

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ANSI/AWWA G410-18
(Revision of ANSI/AWWA G410-09)

AWWA Standard

Business Practices for Operation and Management

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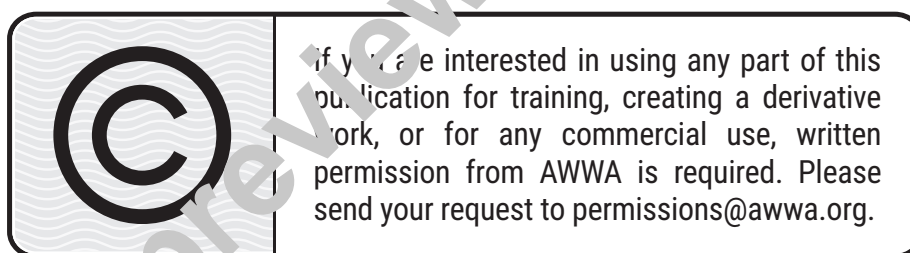
AWWA Standard

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Foreword

This foreword is for information only and is not a part of ANSI/AWWA G410.*

I. Introduction.

I.A. *Background.* The AWWA Standards Program is designed to serve water, wastewater and reclaimed water utilities—hereafter, the water sector—their customers, owners, service providers, and government regulators. The standards developed under the program are generally intended to improve a utility's overall operations and service. Among these standards is this effort to establish formal management and operations guidelines. These guidelines identify appropriate practices, procedures, and behaviors whose implementation will promote effective and efficient utility operations and contribute to protection of public health, public safety, and the environment.

AWWA's standards process has been used for more than 20 years to produce American National Standards Institute (ANSI)—recognized standards for materials and processes that are used by the water sector. These standards are recognized worldwide and have been adopted by many utilities and organizations. Likewise, this performance standard is developed using the same ANSI-recognized formal process. Volunteer standards committees establish standard practices in a uniform and appropriate format.

Formal AWWA standards committees have been and continue to be formed to address the individual standard practices for the diverse range of water sector utilities. A formal standards committee was created in November 2006 to create this standard, Business Practices for Operations and Management.

AWWA has developed a series of utility management standards designed to cover the principal activities of water sector utilities. Some examples of the individual topics in this series include those for water treatment plant operation and management, distribution system operation and management, source water protection, emergency preparedness practices, security practices, communication and customer relations, business practices, water conservation program operation and management, reclaimed water operation and management as well as wastewater collection system operation and management and wastewater treatment plant operations and management. More topics will be added over time, including additional standards related to wastewater operations.

* American National Standards Institute, 25 West 43rd Street, Fourth Floor, New York, NY 10036.

I.B. *History.* The first edition was approved by the AWWA Board of Directors on January 25, 2009. This second edition of G410 was approved on June 9, 2018.

I.C. *Acceptance.* There is no applicable information for this section.

II. Special Issues.

II.A. *Advisory Information on Application of Standards.* This standard is limited exclusively to and includes only those requirements for establishing effective operation and management business practices for water sector utilities. Separate standards adopted by the Standards Program cover development of a utility management system framework and other programs such as water treatment plant operation and management, distribution system operation and management, source water protection, security practices, emergency preparedness, and customer relations and communications.

III. **Use of This Standard.** It is the responsibility of the user of an AWWA standard to determine that the products and provisions described in the standard are suitable for and compatible with the user's intended application being considered.

III.A. *Purchaser Options and Alternatives.* The following information should be provided by the purchaser:

1. Industry standard used—that is, ANSI/AWWA C 410, Business Practices for Operation and Management, of latest revision.
2. Details of federal, state, and local requirements.

III.B. *Modification to Standard.* No applicable information for this section.

IV. **Major Revisions.** Major revisions made to the standard in this edition include the following:

1. Updated requirements related to strategic plan in Section 4.1.2.1
2. Section 4.2 added references to AWWA standards J100—Risk and Resilience Management of Water and Wastewater Systems and G430—Security Practices for Operation and Management.
3. Section 4.2 added requirements for effective capital improvement program (CIP) project delivery, technologies for information management and process controls, and training.
4. Section 4.3 added references to continual improvement programs and requirements for practices, tools, and training.
5. Section 4.4 added engineering requirements for outsourcing, inspection, design data requirements, practices, and tools.

6. Section 4.5 added requirements related to financial accounting procedures, debt management metrics, rate-making methodologies and internal management controls.

7. Section 4.6 added governance requirements for corporate policies related to assets and data.

8. Section 4.8 added suggested training for succession planning.

9. Section 4.9 added requirements for outsourcing information systems, accountability for program execution, processes for ensuring performance, methods for alternatives, incorporating best management practices (BMPs), stakeholder involvement, and allocation of resources.

10. Addition of Section 4.14 on asset management including policies, procedures, strategies, organizational capacity and technology, and integration of practices.

V. Comments. If you have any comments or questions about this standard, please call AWWA Engineering and Technical Services at 303.794.7711, FAX at 303.795.7603, write to the department at 6666 West Quincy Avenue, Denver, CO 80235-3098, or e-mail at standards@awwa.org.



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SECTION 1: GENERAL

Sec. 1.1 Scope

This standard describes the critical elements of effective business practices for the operation and management of water, wastewater, and reclaimed water utilities (to be referred to as the water sector). It encompasses the major functions necessary to manage and sustain a successful utility.

Sec. 1.2 Purpose

The purpose of this standard is to establish criteria for how the water sector develops, measures the performance of, and improves the strategic planning, resource management, and support functions necessary to create and sustain a high-performing organization. This standard describes the framework that successful utilities should use in developing and improving the performance of these business practices, including the establishment of policies and performance standards, the creation of functions and practices, the development of organization capacity and technology, and integration of functions and practices with the larger organization and its strategies.