



**American Water Works
Association**

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ANSI/AWWA G400-18
(Revision of ANSI/AWWA G400-09)

AWWA Standard

Utility Management System

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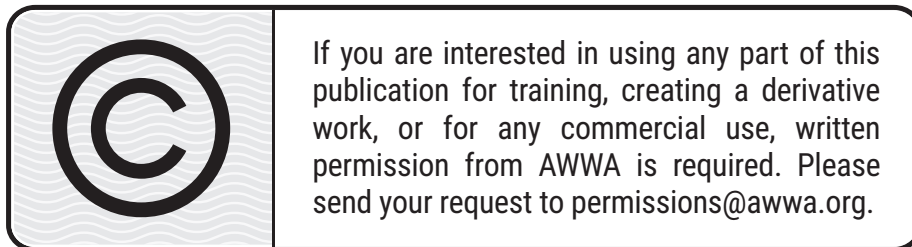
AWWA Standard

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Foreword

This Foreword is for information only and is not a part of ANSI/AWWA G400.*

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 programs is a specific effort to establish formal management and operations guidelines. These guidelines identify the 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 90 years to produce American National Standards Institute (ANSI)–approved 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 for utility management systems. This standard is the outcome of the Standards Committee industry expertise.

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

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topics will be added over time, including additional standards related to wastewater operations.

Further, this specific utility management system standard is intended for use with each of the individual standards in the series of utility management standards. It is the guide and framework into which the others fall.

In addition, there are a number of other important documents that both drinking water and wastewater utilities should consider using as they develop management systems in conformance with this standard. Three key examples are (1) *Effective Utility Management: A Primer for Water and Wastewater Utilities*, which has been endorsed by AWWA, EPA, and nine other leading water sector organizations and is available at www.watereum.org; (2) AWWA's Partnership for Safe Water (www.awwa.org/Partnership) and Partnership for Clean Water (<https://www.awwa.org/resources-tools/water-and-wastewater-utility-management/partnership-for-clean-water.aspx>) programs; and (3) *Operational Guide to AWWA Standard G400, Utility Management System*.

I.B. *History.* The first edition was approved by the AWWA Board of Directors on Jan. 25, 2009. This edition was approved on Jan. 20, 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 includes only those requirements that are limited exclusively to establishing a framework for a utility management system for water sector utilities. Separate standards within the series of utility management standards and adopted by the Standards program have been and will continue to be developed to cover the principal activities of a typical water and/or wastewater utility.

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 that standard are suitable for and compatible with the user's intended application being considered.

III.A *Options and Alternatives.* The following information should be provided:

1. Industry standard used—that is, ANSI/AWWA G400—Utility Management System, of latest revision.
2. Details of federal, state, and local government guidance, programs, practices, and/or regulatory requirements (Sec. 4.2.1).

III.B *Modification to Standard.* There is no applicable information for this section.

IV. Major Revisions. Major changes made to the standard in this revision include the following:

1. Integration of references to Effective Utility Management (EUM) throughout standard.
2. Integration of AWWA Benchmarking—Performance Indicators for Water and Wastewater Utilities, ANSI*/AWWA G420—Communication and Customer Relations, ANSI/AWWA G430—Security Practices for Operations and Management, and ANSI/AWWA G440—Emergency Preparedness Practices.
3. Addition of Sec. 4.1.2 for documentation of sustainability policy.
4. Update of Sec. 4.2.1 related to legal and regulatory requirements.
5. Update of Sec. 4.4 for additional requirements to performance indicators and audits.
6. Update of Sec. 4.7 for additional requirements to emergency preparedness and security.
7. Update of Sec. 5.2.2 for additional requirements to personnel competence, awareness, and training.

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 covers the essential requirements for an effective utility management system.

Sec. 1.2 Purpose

The purpose of this standard is to define the minimum requirements for establishing a utility management system for a water or wastewater utility that will promote continuous improvement.

Sec. 1.3 Application

This standard can be referenced to provide water or wastewater utilities with a basis for continuous improvement, or it can be used as a component of an already existing program or effort.

SECTION 2: REFERENCES

This standard references the following documents. In their latest editions, they form a part of this standard to the extent specified within the standard. In any case of conflict, the requirements of this standard shall prevail.