

Date Signed: July 29, 1997

MEMORANDUM

SUBJECT: Regional Data Management Roles

FROM: Janet L. Auerbach, Chief
Information Management Branch
Implementation and Assistance Division, OGWDW

TO: Regional Drinking Water and Data Management
Branch Chiefs

At the Regional Branch Chiefs meeting in Philadelphia in April, I mentioned a number of roles for the regions with regard to support of SDWIS/LAN, SDWIS/FED, and the Data Sharing Committee. The effectiveness of the regional role will determine the level of success of SDWIS. This memo follows up on that discussion and seeks commitment from the regions regarding support for SDWIS/FED and SDWIS/LAN.

SDWIS/FED

Attachment A to this memo is a list of SDWIS/FED coordinator functions. This list may help you understand all that your coordinator does. It also provides a checklist to make sure that all responsibilities are covered.

As discussed at the meeting, we believe that regions should be providing beginner level SDWIS/FED training for regional and state staff. Attachment B is an agenda for a beginner level training course. I raised the question at the meeting whether any region was willing to pay travel costs to send its trainer to another region to conduct training, or send its staff to another region to take training. If either of these options interests you, let me know and I can try to arrange some match-making.

SDWIS/LAN

We plan to conduct an evaluation of SDWIS/LAN in the pilot states and regions this fall and winter, make any needed software modifications next spring, and install SDWIS/LAN in new states by next summer. Two states, West Virginia and Vermont, have applied for and received approval to have SDWIS/LAN installed earlier in the fiscal year. We believe the success of SDWIS/LAN will depend in part on participation by the regions. Attachment C lists the roles of headquarters, regions, and states as we see them. Attachment D provides a more detailed explanation of the roles identified for the regions. We estimate that these functions would take about .5 FTE for each SDWIS/LAN state in the region.

As I indicated in April, we will not be able to install SDWIS/LAN in any new state in your region unless you are able to perform the lead roles identified in Attachment C and explained in Attachment D. During the early part of FY 98, we are prepared to provide the training necessary to prepare your staff to assume these responsibilities. Attachment E is a list of state plans regarding SDWIS/LAN adoption as we know them today. Please let me know by September 30 whether you believe you will be able to provide support to the candidate states in your region. We will need your commitment before we can schedule any installations in your states.

Regions I and 4 have states which have indicated interest but those regions have not yet requested the SDWIS/LAN PC version to familiarize themselves with the software. Please let Clint Lemmons of my staff (260-3612) know if you would like to receive a copy.

Data Quality

Regions have a major role to play in ensuring the quality of data being submitted to SDWIS/FED. There are a number of activities underway this year, such as the development of a Regional Quality Assurance Manual, to assist regions in performing this function. Reporting under the FY 1997 Management Agreement between the Office of Water and the regions requires a narrative report for each state describing the quality of drinking water inventory and compliance information in SDWIS/FED and how it is used by the state and EPA. The 1998 Agreement requires a report on the activities taken by the regions to improve data quality in each state. The Data Quality Committee would like to receive information on each region's quality assurance activities and the region's assessment of the quality of each state's data in SDWIS/FED. Regional activities and initiatives will be evaluated for possible inclusion in the manual or possible distribution to other regions as an example.

Data Sharing Committee

I am delighted to announce that Carol Amend, Enforcement Branch Chief in Region 3, has agreed to chair the Data Sharing Committee, beginning October 1. Tom Poleck, Region 5, has agreed to remain on the committee. Bill Davis, Region 6, has also been serving as a regional member. Mark Rasso from Region 2 and Drew Bartlett from Region 4 have recently joined the committee. Thank you to all these members for their interest in this important project. This committee will have a strong east/Midwest flavor!

Funding

The SDWIS/LAN and SDWIS/FED budget, combined, in FY 98 is \$4 million. That level is the same as the level in FY 97. However, it will seem like a cut because we had \$2 million in FY 96 carryover to spend in FY 97. The FY 98 funding level is insufficient to carry out all the activities we were planning to conduct. We are looking at a variety of funding options for FY 98 and FY 99. We recognize that FY 98 budgets are already fairly well set. However, we are considering asking the states who are getting SDWIS/LAN installed for the first time in FY 98 to pay the \$25K in contractor cost associated with installation and training in that state. For FY 99,

we are exploring broader options, such as asking SDWIS/LAN states to share the costs of operating and maintaining that system. We will also need to explore options regarding cost-sharing for regions which use SDWIS/LAN for non-primacy states or Indian lands. We will be getting options papers out to you for review on these issues in the next few months.

Next Steps

By September 30, please let me know the answers to the following questions:

- 1) SDWIS/FED: Will the region conduct beginner level training?
- 2) SDWIS/LAN: Will the region provide the assistance discussed in Attachments C and D for SDWIS/LAN states in their region?

Also, by September 30, provide to the Data Quality Committee information on regional quality assurance activities and the region's assessment of state data quality.

cc: Bob Blanco
Water Division Directors, Regions 1-10

Attachment A

REGIONAL SDWIS/FED COORDINATOR FUNCTIONS**I. Quality Control/Quality Assurance**

1. Performs periodic evaluations of SDWIS' data quality, identifying specific deficiencies and/or data quality issues, recommending corrective actions to State.
2. Serves as the Regional SDWIS Resource Access Control Facility (RACF) System Security Administrator.
3. Coordinates and reconciles national reporting data requirements, e.g., GPRA and SNC/Exceptions Tracking data with Enforcement staff.
4. Develops guidance documents, e.g., data processing, reporting and system use, for Regional and State staffs.

II. Data Processing

1. Tracks the receipt and processing of States' quarterly reports.
2. Reviews and analyzes error reports, sending copies to the States, if appropriate. Documents the nature and quantity of errors. Contacts the State to discuss the reason for any data which were rejected and the actions required to correct the data. These actions can include correction in the State's data system, if appropriate.
3. Tracks the receipt and processing of corrected rejected data or corrects the rejects in SDWIS.
4. Provides a summary of the quarter's processing results to Regional State Program Managers and also to the States when appropriate.

III. State Implementation Oversight

1. Conducts data verifications at least every three years, after implementation of new rules, major modifications to the State's data system or whenever appropriate. Provides written reports to the Region and the State. Follows up on deficiencies.
2. Participates in the states' midyear and end-of-year evaluations to include identifying strengths as well as weaknesses and makes recommendations for improvements.
3. Coordinates implementation of Data Sharing Committee recommendations on data which must be reported to SDWIS/FED.

4. Negotiates annual State work plan commitments with State Grant Managers.

IV. Public Information

Retrieves and analyzes SDWIS data in response to Freedom of Information Requests, studies, trend analyses, enforcement activities, special initiatives, GIS activities, routine and periodic reports to Headquarters, or assists other staff members in these activities.

V. System Development/Oversight (System Enhancements, etc.)

1. Participates in the evaluation and development of SDWIS.
2. Evaluates and makes recommendations for system enhancements.

VI. Regional SDWIS/FED Expert

1. Provides technical assistance to States in resolving reporting problems.
2. Represents the Region on national data management and/or SDWIS-related work groups, conferences and conference calls.
3. Maintains SDWIS documentation manuals.
4. Disseminates and explains data management policy and procedures to Regional staff and States.
5. Provides training and technical assistance to States and/or Regional staff on revisions and/or modifications to SDWIS relating to data entry, data retrieval, and reporting requirements for newly-developed regulations. Facilitates or conducts periodic refresher and/or advanced SDWIS training.

Attachment B

SDWIS/FED BASIC TRAINING
AGENDA

1. SDWIS/FED Database overview
2. Logging on to SDWIS/FED
3. File manipulation using ISPF and SDSF
4. UMAIL
5. Accessing and creating SDWIS/FED standard reports
6. Viewing and printing standard reports
7. Introduction to the Platinum Reporting Facility (PRF) for Ad Hoc reports
8. Copying and running an existing query/form
9. Printing the report from a PRF query

Attachment C

SDWIS/LAN Regional Implementation Plan

April 3, 1997

It has been understood that Headquarters would be responsible for funding and coordination of all activities relating to the pilot. Once the pilot is completed and we begin to look at new states adopting SDWIS/LAN, the sheer numbers involved would dilute headquarters' implementation assistance capability to the point that success would be impossible. The success of SDWIS/LAN after the pilot may well depend on the willingness of the Regional offices to perform most of the duties of installation, training, and initial contact for post-installation technical assistance for the new states.

We propose that each Region establish a SDWIS/LAN team and designate at least one person as a SDWIS/LAN Coordinator. The lead person would not necessarily be the same person as the SDWIS/FED Coordinator. SDWIS/LAN and SDWIS/FED are different data systems residing in different environments. EPA Headquarters will provide the appropriate regional staff with SDWIS/LAN training through a train-the-trainer course.

In this proposal, the EPA Regional Offices would have the **lead or have a major role** in following SDWIS/LAN-related activities:

SDWIS/LAN Training (Shared with Headquarters)
 Start-up Assistance
 Initial Contact For Post-installation Technical Assistance

Regional Offices would be **involved to a lesser degree** with the following activities:

Marketing
 SDWIS/LAN Installation
 Upload to SDWIS/FED Assistance

Additionally, would have the **option of involvement** in the following activities:

Oracle DBA Support
 EDI Start-up Assistance
 EDI Implementation Support
 Oracle Database Optimization
 Novell NetWare Expertise/Support
 Network Performance Improvements
 Microsoft Access Expertise/Support
 Microsoft Access Training
 Data Communications

Attachment D

SDWIS/LAN Training

EPA has committed to providing the initial installation and user training for any state which adopts SDWIS/LAN. User training should be a joint effort between EPA headquarters and the regional office. It is typically five days in duration and each should conduct one half of the daily instruction. Regional participation in conducting the on-site SDWIS/LAN user training will serve to familiarize the EPA regional staff members with the particular state's data needs and keep them up-to-date on the SDWIS/LAN software itself. Regional involvement would also help establish the regional office's support role in the region.

Start-up assistance

The process for adopting SDWIS/LAN requires a great deal of planning and coordination. Regional offices should take the coordinating lead to assure that established checklists are complete to promote a smooth transition to the new system. Since the regional offices have a better understanding of their states' needs, it would be preferable for them to coordinate the efforts needed to make SDWIS/LAN a success in their regions. The areas which need to be coordinated are pre-installation activities, and post-installation activities including data migration. Pre-installation activities involve assuring that states meet computer hardware and software requirements. Regional offices should also take an active role in helping states convert their legacy system data into the Oracle-based SDWIS/LAN tables. Post-installation activities are those which states perform to bring the data system into implementation. States from five of the ten EPA regional offices as well as two of the offices themselves have been involved in the SDWIS/LAN pilot program and could significantly contribute toward its implementation in new states.

Initial Contact For Post-installation Technical Assistance

EPA regional offices should serve as the initial point of contact for states in their respective regions who adopt SDWIS/LAN. The regional office staff should be able to direct states' inquiries to the appropriate person. Each EPA regional office should appoint at least one staff member to serve as SDWIS/LAN Coordinator. This staff member would not necessarily be the same person as the SDWIS/FED Coordinator since SDWIS/LAN and SDWIS/FED are completely different data systems residing in different environments, and each requires a different skill set. The SDWIS/LAN Coordinator and any supporting team members would need to be adequately trained to recognize the nature of the caller's problem and either answer the question or route their call to the appropriate person. This level of involvement will also serve to keep the regional office aware of the status of SDWIS/LAN issues in their states.

The following matrix lists the SDWIS/LAN-related activities and proposes that each be assigned to the state, EPA Region, or EPA Headquarters, and the degree to which they would take the lead. In some situations, it may be necessary for the state to secure a contract with an independent outside company to perform certain tasks where expertise is not available in-house or from the EPA Regional Office.

Activity	EPA HQ	EPA Region	State
Marketing	Major	Minor	
Candidate Screening	Major		
SDWIS/LAN Installation	Major	Minor	
SDWIS/LAN Training	Joint with Region	Joint with HQ	
Start-up Assistance	Minor	Major	Contract
Data Migration to Populate SDWIS/LAN	Minor		Major
Initial Contact For Post-installation Technical Assistance		Major	
Oracle DBA Support		Optional	Major
Oracle DBA Training			Major
Database Optimization		Optional	Major
Novell NetWare Expertise/Support		Optional	Major
Microsoft Access Expertise/Support	Minor	Optional	Major
Microsoft Access Training		Optional	Major
Network Performance Improvements		Optional	Major
ODBC Driver Issues			Major
EDI Start-up Assistance	Minor	Optional	Contract
EDI Implementation Support	Minor	Optional	Major
Data Communications		Optional	Major
Upload to SDWIS/FED Assistance		Minor	Major

Attachment E

SDWIS/LAN
Customer Interest Summary
State/EPA Regional

STATE	REG	INTEREST
Alabama	4	Low
Alaska	10	Unknown
Arizona	9	None
Arkansas	6	High, has PC version
California	9	Low, has PC version
Colorado	8	Low, Can not use Oracle applications
Connecticut	1	High, has PC version
Delaware	3	Moderate, has PC version
Florida	4	Low
Georgia	4	Unknown
Hawaii	9	Moderate, has PC version
Idaho	10	Low, Has PC version
Illinois	5	Pilot State, also has PC version
Indiana	5	Pilot State, also has PC version
Iowa	7	Pilot State
Kansas	7	None, has PC version
Kentucky	4	Unknown
Louisiana	6	Moderate, has PC version
Maine	1	Low
Maryland	3	Unknown
Massachusetts	1	Low, has PC version
Michigan	5	Low, has PC version

Minnesota	5	Low, Previous Pilot State, has PC version, may be frustrated with own system's development
Mississippi	4	Moderate, wants to see PC version
Missouri	7	High, has PC version
Montana	8	High
Nebraska	7	Pilot State
Nevada	9	Pilot State
New Hampshire	1	Low, has PC version
New Jersey	2	Moderate, has PC version
New Mexico	6	Low, has PC version
New York	2	Unknown, has PC version
North Carolina	4	High, has PC version
North Dakota	8	Pilot State
Ohio	5	Low
Oklahoma	6	Moderate
Oregon	10	Unknown, has PC version
Pennsylvania	3	Low
Rhode Island	1	Unknown
South Carolina	4	Unknown
South Dakota	8	Unknown
Tennessee	4	Pilot State
Texas	6	Low, has PC version
Utah	8	Moderate, has PC version
Vermont	1	High, has PC version, compelling need
Virginia	3	Pilot State
Washington	10	Unknown
West Virginia	3	High, has PC version, compelling need
Wisconsin	5	Unknown

Wyoming	8	High, has PC version, See EPA Region 8
EPA Region 1		Unknown
EPA Region 2		Moderate, DI for Virgin Is. & Puerto Rico
EPA Region 3		Moderate, DI for D.C. has PC version
EPA Region 4		Low
EPA Region 5		Low, has PC version
EPA Region 6		Pilot Region
EPA Region 7		Low, has PC version
EPA Region 8		High, has PC version, see Wyoming
EPA Region 9		Low, has PC version
EPA Region 10		Pilot Region for PC version