

REQUIREMENTS FOR PREPARING THE CLEAN WATER STATE REVOLVING FUND (CWSRF) PLAN OF STUDY FOR PLANNING/DESIGN PROJECTS



Notes about preparing the plan of study: This document provides a required outline and content requirements for preparing a Plan of Study as a part of the CWSRF Planning/Design Application. Not all specific items listed in this paper are required if they are not applicable to a specific project. However, the outline and headings must be followed. Providing as much information as possible will assist in the processing of the application and the optimal identification of possible funding sources.

1. Overview

- Provide applicant name, project area name, and brief summary of the project;
- Describe any communication the applicant has had with the Regional Board regarding the project and/or planning/design application; and
- Describe previous efforts in support of the project and project alternatives, including any previous state or federal funding.

2. System Information

2.1. General

- Provide relevant background information;
- Describe any industrial flows or unique wastewater properties;
- Briefly describe any relevant violations, enforcement actions, and/or other orders from the applicant's Regional Water Quality Control Board (Regional Board) or any other agencies, the status of those violations/orders and explain how the project will address them. Provide an explanation if any outstanding violations and/or enforcement orders will not be addressed by the project; and
- Describe consolidation and regionalization options and considerations, and any efforts made for consolidation/regionalization.

2.2. Collection System (Only applicable if the community has an existing collection system)

- Describe the lift stations, including number, age, condition, etc.;
- Provide the approximate length and age of the collection system pipe, including if any portions are at or near capacity;
- Summarize the results of any inspections or studies (Closed Circuit Television [CCTV], I/I), etc.); and
- Describe any issues with access, easements, or private laterals. Provide details if there are any legal issues that could impact the project.

2.3. Treatment Facilities (Only applicable if the community has existing treatment facilities)

- Provide a general summary of treatment facilities (Process/technologies employed, age, condition, permitted treatment capacity, etc.);
- Describe the current discharge locations and explain if new discharge locations are anticipated;
- Describe any industrial flows or unique wastewater properties; and
- If water is being re-used, describe the relevant requirements.

2.4. Project Area Septic Tanks / Onsite Wastewater Treatment Systems (OWTS) (Only applicable if the project area contains OWTS)

- Provide a general summary of the OWTS in the project area, including general conditions, number of OWTS to be evaluated for local treatment or connection to an existing or new wastewater treatment system;
- Describe community engagement, surveys of residents, feasibility, homeowner's willingness to pay rates, and/or previous efforts to implement the proposed project; and
- Describe existing wastewater treatment systems near the project area. Include distances from project area to the existing collection systems, treatment facilities, and the treatment/conveyance capacity of those systems.

3. Project Information

3.1. Project Details

- Provide an in-depth explanation of the project purpose.
 - Explain any water quality or public health problems that will be addressed;
 - Provide details if the project is a result of enforcement orders or violations; and
 - Provide the reasons for upgrades/replacement/rehabilitation.
- Describe previous project related work performed, including funding/work with state or federal agencies, technical assistance providers, or other non-profit organizations (examples include application assistance, income survey, rate studies, etc.);
- Describe any studies that have been performed related to the project, such as feasibility studies, environmental reviews, in-depth technical analysis, etc.;
- If there is an urgency to complete the project, explain the targeted timeframe and factors affecting project timeline;
- Explain any geographic, demographic, political, industrial, or environmental considerations that could affect the project;
- Describe possible land acquisition / easement documents that may be required; and
- If the project is a septic-to-sewer project, provide a brief analysis of project alternatives including connecting to an existing sewer system, local treatment, and septic replacement, if feasible.

3.2. Scope of Work

Prepare a write-up explaining the project tasks and deliverables. List each task to be performed and provide a brief description of the work. **Clearly identify deliverables for each task.** Identify any tasks that will be completed with another funding source, such as with a Technical Assistance grant.

The Scope of Work should include items needed to apply for construction funding:

- Project Administration;
- CWSRF Planning Application;
- Project Report;
- Plans and Specifications;
- Environmental Documents;
- Fiscal Sustainability Plan; and
- CWSRF Construction Application (General, Technical, Financial, and Environmental Packages) with all associated attachments. The applicant will be required to submit a Draft Financial Package (audited financials, budget projections, debt docs, etc.) for review.

Additional tasks that may be applicable include, but are not limited to:

- Inflow & Infiltration (I&I) Study;
- Closed-Circuit Television (CCTV) Study;
- Rate Study/Proposition 218 Documentation;
- Debt Management Policy;
- Income Survey;
- Public Outreach;
- Memorandum of Understanding or Consolidation Agreement (for septic-to-sewer projects connecting to an existing system);
- Land acquisition / easements documents;
- Formation of Assessment Districts;
- Assistance with financial documents and fiscal controls; and
- Mapping/surveying.

If there are questions regarding what should be included in the Scope of Work, please work with the Division of Financial Assistance Project Manager.

3.3. Schedule and Budget

Proposed Eligible Work Start Date*: [Insert here]

*Eligible Work Start Date means the date after which any eligible costs incurred for this planning project would be reimbursable under a financing agreement. The financing agreement will establish the Eligible Work Start Date—any costs incurred prior to execution of the agreement are at the applicant’s own risk per the CWSRF Policy.

Table 1. Budget and Schedule

Task	Cost	Estimated Start	Estimated Draft Submittal	Estimated Final Submittal
Project Administration		N/A	N/A	N/A
CWSRF Planning Application		N/A	N/A	N/A
Project Report				
Plans and Specifications			N/A	
Environmental Documentation				
Fiscal Sustainability Plan				
CWSRF Construction Application General Package			N/A	
CWSRF Construction Application Technical Package			N/A	
CWSRF Construction Application Environmental Package			N/A	
CWSRF Construction Application Financial Security Package			N/A	
... add additional rows as necessary				
Total		N/A	N/A	N/A

Note: All durations are based on elapsed months following an executed agreement. Work on Plans and Specifications and Environmental Documents must not begin until after Division approval of the Draft Project Report.